

**STRATEGIC REVIEW OF THE
UN-REDD PROGRAMME – ZAMBIA
QUICK-START INITIATIVE**

PREPARED BY:
ERNST LUTZ AND STEPHEN TEMBO

August 22, 2013

CURRENCY EQUIVALENTS

Exchange Rate Effective June 9, 2013

Currency Unit	=	Zambian Kwacha (ZMK)
5.226 ZMK	=	US\$ 1

FISCAL YEAR

January 1 – December 31

ABBREVIATIONS AND ACRONYMS

AfDB	African Development Bank
AWG	Advisory Working Group
CC	Climate Change
COMESA	Common Market for Eastern and Southern Africa
CSO	Central Statistics Office
DDP	District Development Plan
EU	European Union
FAO	Food and Agriculture Organization of the United Nations
FCPF	Forest Carbon Partnership Facility
FD	Forestry Department
FM	Financial Management
FRA	Forest Resource Assessment
GEF	Global Environment Facility
GHG	Green House Gas
GIS	Global Information System
GoZ	Government of the Republic of Zambia
JFM	Joint Forestry Management
ICCS	Interim Climate Change Secretariat
ILUA	Integrated Land Use Assessment
IPCC	Intergovernmental Panel on Climate Change
M&E	Monitoring and Evaluation
MACO	Ministry of Agriculture and Cooperatives
MCDSS	Ministry of Community Development and Social Sciences
MDG	Millennium Development Goal
MEWD	Ministry of Energy and Water Development
MoL	Ministry of Lands
MLGH	Ministry of Local Government and Housing
MRV	Measurement, Reporting and Verification
MLNREP	Ministry of Lands, Natural Resources and Environmental Protection
MSTC	Multi-Sectoral Technical Committee
NAMA	Nationally Appropriate Mitigation Action
NCCRS	National Climate Change Response Strategy
NGO	Non-Governmental Organization

NPC	National Programme Coordinator
NJP	National Joint Programme
PFAP	Provincial Forestry Action Plan
PP	Programme Partner
PS	Permanent Secretary
PMU	Project Management Unit
REDD+	Reduction of Emissions from Deforestation and forest Degradation plus conservation, sustainable forest management and enhancement of carbon stocks
REL	Reference Emission Level
RL	Reference Level
R-PP	Readiness Preparation Proposal
PMC	Programme Management Committee
SC	Steering Committee
SFM	Sustainable Forest Management
SNDP	Sixth National Development Plan
SRT	Strategic Review Team
TA	Technical Assistance
ToRs	Terms of Reference
UNDAP	United Nations Development Assistance Plan
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention for Climate Change
UN-REDD	United Nations REDD+ initiative
USD	United States Dollar
WB	World Bank
WDI	World Development Indicators

Table of Contents

STRATEGIC REVIEW OF THE UN-REDD PROGRAMME – ZAMBIA QUICK-START INITIATIVE

EXECUTIVE SUMMARY	v
A. Review of Government’s Performance with Regard to UN-REDD	v
B. Assessment of the Performance of the UN Agencies Managing UN-REDD	vi
C. Recommendations/the Way Forward	vii
I. Introduction/Background	1
II. Programme Objectives and Management	2
A. Programme Objectives	2
B. Programme Management	3
III. Objectives and Scope of Strategic Review	4
IV. Strategic Review Methodology and Guiding Principles.....	6
V. Findings Related to the Achievements of Outputs and Outcomes	7
VI. Assessment of Programme Based on Key Criteria	18
VII. Lessons Learned.....	20
VIII.Conclusions on Achievements up to May 2013	22
D. Review of Government’s Performance with Regard to UN-REDD	22
E. Assessment of the Performance of the UN Agencies Managing UN-REDD	23
IX. Recommendations/the Way Forward.....	25
Annex 1: Work Plan for the Strategic Review of Zambia’s UN-REDD Programme	33
Annex 2: Tentative Itinerary for the Strategic Review of UN-REDD Programme Zambia (Draft, May 24, 2013).....	38
Annex 3: Participants in the Strategic Review of the UN-REDD Programme.....	40
Annex 4: Strategic Review of the UN-REDD Programme in Zambia--Terms of Reference.....	44
Annex 5: List of UN-REDD Programme Documents	51
Annex 6: Summary from the Review of REDD+ Pilot Projects in Tanzania.....	53
Annex 7: Proposal for consideration by Government of facilitation services for identifying and preparing projects.....	55

EXECUTIVE SUMMARY

- i. The Government of the Republic of Zambia (GRZ) is aware of the deforestation and forest degradation which is occurring and how this is affecting local livelihoods as well as the natural forest capital with its valued co-benefits. It is also aware of the contribution to global emissions of greenhouse gases that cause climate change. It is therefore striving to address deforestation and degradation issues and to get ready for the REDD+ mechanism as an international policy and financial mechanism for it.
- ii. The government recognizes that REDD+ requires a multi-sectoral approach and that there is need to clearly define the problem (deforestation), causes, necessary actions, and required investment including roles and responsibilities of stakeholders. Therefore the development of a national strategy to reduce deforestation is following a systematic approach by:
 - a. Conducting analytical work to assess current situation and challenges, through a consultative process;
 - b. Identifying available options for action (policy/legislation, technical, field-level actions and practices, integration) to addressing the identified challenges/causes/gaps;
 - c. Consulting stakeholder and aiming toward a high-level dialogue on available options and setting national vision and key actions; and
 - d. Developing a National Strategy and Investment Plan.
- iii. A national programme financed by UN-REDD, and implemented by the Ministry of Lands, Natural Resources and Environment Protection (MLNREP) and three UN Agencies, namely the United Nations Development Programme (UNDP), the Food and Agriculture Organization (FAO), and the United Nations Environmental Programme (UNEP), was intended to assist with this endeavor. In addition to the UN-REDD Programme, there are numerous other multilateral, bilateral, private sector entities and non-governmental organizations (NGOs) operating in this area.
- iv. The purpose of this report was to provide a Strategic Review of the Programme, including reviewing the accomplishments so far, addressing obstacles, and pointing out a way forward.

A. Review of Government's Performance with Regard to UN-REDD

- v. There are several challenges on the side of the Government with the development of the strategy and eventual implementation of REDD+. These include:
 - Limited national ownership;
 - Outdated legislation;
 - Limited management capacity in the Forestry Department and perception of governance issues;
 - Limited involvement of stakeholders; and

- Limited capacity at local levels including, for example, lack of transport for forestry staff (a concern being flagged by the Review Team because of its relevance to future work).
- vi. **REDD+ is a cross-sectoral issue.** The Ministries of Agriculture, Energy, Community Development, and perhaps others have not been sufficiently engaged. Also, the private sector, civil society, NGOs, and grassroots communities have not sufficiently been involved, but should be, not only for strategy and policy development, but even more so for eventual implementation.
- vii. **A new opportunity has arisen with the creation of Interim Climate Change Secretariat (ICCS) under the Ministry of Finance.** The Secretariat addresses mitigation, adaptation, cross-cutting issues, financing and disaster preparedness. The National Coordinator for REDD+ has been attached to the Secretariat with the objective of addressing Climate Change initiatives in a more integrated manner by the Government. The new arrangement should facilitate integrating REDD+ activities into national development plans and ensure effective engagement of Ministries and stakeholders more easily than has been the case so far.

B. Assessment of the Performance of the UN Agencies Managing UN-REDD

- viii. **Inconsistencies and overly ambitious programme design.** In many ways the programme document of 2010 represents a comprehensive piece of work, with many strong features as well as descriptions of issues. But there were also some shortcomings in the design, as reflected in the results framework, where backward and forward linkages were missing, where there were duplications, and/or where the sequencing of tasks was not fully consistent. The Programme Coordination Unit with technical support from the UN-System (UNDP, FAO and UNEP) has made some informal re-programming to make the implementation more effective.
- ix. **Coordination and management challenges.** There are benefits of three agencies working together and complementing each other in terms of their expertise; nevertheless, there have been management problems and constraints involved both for the three agencies themselves as well as for the recipient government. It is noted that there have also been recent examples of the three agencies enhancing their collaboration through joint planning and programming as well as regular consultative meetings to improve internal UN Coordination. This has in turn provided synergies in programming, enhanced sequencing of activities, and reduced transactions costs.
- x. **Absence of project preparation and piloting work.** Government requested in 2010 that pilot projects be undertaken, but the international UN-REDD Board did not provide funding nor see the need for it. In the view of the Review Team, this is a flaw in the design of the programme, and it is now considered a handicap, as the program at the national level has not been able to benefit from learning-by-doing on the ground, and communities, districts, and provinces have not benefitted from

REDD+ up to now. Government should consider raising funds for this and identify and prepare projects on the ground during the proposed extension period (see recommendation D below). This would not include actual implementation given the limited time available.

- xi. **Based on a synthesis of the findings, and after reviewing the achievements since the Programme was initiated against the original objectives, the Strategic Review Team is assessing the Programme at this point in time as “moderately satisfactory”.**

C. Recommendations/the Way Forward

- xii. Based on the strategic review, the Review Team is making seven recommendations for the **way forward**. These are:

Recommendation 1:

Extend the UN-REDD Zambia Programme for 16 months to permit completion of the basic key tasks and ensure a credible outcome that would allow a possible follow-up phase (extension proposed from the current closing date of August 31, 2013 to December 31, 2014)

- xiii. USD 1.4 million is estimated to be available by the end of August 2013, which was the original closing date. It is proposed that the closing date be extended to December 31, 2014. Key building blocks that still need to be prepared during the no-cost extension period include:
 - (a) The determination of the Reference Emission Level for the country;
 - (b) Specific studies on: (i) financing mechanisms, positive incentives, and/or benefit sharing arrangements for REDD+; (ii) establishing a system for social and environmental safeguards for REDD+; (iii) development and implementation of a REDD+ Communications Strategy for Zambia; (iv) assessment of institutional capacities and needs for a viable REDD+ system in Zambia; and (v) economic valuation of forests and ecosystem services;
 - (c) Development of a National Forest Monitoring web portal and stakeholder database for REDD+;
 - (d) Regular consultative exercises for critically/constructively reviewing the outputs of each of the studies.
 - (e) The development, multi-stakeholder consultations, and governmental adoption of the national REDD strategy will likely take a year, and then a few extra months to edit and disseminate it. The various studies under (b) above, as well as others, will all feed into the strategy.

- xiv. It is the view of the Review Team that, with an extension of 16 months, the Programme could reasonably finish the above tasks in a fully satisfactory manner and thereby the country could then be considered having successfully completed the readiness phase.

Recommendation 2:

Assist government to clarify and continue to strengthen the new institutional architecture for Climate Change, which comprises the REDD+ coordination within the Interim Climate Change Secretariat, and encourage involvement of relevant line ministries

- xv. The recent/ongoing creation of a Climate Change Secretariat under the Ministry of Finance is considered a crucial step forward in terms of the institutional setup and national climate change policy. Accordingly, the REDD+ arena should rapidly link with these recent developments. This would potentially help with actual integration of REDD+ into the national agenda as well as the development of a long-term Institutional arrangement for Climate Change in Zambia. The main thrust of the Secretariat is to facilitate mainstreaming of Climate Change programmes, while implementation will remain a responsibility of sector Ministries. The National REDD+ Coordinator has been attached to the Interim Secretariat.
- xvi. The Review Team recommends that, if possible, UN-REDD Programme financial management authority be transferred from the UN Agencies to the implementing entity/entities once its/their financial management capacity has been confirmed as satisfactory. This would increase country ownership.

Recommendation 3:

Promote more systematic engagement of civil society, the private sector, and local communities; accelerate the finalization and implementation of the stakeholder engagement plan

- xvii. Both in vision and operational action, government leadership needs to recognise that REDD+ requires an integrated approach to address drivers of deforestation, which may require innovative actions and incentivising local communities. This means that there is need to think “outside the box” of forestry, in a transformational mindset based on the needs of the country, so that private sector, civil society, NGOs, and people at provincial, district, and local level are included, such as through an Advisory Committee/Group. That “platform” could also include donors working on the subject; the National Coordinator would serve as Secretary to the Advisory Group. The Advisory Group should address the question whether Working Groups should be formed to address specific issues.

Recommendation 4:

Explore the feasibility of supporting project identification and preparation work for REDD+ and REDD+-related projects, such as with seed money from a catalytic fund managed by the Interim Climate Change Secretariat

- xviii. In order to be ready for eventual funding of a significant implementation phase, assuming the necessary progress is made on the legislative front and in other areas, it is in the view of the Review Team necessary to develop a strategy which is sufficiently informative and practical for the identification, preparation, and eventual implementation of projects. Also, if possible, in parallel with the development of the strategy, UN Agencies and government should explore whether, during the 16-months extension period, project identification and preparation work could be carried out, such as through a catalytic grant fund managed by the Interim Climate Change Secretariat and/or the main implementing agency which would provide seed money for REDD+ and REDD+-related project preparation. Government should take the lead both in raising the funds (USD 1 million?) and also in managing the preparation process of the projects with the support of UNDP through the facilitation of liaison with key development partners at a high level, brokering of strategic partnerships, and the provision of advisory services for resource mobilization. In particular, UNDP will work with government to explore the application and implementation of the proposed Community Based REDD+ currently under discussion at the UN-REDD Policy Board. This Community Based REDD+ seeks to promote synergies between UN-REDD and the Global Environmental Facility (GEF) through the Small Grants Programme and leverages the co-financing and expertise from the two initiatives. An entrepreneurial manager/catalytic grant fund administrator with support staff would be needed. He/she would be accountable to a board set up to oversee the grant process
- xix. This objective could be also supported during the extension phase by:
- (a) Intensify ongoing work which aims to synthesize knowledge about the limited practical experiences of past and ongoing REDD+ and REDD+-related projects in Zambia;
 - (b) Drawing on the project of BioCarbon Partners, which is the only one close to being accredited in the country, and similar projects and initiatives as demonstration/learning projects; and
 - (c) Using (a) and (b) as a basis for one of more stakeholder workshops with the objective of developing preliminary guidelines for identifying and preparing other REDD+ projects, which could become an annex to the national REDD+ strategy and also help those seeking or having obtained seed money from the catalytic fund.

Recommendation 5:

Seek funding and carry out a study on charcoal and conventional and alternative energy that will make recommendations for policy reforms and investments, that will estimate how much emissions-reductions such reforms and investments would entail, given that charcoal production remains one of the main drivers of deforestation (USD 200,000)

- xx. **Unless one addresses the drivers of charcoal production and agricultural expansion, one will not be able to significantly reduce reductions in the carbon stock at a national level**, even if one carried out successful REDD projects in some areas. Therefore, the Review Team proposes that UN-REDD and/or the government seek funding for two analytical, yet practical and appropriately consultative studies.
- xxi. The Review Team is proposing that, with full involvement of, and management by, the Ministry of Energy, about USD 30,000 be made available for first preparing a state-of-the-art survey on charcoal and alternative energies incl. on results of studies, pilot projects, work by government, the private sector, and NGOs. Then the paper should form the basis for a workshop (USD 10,000) to discuss whether sufficient knowledge is available for action or whether one needs to conduct a larger study and including to develop **recommendations for policy reforms and investments, and how much emissions-reductions such reforms and investments would entail**. So for the second phase study USD 150,000 would be available, plus USD 10,000 for a workshop to discuss the results and recommended follow-up actions.

Recommendation 6:

Seek funding and carry out a study on agriculture that will make recommendations for policy reforms and investments, and estimate how much emissions-reductions such reforms and investments would entail, given that forest land conversion for agricultural production is one of the main drivers of deforestation (USD 200,000)

- xxii. Regarding the **proposed work on agriculture**: Similarly as for energy, a study of USD 30,000 is recommended with the full involvement of, and management by, the Ministry of Agriculture, to summarize the state-of-the-art and thinking on carbon-rich, high productivity agriculture, incl. conservation agriculture, sustainable farming including soil and water conservation, agroforestry, and other improved farming practices which, together, improve soil fertility and also improve the carbon content both above ground and sub-soil. After the survey paper is available a workshop (USD 10,000) is to be held to discuss whether sufficient knowledge is available for taking important actions or whether a bigger study (USD 150,000) would be needed in terms of data collection, analysis, studies, etc., in order to derive **recommendations for policy reforms and investments, and how much emissions-reductions such reforms and investments would entail**. USD 10,000

would be available for a workshop to discuss the output and recommended follow-up actions.

Recommendation 7:

Government should expedite the review and adoption of legislation to empower communities regarding land tenure, tree tenure, and benefit sharing, given the importance for REDD+ and landscape management in general

- xxiii. Improved legislation is necessary, particularly for forestry, where legislation is outdated, but also for incentivizing sustainable land management more generally. A large number of people from civil society and local communities know about the challenges related to legislation, and especially those who have tried, or are trying, to carry out development projects at local levels. They have been demanding progress with updating legislation. Without it, the tragedy of the commons will continue, even on land that is formally considered forest land.
- xxiv. So the Government should show more leadership, and to the extent possible, UN-REDD should lobby national legislators for updating and improving relevant legislation (which is currently being done, raising some hopes for progress). Without improved legislation the mining of assets, incl. in particular the mining of the stock of standing timber, would continue and hamper any possible Phase II efforts.

I. Introduction/Background

1. Nearly sixty six percent of Zambia's land area is classified as forests but most of the resource is highly degraded and deforestation is occurring at 0.33 percent a year (WDI 2012). The poorest and most vulnerable tend to live in districts most exposed to frequent droughts and floods. With livelihoods that are highly dependent on climate-sensitive agriculture and natural resources, they also have a low capacity to adapt. Both deforestation and climate change, if left unaddressed, will exacerbate poverty and curb economic growth and will make it more challenging for Zambia to achieve the Millennium Development Goal (MDG 7) on environmental sustainability.

2. Zambia is one of a number of countries which are being supported by the UN-REDD Programme via the Quick-Start Initiative. UN-REDD was established in 2008 as a partnership between the Food and Agriculture Organisation of the United Nations (FAO), the United Nations Development Programme (UNDP), and the United Nations Environment Programme (UNEP) and financed through a multi-partner trust fund.¹ The main purpose of REDD is Reducing Emissions from Deforestation and forest Degradation in developing countries. REDD+ refers additionally to the role of conservation, sustainable management of forests and enhancement of forest carbon stocks. This is being fostered by adapting forest management systems along with establishing financing mechanisms with associated monitoring and verification systems; additionally, interrelated issues in the energy, agriculture, and other areas are or should be addressed.

3. The UN-REDD Quick-Start Initiative in Zambia seeks to support the country's readiness for REDD+. Getting ready for REDD+ is understood to mean that the country is preparing to take part in any global framework for REDD+ that is expected to be instituted as the negotiations under the United Nations Framework Convention for Climate Change (UNFCCC) take shape. REDD+ could be considered as a sub-window under the Nationally Appropriate Mitigation Action (NAMA)² or a separate window for financing under the Green Climate Fund. Some elements of readiness that would be required to be in place (for countries to receive grant funding) are the components of the Readiness Preparation Proposals (R-PPs) that form the building blocks of REDD readiness, e.g. Measurement, Reporting, and Verification (MRV), reference scenario, REDD strategy, benefit sharing mechanisms, etc. Hence, readiness will need support from several partners as it is not simple, and being cross-sectoral it requires discussions of issues that cut across sectoral lines, some of which such as land tenure, shifting cultivation, and charcoal are long-standing and politically challenging ones.

¹ The participating UN organizations have signed a Memorandum of Understanding (MoU) to implement the UN-REDD Collaborative Programme, which became effective on June 20, 2008. The first phase ended on June 20, 2012.

² NAMA refers to a set of policies and actions that countries undertake as part of a commitment to reduce greenhouse gas emissions. The term recognizes that different countries may take different nationally appropriate action on the basis of equity and in accordance with common but differentiated responsibilities and respective capabilities. It also emphasizes financial assistance from developed countries to developing countries to reduce emissions.

4. REDD is a huge undertaking, and the challenges inherent in its operationalization are not likely to be met by any one initiative alone. The critical factor is to ensure all approaches are complementary, do not burden forested developing countries with duplicative demands, and contribute to the final UNFCCC negotiations.

5. In Zambia, actors include the Ministry of Agriculture and Livestock; Ministry of Lands, Natural Resources and Environmental Protection; Ministry of Mines; Ministry of Community Development and Social Services; Ministry of Energy, academia, the private sector, and civil society. On the ground, interesting pilot work is being carried out by non-governmental organizations (NGOs) and various government ministries and agencies, including the Forest Department. Thus, the UN-REDD Programme is only one of several players -- even though an important one -- and it is challenged to work cooperatively, along with others, and to help government in unified coordination and policy making with a diverse set of complementary actions.

6. The objective for Zambia with regard to the UN-REDD Programme is to make Zambia ready to implement REDD+. This will be realized through the development of a detailed strategy that identifies key drivers of deforestation, major functions/roles of stakeholders and their respective capacities. This will in turn lead to the formulation of the National Investment Plan that will provide more focused and targeted interventions. The formulation of the strategy is underway and started with the conducting of several studies that will provide updated situation analysis of various key variables.

7. The UN-REDD Programme in Zambia works within the priorities set by the Government and supports the roadmap towards a country REDD strategy development and implementation by the Forestry Department within the Ministry of Lands, Natural Resources and Environmental Protection (MLNREP) and other stakeholders. REDD+ in Zambia is still evolving and should be harmonised with existing forestry-related, agricultural, energy, and other sectoral policies, legislation, and programmes as far as possible, while also adding a market-based approach and payment mechanisms as new elements of work. Furthermore, REDD+ issues merit being integrated into investment programmes.

II. Programme Objectives and Management

8. The UN-REDD Programme was designed for a three-year period from September 2010 to August 2013.

A. Programme Objectives

9. The specific aims of Zambia's UN-REDD Programme are represented by six outcomes and several specific outputs aligned with and supporting those outcomes:

Outcome 1: Capacity to manage REDD+ Readiness strengthened (USD 990,655/UNDP and UNEP);

Outcome 2: Develop an enabling policy environment for REDD+ (USD 327,103/UNDP);

Outcome 3: National governance framework and institutional capacities for the implementation of REDD+ strengthened (USD 705,624/UNDP);

Outcome 4: National REDD+ strategies identified (USD 191,589/UNEP and FAO);

Outcome 5: MRV capacity to implement REDD+ strengthened (USD 1,252,336/FAO)

Outcome 6: Assessment of Reference Emission Level (REL) and Reference Level (RL) undertaken (USD 728,972/FAO).

10. An elaborate results framework had been developed before the start of the programme as shown in the project document. Thus, the intended outcomes are all based on numerous outputs and sub-outputs, all of which will be discussed and assessed in chapter V below.

B. Programme Management

11. The management of UN-REDD programme in Zambia is through three UN tripartite institutions, namely; UNDP, UNEP and FAO. UNDP is concerned with all REDD activities relating to capacity building while UNEP deals with activities related to communication and drivers of deforestation. FAO is responsible for developing the measurement, reporting and verification system.

12. At the national level, the REDD programme is managed as follows. There is a REDD+ Coordination Unit that sits in the Forestry Department (FD) headed by the National REDD+ Coordinator responsible for day-to-day implementation of programme activities. The National Coordinator reports to the Chief Extension Officer who in turn reports to the Director of Forestry; however, the Coordinator can also directly access the Director. Two Technical Advisors support the REDD+ Coordination Unit. One Technical Advisor is funded by UNDP and supports Capacity Development and Strategy Development, the second Technical Advisor is funded by FAO and is focused on the forest monitoring system and the development of the MRV systems. The original project design included a Programme Management Committee (PMC) assisted by the Multi-Sectoral Technical Committee (MSTC).³ The PMC was composed of 6 Directors and Heads of semi-autonomous institutions; Environmental Council of Zambia-ECZ and now called Zambia Environmental Management Authority (ZEMA), Zambia Wildlife Authority (ZAWA) and National Heritage Commission. The Environment and Natural Resource Management and Mainstreaming Programme (ENRMMP) was designed to be the umbrella Programme for all projects/programmes in the former Ministry. This was to promote an integrated approach. The MSTC was designed to be under the overall guidance of the Joint Steering Committee. However, the institutional structures in the original project document have been modified due to reorganisations of Ministries or not operationalized.

³ Membership of the MSTC is as follows: Ministry of Agriculture and Livestock; Ministry of Lands, Natural Resources and Environmental Protection; Ministry of Energy and Water; Ministry of Community Development; Ministry of Justice; Ministry of Finance; Ministry of Tourism and Natural Resources; the Central Statistics Office; Ministry of Trade and Industry, academia; civil society organizations; and the private sector.

13. Government recognises the need to mainstream Climate Change within existing structures and sectors in order to ensure sustainability in line with national development goals. In order to be ready for REDD+ implementation, the Government is leading a process of developing a national strategy through a systematic approach within already existing government institutions which can be summarised as follows:

- a. Conducting analytical work to assess current situation and challenges, through a consultative process;
- b. Identifying available options for action (policy/legislation, technical, field-level actions and practices, integration) to addressing the identified challenges/causes/gaps;
- c. Consulting stakeholder and aiming toward a high-level dialogue on available options and setting national vision and key actions; and
- d. Developing a National Strategy and Investment Plan.

14. **Management of funds.** The three UN organizations assume full programmatic and financial accountability for the UN-REDD Programme funds as budget holders. Each of the three UN organizations manages funds that relate to its area of responsibility (highlighted in paragraph 9 above). Each agency receives an annual spending limit from its headquarters. The National REDD+ Coordinator, in collaboration with Technical Advisors, develops an annual workplan; this is signed between the UN agencies and the government, and funds are drawn against that budget through a system of direct payments.

III. Objectives and Scope of Strategic Review

15. The overall objective of the review was to assess the extent to which programme outputs and outcomes have been achieved and the contribution of the Programme so far in getting Zambia ‘ready’ for REDD+ (i.e. has the Programme worked to meet its expectations, and if not, what reasons are accountable for this, and which areas need to be improved). In addition, it is to develop a vision and guidance for the longer-term engagement of the UN-REDD Programme in Zambia, its inclusion in the key national development processes and its collaboration with other sectors and partners in the area of REDD+; and assess current implementation, management and partnership arrangements to suggest improvements where possible. Finally, it will propose recommendations on operational priorities and an outline of work plan and budget until the end of the implementation.

16. The review covered the period from the signing of the National Programme Document in 2010 until the time of the review. It examined the full range of activities under the Programme and provided recommendations to enhance programme implementation. More specifically, the team of consultants:

- a. Assessed the status of programme implementation including achievements of planned results and challenges encountered;

- b. Assessed the extent to which Zambia's UN-REDD Programme has contributed so far towards 'getting the country 'ready for REDD+' and what remains to be implemented;
- c. Documented and extracted the lessons learned and experiences to inform the completion of the programme and future implementation of REDD+;
- d. Provided recommendations and actions that:
 - Identified opportunities to enhance the Programme Zambia's UN-REDD Programme;
 - Identified operational priorities with proposals on work planning and budgetary processes until the end of the implementation;
 - Fed into the action plan to request the no cost extension from the UN-REDD Secretariat;
 - Strengthened institutional, partnership, management and coordination arrangements to fully deliver the Programme and to ensure a robust REDD+;
 - Strengthened programme implementation including synergies and effective coordination between the UN-REDD programme and other ongoing REDD+ activities in the country;
 - Identified major factors which will influence sustainability of the Programme and will ensure that the programme outputs and outcomes are ultimately sustainable after the implementation of the current UN-REDD programme.

Strategic review criteria and questions

17. The strategic review examined the following:
 - Relevance/Appropriateness
 - Effectiveness
 - Efficiency/Value for Money
 - Impact
 - Sustainability

18. The detailed questions associated with these issues are stated in Annex 1. The following summary questions were considered:
 1. How would you assess the UN-REDD Programme so far? What has worked well? What has not worked well?
 2. What are the priorities for the remaining implementation period for the current phase (ending on August 31, 2013)?
 3. How should the country get organized differently in order to move forward more effectively with REDD?

4. Should there be a no-cost extension, and if so, what adjustments are recommended?
What should the priorities be?
19. The strategic review was also aiming to:
 - ✓ Consider possible improvements to programme design as well as implementation, in particular with a view beyond the current programme phase;
 - ✓ Consider how the programme has or has not enabled linkages with sectors beyond forestry;
 - ✓ Assess the degree to which gender, capacity development, and other cross-cutting issues were effectively mainstreamed and how improvements can be obtained in possible efforts after the current phase;
 - ✓ Assess implementation of the UN-REDD Programme in relation to core aid effectiveness principles such as national ownership and leadership; and
 - ✓ Extract the lessons learned and best practices and elaborate specific recommendations to the participating partners and project stakeholders.

IV. Strategic Review Methodology and Guiding Principles

20. The Strategic Review Team (SRT) used the following methods for data collection:

Document Review

21. Documents were reviewed that constitute formal agreement among project partners and/or record progress; such as the National Programme Document, meeting minutes, policy briefs, annual workplans; reports on drivers of deforestation in Zambia, as well as reports prepared by contractors to document their commissioned work; documentation from REDD+-related projects and processes in Zambia; other relevant working documents produced during the course of implementation; as well as drafts of the Climate Change Strategy or the Sustainable National Development Policy, if available.

Key Informant Interviews

22. The review included interviews with key stakeholders:
 - Senior management at FD, MLNREP and other relevant Government organisations, such as Ministries of Agriculture and Energy;
 - Members of the REDD+ and Integrated Land Use Assessment (ILUA) Technical Committees;
 - Staff in FD working on REDD+;
 - Management and staff of other REDD initiatives and related initiatives in Zambia, including the Royal Norwegian Embassy, Finland, USAID and other development partners incl. NGOs;
 - UN staff (UNDP, FAO, UNEP) and management involved in the UN-REDD Programme in Zambia including key project personnel and backstopping team;

- Focus Group discussions with selected stakeholders

23. A field trip was undertaken to Southern province from June 6-8. The main objective of the field trip was to visit facilities (including GIS) located at the provincial capital and interact with trained staff as well as community-level stakeholders involved in pilot operations.

24. In conducting data analysis and presenting the findings, the review used a combination of qualitative and quantitative methods, and the reviewers will apply internationally recognized standards for the review.

V. Findings Related to the Achievements of Outputs and Outcomes

25. Below, the achievement of outputs and outcomes are discussed. This strategic review covers the period from August 2010 until end of May 2013. Several tasks are currently underway (such as on financing/incentives/benefit sharing, safeguards, private sector, and communications). One may reasonably expect quality outputs from these tasks within the next two months.

26. The Programme Agreement was signed in August 2010 but actual implementation started only in June 2011.

27. Overall, the objectives of the Programme have been partly achieved. Table 1 provides the findings in summary form; the text discusses these in more detail.

Outcome 1: Capacity to manage REDD+ Readiness strengthened

28. This outcome has been partly achieved.

Output 1.1: REDD+ Readiness coordination and management bodies established and functioning

29. Four sub-outputs were envisaged:

Sub-output 1.1.1: Develop National REDD+ institutional arrangements

30. The specific planned actions under this expected sub-output have been achieved to a -some extent. The UN-REDD Coordination Unit has been established in the Forest Department and is functioning. Four national staff have been officially assigned to the implementation of UN-REDD. The Joint Steering Committee and a Technical Committee were established for the major forest management programmes of UN-REDD and ILUA II in order to enhance synergies and promote collaboration. The Coordination Unit has also worked with and engaged a number of Institutions and Forums with the requisite expertise to support the REDD+ Readiness process. Nonetheless, the Multi-sectoral Technical Committee is partly functioning but Working Groups were not created and neither was the Project Management Committee (PMC). The mandates of Sector Advisory Groups on

environment and tourism were not expanded to include REDD+; however, integrating REDD+ into other advisory groups (such as advisory committees on agriculture, energy, and mining) would seem to be even more important but have not been created.

Sub-output 1.1.2: Assess institutional capacity building needs for national implementing partners and for coordination mechanisms in executing REDD+ Readiness process

31. This sub-output has been achieved to some extent, mainly through capacity building initiatives such as training of trainer programmes and REDD+ workshops and meetings for key stakeholders. However, a comprehensive institutional capacity needs assessment is yet to be conducted. It is worth noting that this output somehow overlaps with output 3.1. The implementation of output 3.1 has been initiated and discussed through a stakeholder consultative process and will cater to some of the key issues to be addressed under sub-output 1.1.2. The process of recruiting a consultant has been initiated and is currently being concluded.

Sub-output 1.1.3: Develop the identified immediate capacity building needs.

32. This has been done in part, including overall support to the coordination unit to build internal capacity in order to better support and facilitate coordination. The national coordination team has participated in a number of specialized training which serves to enhance their capacity in REDD+ and by extension the facilitation of the UN-REDD programme in Zambia.

Sub-output 1.1.4: Procure technical assistance for the REDD+ Coordination Unit

33. Technical assistance was procured, with delays, in the form of contracting a Technical Advisor in November 2012. The procurement brought to two the number of TAs as provided for in the Programme Document.

Output 1.2: REDD+ Readiness Process integrated into the national development planning process

34. Efforts are being made to integrate REDD+ into the national development planning process notably the National Climate Change Policy, the National Agricultural Policy and the Forest Bill; currently under revision. Notwithstanding, there remains a lot more to be done to ensure that REDD+ is well integrated into the above-mentioned policies through strong government leadership and dialogue with the key related sectors. The National Climate Change Response Strategy (NCCRS) is expected to be reviewed and offers an opportunity for the integration of REDD+. In order to effectively address national emissions from deforestation and forest degradation one must look way beyond forestry and include agriculture, energy/charcoal production, mining, and local development. It is also worth mentioning, however, that the setting up of the multi-sectoral Climate Change Secretariat provides a framework for integrating REDD+ across various sectors. Furthermore, it is hoped that, the nomination of the REDD+ National Coordinator to serve in the multi-

Table 1: Assessment of Outputs and Outcomes; Expenditures (Budgeted and Actuals up to April 30, 2013)

Outcomes; Outputs; UN Lead Agency	Outcomes/outputs	Summary of assessments⁴; see detailed discussions and justifications in the main text	Budgeted expenditures	Actual expenditures up to April 30, 2013 (USD)
Outcome 1 (UNDP)	Capacity to manage REDD+ Readiness strengthened	Partly achieved	990,655	474,766
Output 1.1	REDD+ Readiness coordination and management bodies established and functioning	Partly achieved	775,702	386,048
Output 1.2	REDD+ Readiness Process integrated into the national development planning process	Partly achieved	28,037	0
Output 1.3	Communication and advocacy strategy as input into overall climate change strategy developed and implemented	Not achieved but initiated and ongoing	158,879	0
Output 1.4	Mapping and gap analysis of relevant initiatives undertaken	Achieved	28,037	7,707
Outcome 2 (UNDP)	Broad-based stakeholder support for REDD+ established	Partly achieved	327,103	229,800
Output 2.1	Stakeholders engagement process functioning	Partly achieved	280,374	228,651
Output 2.2	Conflict resolution and redress mechanism reviewed	Not achieved but initiated and ongoing	46,729	679
Outcome 3 (UNDP)	National governance framework and institutional capacities for the implementation of REDD+ strengthened	Partly achieved	705,624	1,729
Output 3.1	Institutional capacity to implement REDD+ framework developed	Not achieved but initiated	168,224	0
Output 3.2	National REDD+ Strategy process integrated into the national development planning process	Partly achieved	93,458	1,729

⁴ UNDP categories for assessing outputs are: achieved, not achieved, and partially achieved.

Output 3.3	Legislative framework to facilitate implementation of REDD+ strengthened ⁵	Partly achieved	163,551	0
Output 3.4	Mechanism to administrative and channel REDD+ funding finance established	Not achieved but initiated and ongoing	93,475	0
Output 3.5	Benefit sharing model approved	Not achieved but initiated and ongoing	186,916	0
Outcome 4 (UNEP and FAO)	National REDD+ strategies identified	Achieved	191,589	191,589
Output 4.1	Drivers of deforestation and forest degradation assessed	Achieved	74,766	86,804
Output 4.2	Candidate activities for REDD+ identified	Achieved	116,823	104,785
Outcome 5 (FAO)	MRV capacity to implement REDD+ strengthened	Partly achieved	1,252,336	960,998
Output 5.1	REDD+ integrated with forestry inventory system (ILUA)	Achieved	214,953	116,770
Output 5.2	Operational Forest Monitoring System established and institutionalized	Partly achieved; ongoing	691,589	476,376
Output 5.3	Greenhouse gas emissions and removals from forest lands estimated and reported	Partly achieved; ongoing	345,794	367,853
Outcome 6 (FAO)	Assessment of Reference Emission Level (REL) and Reference Level (RL) undertaken	Partly achieved	728,972	341,466
Output 6.1	Historical rates of forest area and carbon stock changes reviewed	Partly achieved	345,794	183,323
Output 6.2	National circumstances assessed	Partly achieved	383,178	158,143
Total			4,490,000	2,160,740

Note: It is estimated that, of the USD 2.16 million available on May 1, about USD 700,000 would be spent by the end of August 2013 (the original closing date for Phase 1) and that therefore an estimated USD 1.4 million would be available for the proposed no-cost extension period (see Annex 6 for details).

⁵ Outputs 3.4 and 3.5 are not realistic in the form in which they appear. Establishing a mechanism to administratively channel REDD+ funding is a long process that requires a lot of time. For benefit sharing, one needs several models as it should be dictated by the local conditions prevailing at the community level.

sectoral Technical Committee will help facilitate stronger linkages between the REDD+ process and the overall climate change agenda.

Output 1.3: Communication and advocacy strategy as input into overall climate change strategy developed and implemented

35. For a variety of reasons the REDD+ Communication Strategy has not been finalized; it is still under development. The Inception Report for the consultancy on Communication Strategy was presented to stakeholders at an inception workshop at the end of May 2013. A Stakeholder Assessment and Engagement Plan (linked to outcome 2) was developed following stakeholder analytical work done in all the provinces. A decentralized approach to awareness raising and capacity building has been adopted by the REDD+ Coordination Unit with multi-sectoral teams trained in REDD+ in the 10 provinces. This work is expected to considerably contribute to the development of the Communication strategy. A simple manual for training of trainers was prepared and trainers trained, but the delay in the preparation of the communication strategy caused considerable frustration. This was particularly expressed by UN-REDD Civil Society organizations that cited a complete absence of knowledge about REDD+ on the part of the general public.

Output 1.4: Mapping and gap analysis of relevant initiatives undertaken

Sub-output 1.4.1: Analyse previous, ongoing, and planned initiatives relevant to REDD+.

36. The main objective of the assignment is *“to document the previous, on-going and planned activities in sustainable forest management with relevance to REDD+ implementation in Zambia”*. In particular, the study is expected to bring together as much of these sustainable forest initiatives as possible and in so doing assemble a clearer picture of those initiatives in terms of their activity types, activity locations, implementing institutions, activity durations, implementation methods and benefits and indicate those that could support REDD+ delivery.

Sub-output 1.4.2: Share lessons pertinent to implementing REDD+ from the above initiatives, both at the national and local scale.

37. This report was recently delivered along with findings that are very important for future REDD+ work.

38. The Strategic Review Team (SRT) considers it a shortcoming that the project design did not include selected pilot projects where the government, together with local communities, could have had the opportunity to test approaches and learn things related to REDD. In other words, this and outcomes are focused heavily on institutional aspects at the center and not enough toward eventual implementation on the ground.

Partial Restructuring and/or Additions to Outcome 1

1. Support the REDD+ Coordination Unit in administration, policy board meetings, training and study tours;

2. Conduct strategic review/evaluation of UN REDD Programme implementation;
3. International Technical Advisor (TA) and Administrative Assistant (AA) Support to REDD Coordination Unit.

Outcome 2: Broad-based stakeholder support for REDD+ established

Output 2.1: Stakeholder engagement process functioning

39. As noted under output 1.3 above, a Stakeholder Assessment and Engagement Plan was undertaken in 2012 following field visits to all the country's 10 provinces. A report on the Stakeholder Assessment and Engagement Plan is available with an accompanying Policy Brief. Among other results, the Plan has facilitated deeper understanding and knowledge of roles and functions among various stakeholders. Provincial facilitation teams on climate change and REDD+ were established following the Training of Trainers workshop held in June 2012. The functions of the provincial facilitation teams included promotion of stakeholder engagement within each of the 10 provinces. Effective engagement of stakeholders will be helped once the REDD+ Strategy is in place. Although USD 228,651 has been spent, the objective is yet to be achieved. Consequently effectiveness and efficiency in the use of these funds are low.

Output 2.2: Conflict resolution and redress mechanism reviewed

40. This work has not been done in the form that was initially envisaged. It is now been subsumed under the work currently ongoing on the "Assessment of Safeguards, Enforcement and Governance on REDD+ in Zambia". This work will also identify conflicts that have occurred or potential conflicts that might occur as a result of non-adherence of safeguards. The outcomes will then inform the development or re-enforcement of policy, legal and regulatory instruments to prevent conflict situations and the design of a mechanism for conflict resolution if so determined by the study.

41. Other important studies related to outcome 2, which are in progress, include: "Economic evaluation of the contribution of forestry to the Zambian economy" (currently at Inception Report stage) which is being backstopped by UNEP, and the ILUA II under FAO guidance.

Partial Restructuring and/ or Additions to Outcome 2

1. Establish and maintain a database of stakeholders with web interface as a repository of REDD+ initiatives and milestones of the REDD+ process;
2. Conduct analytical work on (i) the role of Private Sector in REDD+; (ii) mapping of ongoing REDD+ Initiatives and (iii) Initiate analytical Study on economic valuation and role of forests and related ecosystem services to - Zambian economy;
3. Review and publish ongoing and upcoming analytical work including stakeholder engagement plan, manuals and newsletters;

4. Hold high level dialogue as well as stakeholder consultative meetings with youth, media and private sector on REDD+;
5. Hold dialogue meetings to identify gaps and review relevant government policies;
6. Support awareness raising on REDD+ at provincial level, and;
7. Support strategic partnerships and linkages with ongoing projects with USAID, CIFOR.

Outcome 3: National governance framework and institutional capacities for the implementation of REDD+ strengthened

42. This outcome was aimed at building the overall capacity of the country for effective implementation of REDD+. This was to be done through the development of institutional, legal, and financial mechanisms that would support REDD+ related activities. The outcome had five (5) outputs as highlighted below.

Output 3.1: Institutional capacity to implement REDD+ framework developed

43. This work has not been done given that none of the four milestones has been realized. The milestones are: Report on human and financial capacity needs to address longer-term institutional requirements to implement REDD+ completed and disseminated; Partnership strategy to facilitate sourcing of additional financial resources for capacity building in place; Number of agreements and MOUs for accessing additional financial resources in place, and; Number of South-South cooperation learning tours. This work has now been initiated as part of the development of the REDD+ Strategy. The recruitment process is ongoing for the commencement of this assignment.

Output 3.2: National REDD+ Strategy process integrated into the national development planning process

44. This output has been achieved to some extent and with small amounts of expenditures. For instance, efforts are being made to integrate REDD+ into the national development planning process notably the National Climate Change Policy, the National Agricultural Policy and the Forest Bill; currently under revision. For example, the UN-REDD is currently sponsoring a multi-stakeholder consultative meeting in Kabwe to review the current Forest Policy and Bill. This meeting brings together key stakeholders to dialogue on the Policy and Bill which will eventually be tabled to Cabinet and to Parliament hopefully in its next sitting. In addition, the Sustainable Land and Water Management Programme (Adaption to Climate Change) of the Agriculture Chapter in the Sixth National Development Plan (SNDP 2011-2015)⁶ has a number of projects linked to REDD+. These include: (i) Vulnerability assessment and mitigation plans completed; (ii) Capacity for climate resilience for agriculture decision making; (iii) Enhancement of women adaptive capacity through livelihood diversification and credit facilities, and (iv) Involvement of women in REDD+ activities. Among others, the SNDP pulled together data from a variety of sources including District Development Plans (DDPs). The latter may have resulted from

⁶ See page 129 of the Sixth National Development Plan (SNDP 2011-2015).

a combination of the engagement of the UN-REDD team members in the preparation of the SNDP as well as from stakeholders who may have been engaged in the REDD+.

45. The development of the National REDD+ Strategy is on-going with four studies being implemented which will feed into the strategy: (i) Assessing the Role of Safeguards, Enforcement and Governance in REDD+; (ii) Assessing Financing, Incentives and Benefit Sharing Options and Considerations for REDD+; (iii) Enhancing Private Sector Engagement in REDD+ in Zambia, and; (iv) Assessment of REDD+ Institutional Capacities and Capacity Needs.

Output 3.3: Legislative framework to facilitate implementation of REDD+ strengthened

46. Progress in the realization of this output has been slow. Though the Forests Bill of 2013 was drafted some years ago and nationwide stakeholder consultations took place in 2009, nothing has moved since then until in the recent past. The Bill is now being reviewed in readiness for the next sitting of Parliament. Given the long time lapse, most stakeholders (including the civil society) are asking for fresh consultation, citing that they do not know the contents of the bill. Currently, there are limitations to this, including time and budget. A study on the “Legal Preparedness for REDD+ in Zambia” was undertaken by FAO in 2011 aimed at the identification of legal challenges, gaps and needs for the implementation of REDD+ initiatives. The study was to be used as a baseline to facilitate further assessments aimed at strengthening the legislative framework that would support effective implementation of the REDD+ programme. Nonetheless, the UN-REDD Programme is providing funds consultations on the Bill and to ensure that key issues on REDD+ are included in the Bill. In line with this, provision has been made for civil society actors to participate in the discussions on the Bill.

Output 3.4: Mechanism to administrate and channel REDD+ finance established

47. A detailed assessment of potential funding channels that would deliver financial resources to various stakeholder groups (including the community level) is being undertaken.. It may have been overambitious at the initial design stage given that it was foreseen that a mechanism will be established during the Readiness phase Nonetheless, based on internal reviews by the UN-REDD team, the March 2013 Work Programme modified and re-oriented this output to focus on the *Assessment of Financing Incentives and Benefit Sharing Options and Considerations for REDD+ in Zambia* At the national level, the establishment of the Interim Climate Change Secretariat (ICCS) is a step in the right direction as it includes the establishment of a Financial Management (FM) component. Once the REDD+ coordinator has moved to ICCS, the programme may benefit from the already established financial management system.

Output 3.5: Benefit sharing model approved

48. This output is currently under implementation although it has not yet been realized. The study on “Assessment of Financing Incentives and Benefit Sharing Options and

Considerations for REDD+ in Zambia deals with this component. As noted in the footnote under this output, no one model can be suitable for various communities, as conditions differ from community to community. Consequently the objective behind this output is not realistic.

Partial Restructuring and/or Additions to Outcome 3

1. Conduct in-depth studies to assess REDD+ gaps and potential to support REDD+ Strategy development in: (a) Financing, incentives and benefit sharing mechanisms (b) Governance, mapping of safeguards and rights (legal/tenure/carbon) (c) Institutional capacity needs, roles and responsibilities;
2. Hold inception, peer review, joint validation workshops for ongoing and upcoming analytical work and related publish reports;
3. Integrate REDD+ into climate change policy and strategy;
4. Develop Communication Strategy and Plan to be used by stakeholders, including at Provincial level and district teams (together with the Training and Resource Manuals), and;
5. Implement Communication activities to support stakeholder engagement processes.

Outcome 4: National REDD+ strategies identified

49. This output has been achieved. The focus of outcome 4 was the development of community strategies aimed at reducing deforestation. Given that deforestation occurs at this level on account of the pursuit of various livelihood activities by community members, the strategies to be developed were to provide adequate income levels for them to be viable alternatives. Outcome 4 had 2 outputs as indicated below.

Output 4.1: Drivers of deforestation and forest degradation assessed

50. A study on the “Drivers of deforestation, identification of threatened forests and Forest Co-Benefits other than Carbon from REDD+ Implementation In Zambia-2013” has been successfully undertaken. Other relevant studies undertaken include: “Forest Management Practices with Potential for REDD+ in Zambia (2012)”, and “The Economic Context of Reducing Emissions from Deforestation and forest Degradation and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks (REDD+) in Zambia (2013)”, and “Preliminary Study on the Drivers of Deforestation and Potential for REDD+ in Zambia (2012)”.

Output 4.2: Candidate activities for REDD+ identified

51. This output was dealt with under the study on Drivers of Deforestation and the study “Forestry Management Practices with Potential for REDD+ in Zambia (2012)” as they dealt with community-level strategies that were mitigatory in nature. Some of the interventions included: community woodlot plantations and efficient use of charcoal and fuelwood.

Outcome 5: MRV capacity to implement REDD+ strengthened

52. Outcome 5 was to use existing methodologies to put in place an effective MRV system for REDD+. The outcome was to be realized through three outputs as shown below.

Output 5.1: REDD+ integrated with forestry inventory system (ILUA)

53. The implementation of ILUA II was launched by the Minister of Lands, Natural Resources and Environmental Protection in September 2012. ILUA II is expected to provide technically sound information on physical characteristics of forests and socio-economic conditions of forestry communities living in and around the forests. The information collected in ILUA II will satisfy various stakeholder categories, thereby meeting local, national, regional and international reporting requirements. By design, ILUA II will provide an important input into MRV reporting requirements for REDD+ with accurate information on forest carbon pools. The involvement of the FAO MRV facilitator in facilitating and backstopping both the UN-REDD programme as well as ILUA II is mutually beneficial to both programs.

Output 5.2: Operational Forest Monitoring System established and institutionalized

54. Considerable progress has been made towards the achievement of this output, including the establishment of 11 Geographic Information System Units, one at each of the 10 provincial headquarters and at the national level. The units have been established within government structures (Forestry Department) and training in the use of these facilities has been undertaken. Most of the GIS units are in use but at this stage some are not functional in the sense of being able to produce maps that would be useful for decision-making⁷. Multi-sectoral teams were trained (Forestry, Agriculture, and Planning), however, some of the trainees are no longer available to do GIS work for various reasons.

Output 5.3: Greenhouse gas emissions and removals from forest lands estimated and reported

55. A methodology was prepared (May 2013) for an operational measurement, reporting and verification system that is Intergovernmental Panel on Climate Change (IPCC) compliant for estimating and reporting Green House Gas (GHG) for forestry lands. This involved a number of aspects, namely:⁸ (i) reviewing of international and national reporting requirements for emission factors, activity data, and GHG reporting under the IPCC and the REDD+ mechanism for forest lands, (ii) compiling any relevant data on emission factors, activity data, and GHG emissions in Zambia, (iii) identifying of gaps in emission factors, activity data and GHG reporting and provide advice on how these knowledge gaps can be

⁷⁷ For example, in the Southern Province, they do not have paper for the large printer, and several of the people trained are not or no longer connected in any way with the equipment that was provided. Additional training of the right staff, additional equipment or software will be required to make these units fully functional, for example to be able to assess biomass/carbon and changes in land use over time.

⁸ IPCC compliant GHG reporting methodology for forestry lands in Zambia; UN-REDD+ Readiness process for Zambia, May 2013.

ameliorated, (iv) providing advice and input on field measurements for generating national emission factors for Zambia, (v) providing advice and input on the generation of activity data from Zambia's National Forest Monitoring System, (vi) guiding and providing advice on the establishment of a reference emission level for Zambia, and (vii) developing a detailed methodology for GHG reporting for forest lands that can be implemented by the relevant institution.

Outcome 6: Assessment of Reference Emission Level (REL) and Reference Level (RL) undertaken

56. This outcome was concerned with helping Zambia report on its reduction in emissions through REDD+ related activities. The outcome had two outputs as indicated below.

Output 6.1: Historical rates of forest area and carbon stock changes reviewed

57. A consultancy report on Zambian historic forestry area change and historic GHG emissions has been completed. The ILUA II, once completed sometime next year, will go a long way in providing useful data regarding the current forest area and carbon stock estimates. This will provide a useful baseline situation. A detailed analysis of greenhouse gas reporting for forest lands, reference emission levels and emission factors has been ongoing. This will generate IPCC compliant GHG reporting methodology for forestry lands in Zambia.

Output 6.2: National circumstances assessed

58. An in-depth analysis of the opportunity costs of REDD+ has been completed to "assess the economic context of REDD+ in Zambia". As already alluded to above, the implementation of ILUA II will go a long way in contributing towards the necessary national level socio-economic data.

Restructured Activities in the Original Log-frame

59. As part of accelerating and re-sequencing of the implementation of the Programme, some activities were bundled together and others were streamlined. All restructured activities contribute to original programme objectives. The work programme for 2013 was signed on 26th March 2013, by Government and United Nations representatives. In total, fifteen (15) new activities were added with three, seven and five activities added to outcomes one, two and three respectively. The revised strategies are wide-ranging, including: conduct a Strategic Evaluation of the REDD+ programme; undertake various analytical work as well as review and publish ongoing and upcoming analytical work, and; conduct in-depth studies to assess REDD+ gaps). Other important studies which are in progress include: "Economic evaluation of forests and ecosystem services and their contribution to the Zambian economy" (currently at Inception Report stage) which is being backstopped by UNEP and with support and co-financing from UNDP.

60. At present the best estimate is that at the end of August about USD 1.4 million of Phase 1 funds will be unspent and would be available for the proposed no-cost extension period. In this regard, there is need to revisit the allocation of resources to the various activities in the 2013 work programme. This should be based on the recommended activities that the Strategic Review has identified.

VI. Assessment of Programme Based on Key Criteria

61. The programme was assessed according to a number of specific criteria: relevance/appropriateness, effectiveness, efficiency (value for money), sustainability, and impact. The findings are discussed below.

Relevance/Appropriateness

62. Relevance refers to the extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies. The original objectives of the UN-REDD Programme remain relevant towards getting the country ready for REDD+. Likewise, the UN-REDD Programme's capacity-building efforts remain pertinent; it is just that these have been quite limited and government's absorptive capacity constrained. The UN-REDD Programme is relevant in advancing the REDD+ implementation in the country. Also, it is hoped that the Climate Change Secretariat under the Ministry of Finance, where the National REDD+ Coordinator has been placed, will enhance the integration of REDD+ into the national plans.

63. UN organizations do have convening power, and they could use that in the future by supporting the Interim Climate Change Secretariat. The UN Agencies have worldwide connections and could facilitate bringing in specialists for specific meetings and also bring in relevant cross-country experiences and lessons learned from which national actors would be able to benefit.

64. At this stage there is no significant need to refocus the remaining planned activities to make Zambia's UN-REDD Country Programme more relevant and appropriate. But some additional tasks are suggested at the end of this report, to be implemented during the proposed no-cost extension period. Regarding UN-REDD's relevance with regard to UNDAF: It is proposed that once the Strategy is developed and roles and responsibilities are defined for various stakeholders REDD+ will become much more multi-sectoral and also involve the private sector and civil society much more. If that is done, then UN-REDD will become more relevant to UNDAF. UN-REDD activities generally are culturally acceptable and feasible; a special effort, however, must be made to address matters related to local communities and the necessary social and environmental safeguards for REDD+. Finally, UN-REDD's objectives and activities remain in line with the Global UN-REDD Programme and emerging trends of REDD+ at the international level.

Effectiveness

65. Effectiveness refers to the extent to which the development intervention's objectives were achieved, or are expected to be achieved. The strategic review indicates that programme activities have improved the understanding of REDD+ for some staff at MLNREP. The understanding of REDD+ remains more limited in other relevant ministries and at the district and local levels. As recommended elsewhere, a programme extension should enable implementation of many of the remaining activities, and this is expected to improve the effectiveness of the programme. For the future, improving the effectiveness can in part be achieved by managing the implementation through the newly created Secretariat. However, in addition to the Ministries of Agriculture, Energy and Community Development, the private sector and NGOs, the MLNREP will continue to remain an important partner for effective, forestry-related programme implementation, which also implies that continued capacity building is expected to be needed. Increasing the effectiveness will not only require additional training, it will likely require additional staff resources, including the appointment of staff devoted full-time to REDD+ and an assignment of clear responsibilities to these staff for the achievement of activities under the work plans.

Efficiency/Value for Money

66. Efficiency is a measure of how economic resources/inputs (funds, expertise, time, etc.) are converted to results or value per Kwacha spent. It is difficult to measure because some of the outputs and outcomes are difficult to quantify, including capacity building, the degree of "readiness" for REDD+, etc. The institutional, partnership, and coordination arrangements provided some challenges to reach the intended objectives. It required three UN agencies with different setups/rules/regulations to collaborate. The management and administrative arrangements also were challenging.

Sustainability

67. This measures the extent to which benefits are likely to continue, within or outside the project domain, from a particular project or program after the Multi-Partner Trust Fund (MPTF) assistance/external assistance has come to an end. At this point in time the sustainability of the programme is not assured. However, if the programme was extended by 16 months (as recommended later in this report) and if the remaining tasks and processes can be completed well, this will likely provide more lasting outputs and outcomes, including quality baseline estimates for emission levels, more informed stakeholders, additional capacities built, etc. A major factor that would increase the likely sustainability of the progress so far would be a higher level of commitment and ownership of the government including by using its own funds to continue to advance the agenda (which will need to go beyond carbon but include other objectives). Also, with stronger financial and procurement management capacity in the Climate Change Secretariat, the UN Agencies should consider undertaking an FM and Procurement assessment and then transferring FM and procurement responsibilities to government in a mutually agreed manner. Once that is done it will increase ownership and sustainability.

Impact

68. **Outputs and Outcomes** have been assessed by the Review Team. **Impacts** are more difficult to identify and quantify. These are therefore generally assessed in subsequent years.

VII. Lessons Learned

69. The Strategic Review Team (SRT) identified five lessons highlighted below. Each lesson is followed by a brief discussion of the context that gave rise to the lesson.

Institutional Arrangements

70. **Lesson 1:** The choice and operationalization of institutional arrangements to facilitate the implementation of a programme of the nature of REDD+ should be determined by prevailing local country conditions. One should choose or set up institutional structures that will be operational rather than be on paper. The institutional arrangements should as much as possible be closely aligned to what is already in place and should be kept as simple as possible. This also implies a careful selection of staff who can contribute effectively because they are passionate about REDD+ issues and are not heavily committed with other tasks.

71. **Context for the lesson:** According to the REDD+ project document, there should have been three committees to facilitate programme implementation: the Steering Committee (SC); the Multi-Sector Technical Committee (MSTC), and; the Advisory Working Group (AWG). Of the three, only the AWG has not been functional. The other two have been functional. The MSTC was constituted and when government changed, new guidelines were given on how Committees needed to be constituted. There was therefore a need to re-constitute the SC and the MSTC as they worked in an ad-hoc manner.

72. **Lesson 2:** Pro-activity and effective leadership by government in defining terms of employment has implications on the rate at which such institutions would be established and their eventual performance. ICCS has been under formation for nearly two years on account of various reasons, including the need to define a national agenda for climate change, especially the Climate Change Policy, and the setting up of the Long-term Institutional Arrangements for Climate Change.

73. **Context for the lesson:** The rate at which the Interim Climate Change Secretariat (ICCS) is being established has been slow; this was to take into account lessons from other countries since Climate Change is an emerging issue.

Policy and Legislation

74. **Lesson 3:** The presence of appropriate policy and legislation environment is a critical prerequisite to moving forward the REDD+ agenda as well as other interventions related to climate change. The complex nature of REDD+ issues makes it all the more vital for the need for a clear policy and legislation framework to be in place.

75. **Context for the lesson:** The SRT has noted the overwhelming concern expressed by various stakeholder categories regarding the need for an appropriate policy and legislation framework before REDD+ work can move forward at a significant pace. A case in point is the Finnish Government supported Provincial Forestry Action Plan (PFAP) – Phase II (2000-2005). Though PFAP was successfully piloted in a few districts and communities and generated considerable interest from various stakeholders, the project could not continue nor be up scaled due to the absence of appropriate legislation. The SRT also noted an absence of commitment by financiers to invest in this sub-sector due to partly the lack of appropriate policies and legislation. Those that are passionate for the sub-sector are having to pursue long-routed options of realizing their goals. For instance, the Finnish government is planning a project in forestry and are having to look for options of getting the district councils to deal with legislation that would facilitate benefits sharing before the implementation of the planned project can be effected.

Knowledge Generation/Experience

76. **Lesson 4:** the absence of appropriate knowledge and experience generated from community based REDD+ related interventions negatively impact on stakeholder enthusiasm to commit themselves to and invest in the REDD+ agenda.

77. **Context for the lesson:** The SRT has observed from stakeholder consultations a general absence of enthusiasm by a number of key players to commit themselves to and invest in REDD+ interventions due to the lack of sufficient knowledge generated from community based REDD+ related activities. This may also partly be due to uncertainty in the REDD+ domain globally. Anxieties have been expressed by some stakeholders regarding the extent to which the REDD+ Strategy being developed will be anchored on adequate proven community evidence and experience.

Technical Advisory Input

78. **Lesson 5:** Technical advisory input, if well executed, together with government commitment, can have significant input in accelerating REDD+ agenda at country level.

79. **Context for the lesson:** The provision of a Technical Advisor (TA) for FAO activities from January 2012 provided implementation support for outputs 4 to 6, which have largely been achieved against the original project document. The TA under UNDP was only recruited in late 2012 to support implementation of outcome 1 to 3. The TAs have greater leverage and flexibility to identify and propose useful actions which those in government would not always find easy to deal with. In addition, given that the TAs are engaged on a full-time basis (unlike government staff who have to attend to other duties), they are able to supplement the efforts of government staff.

VIII. Conclusions on Achievements up to May 2013

D. Review of Government's Performance with Regard to UN-REDD

80. **Limited national ownership.** UN-REDD and Climate Change issues more generally, are relatively new, emerging topics that require dynamism, pro-activity and capacity building, some of which has been lacking. The programme's actual start was delayed from the signing in August 2010 to June 2011. Some of the shortcomings – but by no means all – may be tied to a financial management capacity assessment of the Forest Department, which indicated significant weaknesses. So the three UN Agencies decided not to transfer the grant funds to the Department to be managed in a recipient-executed manner without significant capacity building and additional safeguards. But managing the funds by the UN agencies meant limited national ownership; this could change once FM and procurement capacity has been confirmed for the Interim CC Secretariat (see below).

81. **Outdated legislation.** The 1973 Forestry Act is outdated and the Forests Act of 1999 was never commenced. The 2010 draft Act is currently under consideration. Government staff has indicated that this Act will be tabled in Parliament during the next session and likely enacted. However, many people are skeptical, given the past track record, and they are saying that they will believe it when they see it enacted. From the perspective of UN-REDD, new, updated legislation is so essential that the Strategic Review Team believes that, without new legislation passed, there cannot be a Second Phase of UN-REDD support with a realistic expectation of reasonable progress on reducing deforestation and forest degradation. Although some Cooperating Partners wishing to invest in REDD+-related interventions have cited the possibility of creating precedents in the absence of legislation in order to move their work forward, this has not been clear nor is it anchored in previous country experience.

82. **Weak management capacity in forest management and questions about governance.** There is a widespread perception in provinces and at district levels of weaknesses in management in the central Forestry Department and governance issues in the Ministry during the period under review as evidenced by interviews and a field visit. In order to strengthen sustainable forest management in relation to potential REDD+ implementation, numerous challenges will need to be addressed. Examples include:

- (a) The need to increase the unusually low administrative efficiency of the Forestry Department. For example, a proposal for Joint Forest Management was prepared in 2002 for the Dambwa Local Forest. An updated version of a Management Plan was produced in November 2010 and sent to the Forest Department in Lusaka for approval. As of June 2013, however, it is still awaiting approval by the Ministry.
- (b) Problems with adherence to forest laws. One specific example of perceived corruption relates to a title deed that was issued to the China Geo Construction Company in the Dambwa Forest Reserve. Such governance problems, like providing a title deed in Forest Reserves, have to be corrected if sustainable forest management and future REDD+ implementation is to be successful.

83. **Limited involvement of stakeholders.** REDD+ is an emerging issue that requires enhanced communication at all levels. Based on various interviews conducted, it was found that REDD+ is not yet well known since there has been little communication and limited stakeholder involvement of civil society, the private sector, NGOs, and local communities. In this regard, there is need to enhance communication and knowledge management at all levels to explain the phases of REDD+.

84. **Limited capacity at local levels.** Capacities of forestry staff at local levels are quite limited, e.g. in terms of transportation (lack of motor bikes, fuel, etc.). So, in general, they are unable to verify requests for approvals (e.g. for charcoal production). This may also mean that, for implementation of possible projects at local levels, forestry staff may need to be facilitated much better and/or they are to work with others to move things forward (NGOs, local communities, agriculture officials, etc.)

85. **REDD+ is a cross-sectoral issue.** REDD+ is a cross cutting issue and there is need for the UN-REDD Programme to accelerate the finalization of the Stakeholder Engagement Plan and commence its implementation before the strategy is finalized or work on it in parallel.

86. **Implementation progress:** While outcomes 4 to 6 have made progress, work related to strategy development (outcome 1 to 3) has been slow due to analytical work that needed to be completed first as well as management and other reasons. There has recently been steady progress towards analytical studies due to the bundling of some of the activities and the concerted efforts of the national REDD+ Team.

87. **A new opportunity: the Interim Secretariat for Climate Change (CC) under the Ministry of Finance.** This Interim Secretariat was created on 16th October 2012. It addresses mitigation, adaptation, cross-cutting issues, financing and disaster preparedness. It now includes key staff from other Ministries who were transferred into the Secretariat (a process which is still ongoing). This includes the National Coordinator for REDD+. The Forestry Department will still play an important role in the future, but the new arrangement should facilitate the involvement of other Ministries and stakeholders more easily in REDD+ activities than has been the case so far.

E. Assessment of the Performance of the UN Agencies Managing UN-REDD

88. **Inconsistencies and overly ambitious programme design.** In many ways the programme document represents a comprehensive piece of work, but there were also some shortcomings in the design, as reflected in the results framework, where backward and forward linkages were missing and/or the sequencing of tasks not fully consistent. One reason may be that Zambia was among the first Quick-Start countries. There has been some informal re-organising of the outputs to facilitate the development of the strategy. A 2013 work programme was agreed on March 26, 2013, which has many valuable elements in it, but it is recommended that the work programme be revisited along with recommendations made below and agreed for the extension period.

89. **Coordination challenges.** There are benefits of three agencies working together and complementing each other in terms of their expertise, joint planning and programming, and enhanced internal UN coordination meetings amongst others. Nevertheless, there were management shortcomings and constraints involved both for the three agencies themselves as well as for the recipient government. One challenge is that funding is channeled through each of the three organization at an international headquarter level. Another is that UNEP does not have a presence on the ground in Zambia. However, UNEP is coordinating and working in close collaboration with the partner agencies in the country to deliver its programme activities. Examples include the agreement between UNEP and FAO on drivers of deforestation, where FAO has done follow-up work for UNEP on the ground, and collaboration between UNEP and UNDP on delivering communication activities in the first half of 2013. There are other examples of the three agencies improving their collaboration⁹.

90. **Project preparation and piloting work.** Government had the desire to implement pilot projects to support the strategy development. However, piloting did not become part of the Programme design. The Strategic Review Team considers this as a programme design flaw at the level of the international UN-REDD Board which has been there from the outset of the readiness phase, and it is now considered a handicap as the program at the national level has not been able to benefit from learning-by-doing on the ground, and communities, districts, and provinces have not benefitted from REDD+ up to now. As one invitee to an inception meeting put it: “We are studying the studies and doing nothing for communities”, or as another one has said: “the Programme is just pushing papers in Lusaka”.

91. It is the view of the Strategic Review Team that key studies are indeed required as building blocks for the future. Nevertheless, in parallel to the studies and capacity building at the center, pragmatic efforts should be made to initiate practical work at community, district, or the provincial level. Given the constraints with UN-REDD funding and management capacity, government should take the lead on this and consider identifying and preparing projects on the ground during the proposed extension period (see recommendation D below). It is understood that implementation would not be possible during the proposed extension period; however, some projects may be ready for full funding and implementation by the time a possible Phase II was approved beginning in early 2015.

92. **Programme Rating.** The Rating System for the evaluation included the following six categories:

1. Highly satisfactory
2. Satisfactory
3. Moderately satisfactory
4. Moderately unsatisfactory
5. Unsatisfactory
6. Highly unsatisfactory

⁹ For example, the Chaminuka Protocol exemplifies this. The Agencies are doing some programmes jointly, thus enhancing synergies and reducing transaction cost. For example, UNEP and UNDP are working together on Communication strategy and economic valuation work, FAO and UNDP on Web Portal for NFMS and REDD+ Database, and UNEP and FAO Drivers of Deforestation.

93. **Based on a synthesis of the findings, the Strategic Review Team is assessing the Programme at this point in time as “moderately satisfactory”.** Below, a case is being made that, with an extension of an additional 16 months, the Programme could improve its management and could realistically be expected to deliver a sufficient number of planned outputs, and thereby enhance outcomes, so that the overall programme rating could realistically be expected to be raised to fully “satisfactory”.

IX. Recommendations/the Way Forward

94. Deforestation and forest degradation continue largely unabated in Zambia by logging, conversion of forests to agricultural land,¹⁰ charcoal production, fuelwood production, etc. The ILUA 2005-2008 estimated that this may be in the order of 250,000 to 300,000 hectares per year. More updated information does not exist but should become available next year based on the ILUA-II/UN-REDD work.

95. Given the ongoing deforestation, determined policy and investment action to reduce it seems warranted. However, there are still several building blocks missing and more clarity and specific, practical guidelines are needed before significant implementation actions can happen. Based on the strategic review, the Review Team is making **seven recommendations for the way forward**. These are:

1. **Extend the UN-REDD Zambia Programme for 16 months to permit completion of the basic key tasks and ensure a credible outcome that would allow a possible follow-up phase (extension proposed from the current closing date of August 31, 2013 to December 31, 2014);**
2. **Assist government to clarify and continue to strengthen the new institutional architecture for Climate Change, which comprises REDD+ within the Interim Climate Change Secretariat, and encourage involvement of relevant line ministries;**
3. **Promote more systematic and engagement of civil society, the private sector, and local communities; accelerate the finalization and implementation of the stakeholder engagement plan;**
4. **Explore the feasibility of supporting project identification and preparation work for REDD+ and REDD+-related projects, such as with seed money from a catalytic fund managed by the Interim Climate Change Secretariat;**
5. **Seek funding and carry out a study on charcoal and conventional and alternative energy that will make recommendations for policy reforms and investments, that will estimate how much emissions-reductions such**

¹⁰ Agriculture, through conversion of forest land, is the largest contributor to loss of forest in the country (ILUA, 2005-2008).

reforms and investments would entail, given that charcoal remains one of the main drivers of deforestation (USD 200,000);

- 6. Seek funding and carry out a study on agriculture that will make recommendations for policy reforms and investments, and estimate how much emissions-reductions such reforms and investments would entail, given that forest land conversion for agricultural production is one of the main drivers of deforestation (USD 200,000); and**
- 7. Government should expedite the review and adoption of legislation to empower communities regarding land tenure, tree tenure, and benefit sharing, given the importance for REDD+ and landscape management in general.**

These recommendations are discussed in more details below.

Recommendation 1:

Extend the UN-REDD Zambia Programme for 16 months to permit completion of the basic key tasks and ensure a credible outcome that would allow a possible follow-up phase (extension proposed from the current closing date of August 31, 2013 to December 31, 2014)

96. The programme had a slow start: while the agreement was signed in August 2010, actual implementation started only in June 2011. Slow bureaucratic processes both on the side of the UN Agencies as well as the Government, as well as other challenges, have resulted in delays. The pace of implementation has picked up. Nevertheless, the Programme has not yet reached some tangible outputs and outcomes at this time. USD 1.4 million is estimated to be available by the end of August 2013, which was the original closing date. It is proposed that the programme be extended to December 31, 2014. Key building blocks that still need to be prepared during the no-cost extension period include:

- (a) The determination of the Reference Emission Level for the country This may easily take a year, not only need numbers be produced but these numbers will need to be analysed and written up both for the professionals as well as in understandable form for the public, and carry a degree of credibility with a sound methodology;
- (b) Specific studies on: (i) financing mechanisms, positive incentives, and/or benefit sharing arrangements for REDD+; (ii) establishing a system for social & environmental safeguards for REDD+; (iii) a communications strategy; (iv) assessment of institutional capacities and needs for a viable REDD+ system in Zambia; and (v) economic valuation of forests and ecosystem services;
- (c) Development of a National Forest Monitoring web portal and stakeholder database for REDD+ [to be partly done in August; partly during the extension period];

- (d) Regular consultative exercises for critically/constructively reviewing the outputs of each of the studies. Some of these may require some follow-up work as discussed/recommended by the workshops. It may be possible to finish these study tasks in a fully satisfactory manner by the end of December, even if some specific follow-up work was agreed under new or expanded TORs. The proposed communications strategy can be developed in draft form up to a certain level; however, it may not be possible to complete the communications strategy before the national REDD strategy is finalized¹¹.
- (e) The development, multi-stakeholder consultations, and governmental adoption of the national REDD strategy will likely take a year, and then a few extra months to edit and disseminate it. The various studies under (b) above, as well as others, will all feed into the strategy. The strategy work could start when key studies are available; so a first draft may not be feasible until sometime in 2014. Two key requirements for the development of the draft will be: (a) appropriate consultation with stakeholders (key Ministries, civil society, NGOs, private sector, communities, districts, and provinces); and (b) underpinning the general aspects of the strategy with specifics (e.g. guidelines for preparing projects, etc.), which may, in part, depend on the proposed synthesis work (see below).

97. In order for the Programme to be able to complete these and other tasks in a satisfactory, participatory manner, the Strategic Review Team recommends a no-cost programme extension to December 31, 2014. It is the view of the Team that, with an extension of 16 months, the Programme could reasonably be finished in a fully satisfactory manner and that thereby the country could be considered to have successfully completed the readiness phase.

98. However, the Review Team sees a **risk** that, even with a satisfactory completion, in some sense, of the readiness phase of UN-REDD, the national REDD programme may not have accumulated **sufficient knowledge and experience about practical steps for project identification and preparation at a local level**. In order to **mitigate against this risk**, the Review Team is proposing to include some more practical project identification and preparation work during the proposed extension phase (see particularly recommendation D below), and it is also stressing the need for improved legislation without which a second phase would be hampered.

¹¹ The communications strategy must be careful to avoid raising unrealistic expectations, particularly as the carbon price is low and carbon payments may take several years to materialize. In the Ethiopia/Humbo Assisted Natural Regeneration Project it took two years from project identification to get to a Emission Reduction Purchase Agreement and another two years until the first carbon fund payment was made. Thus, projects will need to be justified on the basis of other benefits to be generated, and the carbon revenues will be an “add-on” later on.

Recommendation 2:

Assist government to clarify and continue to strengthen the new institutional architecture for Climate Change, which comprises REDD+ within the Interim Climate Change Secretariat, and encourage involvement of relevant line ministries

99. The recent/ongoing creation of an Interim Climate Change Secretariat under the Ministry of Finance is considered an important step forward in terms of national climate change policy. Accordingly, the REDD+ arena should rapidly link with these recent developments. This would potentially help with actual involvement of all key Ministries, and other stakeholders (see point C. below). The main thrust is coordination, not implementation. To make it effective, the following seems to emerge or be needed:

- (a) The National REDD+ Coordinator (except maybe the forest-monitoring and forest-management functions) is expected to be attached to the Interim Secretariat in the near future;
- (b) To the extent that any implementation actions will occur (aside from studies, etc.) the Ministry of Lands, Natural Resources and Environmental Protection as well as other Ministries will be doing it under informal arrangements; given the time it takes to prepare formal Memoranda of Understanding, those would be prepared for a possible second phase, i.e. after the extension period.

100. The Strategic Review Team is also recommending that:

- (c) if possible, a financial management (FM) assessment of the Interim CC Secretariat should be made and afterwards, as in the case of the World Bank's PPCR and the AfDB Project, financial management (along with standard audits) should be transferred from UN-REDD to the Secretariat or to implementing Ministries, in order to promote more country ownership; and
- (d) UN-REDD continue to support capacity building on a case-by-case basis, if specific needs are identified.

Recommendation 3:

Promote more systematic engagement of civil society, the private sector, and local communities; accelerate the finalization and implementation of the stakeholder engagement plan

101. Both in vision and operational action, government leadership on REDD should think "outside the box" of forestry, in a transformational mindset, so that private sector, civil society, NGOs, and people at provincial, district, and local level are included, such as through an Advisory Committee/Group. That "platform" could include donors working on the subject; the National Coordinator would serve as Secretary to the Advisory Group. The Advisory

Group should address the question whether Working Groups should be formed to address specific issues.

Recommendation 4:

Explore the feasibility of supporting project identification and preparation work for REDD+ and REDD+-related projects, such as with seed money from a catalytic grant fund managed by the Interim Climate Change Secretariat

102. In order to be ready for eventual funding of a significant implementation phase, assuming the necessary progress is made on the legislative front and in other areas, it is in the view of the Review Team that it is important to develop a strategy which is sufficiently informative and practical for the identification, preparation, and eventual implementation of projects. **If this is NOT done, there is a risk in the view of the Review Team, namely that readiness, after the extension phase, will be more on paper rather than in actuality of being able to move to serious implementation.**

103. Therefore, if possible, in parallel with the development of the strategy, UN-REDD and government should explore whether, during the 16-months extension period, some project identification and preparation work can be carried out, such as with a catalytic grant fund.

104. This objective could be supported during the extension phase by:

- (a) Intensify ongoing work which aims to synthesize knowledge about the limited practical experiences of past and ongoing REDD+ and REDD+-related projects in Zambia;
- (b) Drawing on the project of BioCarbon Partners, which is the only one close to being accredited in the country, as well as similar projects and initiatives as demonstration/learning projects;
- (c) Use (a) and (b) as a basis for one of more stakeholder workshops with the objective of developing preliminary guidelines for identifying and preparing other REDD+ projects, which could become an annex to the national REDD+ strategy;
- (d) **Consider the establishment of a catalytic grant fund managed by the Interim CC Secretariat. This may involve seed money from UN-REDD, if available, or from other sources.** Government may need to take the lead both in raising the funds (USD 1 million?) and also in implementing it with the support of UNDP through the facilitation of liaison with key development partners at a high level, brokering of strategic partnerships and the provision of advisory services for resource mobilization. In particular, UNDP will work with government to explore the application and implementation of the proposed Community Based REDD+ currently under discussion at the UN-REDD Policy Board. This Community Based REDD+ seeks to promote synergies between UN-REDD and the Global Environmental Facility (GEF) through the Small Grants Programme and leverages the co-financing

and expertise from the two initiatives. An entrepreneurial manager would be needed who is accountable to a board overseeing the grant allocation process. It could be considered whether, in part, this should involve a window for a competitive grant facility, or for other means to identify and prepare possible projects (see Annex 8).

Recommendation 5:

Seek funding and carry out a study on charcoal and conventional and alternative energy that will make recommendations for policy reforms and investments, and that will estimate how much emissions-reductions such reforms and investments would entail, given that charcoal remains one of the main drivers of deforestation (USD 200,000)

105. Sustainable Forest Management (SFM) will be an important part of the solution to the problem of deforestation and forest degradation. Under SFM selective logging takes place, replanting, natural regeneration, etc. Sound economic management would likely be aligned naturally with a carbon/environmental perspective. However, **unless addresses the drivers of charcoal production and agricultural expansion, one will not be able to significantly reduce reductions in the carbon stock at a national level**, even if one carried out successful REDD projects in some areas. Therefore, the Review Team proposes that UN-REDD and/or the government seek funding for two analytical, yet practical and appropriately consultative studies.

106. Regarding the **proposed work on energy**: Currently, large quantities of charcoal are produced locally by tens of thousands of poor farmers who lack alternative livelihood options. There is significant local demand for charcoal, since it remains a relatively cheap source of energy. Also, charcoal is exported, e.g. to Tanzania. It appears that several things are needed based on studies that have already been done:

- (a) Charcoal production could be made more efficient, i.e. much more charcoal could be produced with the same amount of wood if producers used improved kilns;
- (b) More efficient stoves could reduce the amount of charcoal needed for cooking;
- (c) Research on cheap alternative energy sources should be carried out;
- (d) An export tax could perhaps be imposed, if COMESA agreements permitted it; and
- (e) The government's local development strategy should emphasize and effect alternative livelihood options for the poor.

107. The Review Team is proposing is that, with appropriate involvement of the Ministry of Energy, about USD 30,000 be made available for first preparing a state-of-the-art survey on results of studies, pilot projects, work by government, the private sector, and NGOs. Then the paper should form the basis for a workshop (USD 10,000) to discuss whether sufficient knowledge exists for action or whether one needs additional analyses to develop

recommendations for policy reforms and investments, and how much emissions-reductions such reforms and investments would entail. So for the second phase of the work, if needed, USD 150,000 would be available as well as USD 10,000 for a stakeholder workshop to discuss follow-up actions.

Recommendation 6:

Seek funding and carry out a study on agriculture that will make recommendations for policy reforms and investments, and estimate how much emissions-reductions such reforms and investments would entail, given that forest land conversion for agricultural production is one of the main drivers of deforestation (USD 200,000)

108. Similarly as for energy, a study of USD 30,000 is recommended to summarize the state-of-the-art and thinking on carbon-rich, high productivity agriculture, incl. conservation agriculture, sustainable farming including soil and water conservation, agroforestry, and other improved farming practices which, together, improve soil fertility and also are likely to improve the carbon content both above ground and subsoil. Higher productivity and more sustainability would also reduce the need for additional clearing of forest areas.

109. After the study is available a workshop (USD 10,000) is to be held to discuss the results, determine whether adequate knowledge exists for significant actions or whether additional analyses are needed (USD 150,000) in order to derive **recommendations for policy reforms and investments, and how much emissions-reductions such reforms and investments would entail.** USD 10,000 would be available for a workshop to discuss follow-up actions.

Recommendation 7:

Government should expedite the review and adoption of legislation to empower communities regarding land tenure, tree tenure, and benefit sharing, given the importance for REDD+ and landscape management in general

110. Improved legislation is necessary, particularly for forestry, where legislation is outdated, but also for incentivizing sustainable land management more generally. A large number of people from civil society and local communities know about the challenges related to legislation, and especially those who have tried, or are trying, to carry out development projects at local levels. They have been demanding progress with updating legislation. Without it, the tragedy of the commons will continue, even on land that is formally considered forest land.

111. So the Government should show more leadership, and to the extent possible, UN-REDD should lobby national legislators for updating and improving relevant legislation¹². It

¹² The Strategic Review Team (SRT) has had a chance to briefly see the confidential draft of the current forest legislation, which government plans to submit to Parliament for the next session. Passage of the bill would likely represent a substantial improvement over the current legal situation. However, additional work will be

is understood that the UN-REDD programme has limited leverage in this area. Nevertheless, where opportunities arise in communications with the government, it could stress the need for improvements, since **the Forest Act of 1973 is outdated**. A no-cost extension is proposed, and it is expected that the government will make efforts to enact improved legislation. Without improved legislation the mining of assets, incl. in particular the mining of the stock of standing timber, would continue and hamper any possible implementation of REDD+.

112. Other legislation or implementing regulations may also be needed to empower land users at the local level; those who do the hard work at the local level, be it on sustainable forestry or sustainable land management more generally, must be properly incentivised. Only with proper tenure rights and associated incentives and benefit sharing will rural people have an assurance that they can reap the benefits in the medium and longer-term future from tree growing and land management investments more generally.

needed, since the draft Act, for example, does not yet provide full clarity on benefit sharing with local communities.

Annex 1: Work Plan for the Strategic Review of Zambia’s UN-REDD Programme

Programme Outcomes

The UN-REDD Zambia Joint National Programme (NJP) for REDD+ was developed with a financial allocation of US\$ 4.49 million 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 to:

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

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.

Objectives of the Strategic Review

The overall objective of the review is to assess the extent to which programme outputs and outcomes have been achieved and the contribution of the Programme so far in getting Zambia ready for REDD+ (i.e. has the Programme worked to meet its expectations, and if not, what reasons are accountable for this, and which areas need to be improved). In addition, it is to develop a vision and guidance for the longer-term engagement of the UN-REDD Programme in Zambia, its inclusion in the key national development processes and its collaboration with other sectors and partners in the area of REDD+; and assess current implementation, management and partnership arrangements to suggest improvements where possible.

More specifically, the team of consultants will:

- a. Assess the status of programme implementation including achievements of planned results and challenges encountered;
- b. Assess the extent to which Zambia’s UN-REDD Programme has contributed so far towards getting the country ‘ready for REDD+’ and what remains to be implemented;
- c. Document and extract the lessons learned and experiences to inform the completion of the programme and future implementation of REDD+;
- d. Provide recommendations and actions that will:

- Identify opportunities to enhance Zambia’s UN-REDD Programme;
- Identify operational priorities with proposals on work planning and budgetary processes until the end of the implementation;
- Feed into the action plan to request the no cost extension from the UN-REDD Secretariat;
- Strengthen institutional, partnership, management and coordination arrangements to fully deliver the Programme and to ensure a robust REDD+;
- Strengthen programme implementation including synergies and effective coordination between the UN-REDD programme and other ongoing REDD+ activities in the country;
- Identify major factors which will influence sustainability of the Programme and will ensure that the programme outputs and outcomes are ultimately sustainable after the implementation of the current UN-REDD programme.

Evaluation objectives	Key review questions	Proposed persons to meet
1. Assessing effectiveness (the extent to which programme outcomes have been achieved)	1.1. To what extent have programme activities so far yielded expected outputs and outcomes? 1.2. What planned activities have not been achieved and why (check log frame)? Will they be achieved before the end of the current phase (August 31, 2013)? Could they be achieved with a closing date extension to December 2013 or June 2014? 1.3. Have programme activities improved the understanding of REDD+ at MLNREP and other key government organizations and the public at large? 4. How could the effectiveness of the programme be improved with possible short-term actions before the end of this phase and a possible second phase/no-cost extension?	- Joint Steering Committee (JSC) - National Project Coordinator (NPC) - Multi-Sector Technical Committee (MSTC) - Programme Partners (PP) including: Collaborating NGOs (Climate Change Network; Community Based Natural Resources Management; Zambia Land Alliance; Center for International Forestry Research); -Financing Partners (USAID who are supporting a carbon related project and others); -Ministry of Agriculture; -Ministry of Finance; -Zambia National Farmers Union) -Central Statistics

		Office (CSO)
2. Assessing programme impact	<p>2.1. As Q 1.1 above.</p> <p>2.2. Has the programme made a difference to REDD+ in Zambia? Explain.</p> <p>2.3. What actions/developments/reforms would be necessary to make Zambia ready for REDD+?</p> <p>2.4. To what extent has Zambia's UN-REDD Country Programme so far contributed towards getting Zambia 'ready for REDD+'?</p>	<p>-JSC</p> <p>-PMC</p> <p>-NPC</p> <p>-PP</p> <p>-MSTC</p> <p>-CSO</p> <p>-Relevant Government Ministries</p>
3. Assessing programme relevance/ ap- propriateness	<p>3.1. As Q 2.4 above.</p> <p>3.2. How relevant are UN-REDD's capacity-building efforts for REDD+ for MNRT and other Government institutions at HQ and other levels?</p> <p>3.3. How relevant are UN-REDD activities in the context of all other activities on REDD+ in the country?</p> <p>3.4. Does the National REDD Task Force adequately coordinate UN-REDD activities with all other REDD activities in the country?</p> <p>3.5. Is there a need or opportunity to refocus any of the planned activities to make Zambia's UN-REDD Country Programme more relevant and appropriate?</p> <p>3.6. Which areas should the UN-REDD Programme target to remain relevant in the longer term and beyond the current programme period?</p> <p>3.7. How relevant and appropriate are the objectives of Zambia's UN-REDD Country Programme as part of the UN Development Assistance Plan (UNDAP)?</p> <p>3.8. Are UN-REDD activities culturally acceptable and feasible?</p> <p>3.9. Are objectives and activities of Zambia's UN-REDD Country Programme still in line with the Global UN-REDD Programme and emerging</p>	<p>-JSC</p> <p>-PMC</p> <p>-NPC</p> <p>-PP</p> <p>-CSO</p> <p>-MSTC</p> <p>-Relevant Government Ministries</p>

	trends of REDD+ at the international level?	
4. Assessing efficiency/ Value for money	<p>4.1. Request detailed programme expenditure report</p> <p>4.2. Will remaining funds be adequate to accomplish the remaining planned activities? If not what plans are there to ensure planned activities are accomplished?</p> <p>4.3. What efforts have been made to ensure efficiency of use of programme funds?</p> <p>4.4. What are the institutional, partnership and coordination arrangements?</p> <p>4.5. Are the institutional, partnership and coordination arrangements supportive to attainment of the intended objectives?</p> <p>4.6 If not what adjustments are necessary?</p> <p>4.7. Are the management and administrative arrangements necessary and adequate to fully deliver the Programme?</p> <p>4.8. Are there suggestions for more efficient programme implementation, for the current programme phase as well as for a longer-term engagement of UN-REDD in Zambia?</p> <p>4.9. How should the UN-REDD Programme coordinate its efforts with other REDD-related programmes, and which are the comparative advantages that the UN-REDD Programme should nurture when planning its future activities?</p> <p>4.10. <u>Partners:</u> Main activities, linkages/synergies with UN-REDD, areas that require improvement.</p>	<p>-JSC</p> <p>-PMC</p> <p>-NPC</p> <p>-PP</p> <p>-CSO</p> <p>-MSTC</p> <p>-Relevant Government Ministries</p>
5. Assessing sustainability	<p>5.1. How sustainable is the progress made and achievements of Zambia's UN-REDD Country Programme?</p> <p>5.2. What are the major factors which influence sustainability of the Programme?</p>	<p>-JSC</p> <p>-PMC</p> <p>-NPC</p> <p>-PP</p> <p>-CSO</p>

	<p>5.3. Do implementation arrangements support ownership of the programme and programme outcomes by government and stakeholders?</p> <p>5.4. Do programme coordination mechanisms adequately support sustainability of the programme?</p>	<p>-MSTC</p> <p>-Relevant Government Ministries</p>
<p>6. Measurement issues/statistics /M&E</p>	<p>What relatively up-to-date information is available on: (a) forest cover/area by type of forest; and (b) carbon content per hectare per type and management system? What practical steps could be taken to improve development of data for (a) and (b)?</p>	<p>-Forestry Statistics</p> <p>-CSO</p>
<p>7. General Issues for development partners and policy makers</p>	<p>Introductory questions with more specific follow-up questions depending on knowledge/insights:</p> <p>How would you rate the program?</p> <p>If in your view the program was less than fully satisfactory, what would key actions/improvements that could/should be enacted?</p>	

Annex 2: Tentative Itinerary for the Strategic Review of UN-REDD Programme Zambia (Draft, May 24, 2013)

Date	Location	Activity / Comments
May 20-24	Home-based	Review key documents
Sun 26 May	Travel to Lusaka	Review key documents
Mon 27 May	Lusaka	-Courtesy call UNDP Country Director -Courtesy call on PS Ministry of Lands, Natural Resources and Environmental Protection -Courtesy call on the Chairperson, Joint Steering Committee -Courtesy call Inter-ministerial Interim Climate Change Secretariat -Courtesy call Director of Forestry Meet National Coordinator
Tue 28 May	Lusaka	-Consultants work together and prepare meeting -Inception meeting with key stakeholders (UN, Government, DPs, members of Programme Management Committee, Members of the Joint Steering Committee, NGOs)
Wed 29 May	Lusaka	- Stakeholder meeting (tentative) - Meet UNDP-Meet FAO. -Meet UNEP - Meet Joint Steering Committee -Meet National Coordinator
Thur 30 May	Lusaka	-Meet Multi-Sectoral Technical Committee -Meet collaborating NGOs -Meet collaborating government ministries and departments -Meet cooperating partners
Fri 31 May	Lusaka	Meet Norwegian representative
Sat 1 June	Lusaka	Drafting of report
Mon 3 June	Lusaka	Meet with....
Tue 4 June	Lusaka	Meet with.... -Compiling findings
Wed 5 June ¹³	Lusaka	Meet with Ministry of Finance; Cabinet office -Compiling findings
Thur 6 June	Lusaka	-Meeting with any other stakeholders who may have been left out -Compiling findings Share rough draft with UNDP
Fri 7 June	Southern province	Field trip by international consultant?
Sat 8 June	Southern	Field trip by international consultant?

¹³ From 5th to 8th June, the National Consultant will be away in Nairobi.

	province	
Mon 10 June		Share rough draft with UNDP, UNEP, and FAO for comments/feedback/discussions
Tue 11 June	Lusaka	Address comments from UNDP, FAO, UNEP
Wed 12 June	Lusaka	Address comments from UNDP, FAO, UNEP
Thur 13 June	Lusaka	Presentation of draft report to government/ stakeholders at wrap-up meeting
Fri 14 June	Lusaka	Incorporating comments from stakeholders/home travel Draft to be sent by UNDP to Government for comments/suggestions by Monday, June 24.
Monday, June 24	Lusaka	UNDP to provide all comments received to consultant team
June 25 to June 27	Home-based	Consultants to finalise report and submit final draft to UNDP by Friday, June 28

Annex 3: Participants in the Strategic Review of the UN-REDD Programme

A: List of People Interviewed

S/N	NAME	TITLE/ ORGANISATION	ADDRESS/TEL/E-MAIL
1.	Elsie Attafuah	Technical Advisor to REDD, UNDP	elsie.atafuah@undp.org +260973229617
2.	Winnie Musonda	Assistant Resident Representative, Environment, UNDP	winnie.musonda@undp.org
3.	Kanni Wignaraja	UN Resident Coordinator and UNDP Resident Representative	Kanni.wignaraja@one.un.org
4.	Julian Fox	UN-REDD MVR Facilitator for Zambia, FAO,	Julian.Fox@fao.org +260 97 125 2008
5.	George Okech	FAO Representative	George.okech@fao.org +260975533547/ +260211251717
6.	Celestina Lwatula	Programme Officer, FAO.	Celestina.Lwatula@fao.org +260211251717
7.	Deuteronomy Kasaro	National Coordinator, UN-REDD	deutkas@yahoo.co.uk +260977654130
8.	Anna Chileshe Masinja	Director, Forestry Department	Chileshe_masinja@yahoo.com
9.	David C. Kaluba	Pilot Programme for Climate Change Resilience (PPCR)	+260979403037 David.kaluba@mofno.gov.zm dckaluba@juno.com
10.	Sabera Khan	Administrative Expert, Pilot Programme for Climate Change Resilience (PPCR)	0955550246; skhan@Llagdsfinacial.co.zm
11.	Georgina Fekete	Deputy Country Director (Programme), United Nations Development Programme	Georgina.fekete@undp.org +260211250800/254419
12.	Everisto Nyanoka	Principal Agricultural Specialist, Land Management and Conservation Farming	
13.	Moosho L. Imakando	Senior Programme Officer (Environment, Natural Resources, Gender), Royal Norwegian Embassy	Imi@mfa.no lusaka@mfa.no +260211252188 +260955023978
14	Jan Erik Studstrød	Royal Norwegian Embassy	+260211252188

15.	Elizabeth Ndhlovu	Sector Advisor, Environment and Forestry, Finnish Embassy.	Elizabeth.ndhlovu@forin.fi +260251988/ 251234
Civil Society Organizations UN-REDD Dialogue			
16.	Evans Tembo	CSO UN-REDD	envaros@yahoo.com +260977344689
17.	Justina Zulu	CSO UN-REDD	+260977834934
18.	Beverly Chabwela	CSO UN-REDD	tobevy@yahoo.com ; greenaction_i@yahoo.com +260977865935/ +260950916530
19.	Chezeu Suede	CSO UN-REDD	Chezeusuede044@gmail.com +260964346010
20.	Monica Chundama	CSO UN-REDD	ameyawalia@gmail.com +260977688621
21.	Noah Zimba	CSO UN-REDD	gbnaturals@gmail.com +260977873673
Others Interviewed			
22.	John Prydz	UNEP Nairobi, Kenya	John.Prydz@unep.org
23.	Davis Kashole	Forest Officer, FD, Lusaka	dkashole@gmail.com
24.	Perry Mwanda	Extension Assistant, FD, Livingstone	
25.	Donald Lubumbe	District Forest Officer, Livingstone	donlubumbe@yahoo.com
26.	Jones Mulomba	District Forest Officer, Choma	mulombajk@yahoo.com

B: Participants at the UN-REDD Programme Inception Meeting May 29

S/N	Name	Position/Institution
1.	S. Tembo	Consultant, RuralNet Associates Ltd
2.	Ernst Lutz	Consultant, Agriculture & Natural Resources Management
3.	Blair Mobley	M & E Officer, M&E Officer, CIFOR
4.	Chimfwembe Lesa	Mining Engineer, Ministry of Mines, Water
5.	Boyd Vinya	Participant, Copperbelt University
6.	Isaac Kanguya	Participant, NHCC
7.	Mwape Sichilongo	Consultant, CERED
8.	Davies Kashole	Project Officer, Forestry Department, UN-REDD+
9.	Aurther Nkonde	Director, BCN
10.	Excellent Hachileka	CC Specialist, UNDP
11.	Abraham Makano	Consultant, MPMC
12.	W. Hankombo	Program Officer,
13.	Moses Kaumba	Program Officer, FDHQ, REDD+
14.	Sishekanu Makweti	Env & Forestry Manager, ZNFU
15.	Deuteronomy Kasaro	REDD Coordinator, FD, NRC – REDD
16.	Chimambo R	B/D, ZCCN
17.	Gorge Kanja	Consultant, BCN
18.	C. Makayi	Estates Officer, Lands Department
19.	C. Mwitwa	Director, ZDA
20.	J. Bwalya	Consultant, DEVCOM
21.	Julian Fox	Technical Advisor, FAO
22.	Noah Zimba	Chairperson, ZCCN
23.	Everisto Nyanoka	PAS- LM&CF, MAL
24.	Lad Kazembe	Manager – Thad, NRSC
25.	Mutinta Chikonka	Chairperson, CYCCA

**C: Participants at the UN-REDD Programme Evaluation Debriefing Meeting on
June 14 at the Board Room in the Forestry Department**

1. Mr. I. Makumba	Acting Director	Forestry Department
2. Mr. D. Kasaro	National Coordinator	UN-REDD/Forestry Dept
3. Mr. W. Sangulube	Chief Extension Officer	Forestry Department
4. Mr. B. Chendauka	National Coordinator	ILUA II /Forestry Dept.
5. Ms. E. Attafuah	Technical Advisor	UNDP/ UN-REDD
6. Ms. V. Nanagavo	Programme officer	UNDP/ UN-REDD
7. Ms. M. Mwambazi	Administrative Assistant	UNDP/UN-REDD
8. Mr. M. Mwape	Coordinator	WWF CBNRM
9. Mr. M. Kaumba	Project Officer	UN-REDD/ Forestry Dept
10. Mr. E. Lutz	Consultant	
11. Mr. S. Wamunyima	Project Officer	ILUA II /Forestry Dept.
12. Mr. J. Mukosha	Extention Officer	Forestry Department
13. Dr. J. Fox	MRV Technical Advisor	FAO/UN-REDD
14. Mr. B. Nkandu	Snr Draughtsman	Forestry Department
15. Mr. W. Hankombo	Programme Officer	Forestry Department
16. Ms. E. Chimya	Board Treasurer	CBNRM
17. Mr. D. Kashole	Project Officer	UN-REDD/Forestry Dept
18. Mr. A. Makano	Consultant	
19. Mr. S. Tembo	Consultant	RuralNet

Annex 4: Strategic Review of the UN-REDD Programme in Zambia--Terms of Reference

International and National Consultants (Individuals)

1. Background and Context

Zambia is among the first pilot countries to implement 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 and beneficiary of UN-REDD (a United Nations collaborative programme, comprising FAO, UNDP and UNEP).

In line with the above, a UN-REDD Zambia Joint National Programme (NJP) for REDD+ was developed, with a financial allocation of US\$ 4.49 million, 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 to:

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

2. Justification

The REDD+ readiness phase is ongoing with steady progress made in key areas of programme implementation, notably since 2012. These include: a) awareness raising on REDD+, stakeholder engagement exemplified by high-level government support to stakeholder processes; b) development of a forest monitoring system including decentralising the forest monitoring system in 10 provinces that have operational Forest Monitoring Laboratories; c) measurement, reporting and verification (MRV) system developments such as development of Roadmap for MRV framework and capacity building support; and d) studies undertaken and ongoing on REDD+ issues.

Notwithstanding the progress made above, there has been a number of implementation challenges. Notable are those that are related to the UN-REDD programme design itself. As one of the first national programmes to be designed under UN-REDD, without the benefit of lessons learned from other programmes and knowledge of emerging issues on REDD+ as currently known, the Zambia programme has overlapping and sometimes duplicating outputs, activities and sub-activities which are not easy to coordinate or duly sequence. This has affected programme delivery and protracted implementation. This design feature has become an operational challenge, having been acknowledged and was also highlighted in a recent retreat by the UN-REDD+ team comprising the National REDD+ Coordination Unit and United Nations colleagues supporting the UN-REDD programme in Zambia. In addition to programme design challenges, there have been other challenges including those of a conceptual nature.

Furthermore, the domain of REDD+ has substantially evolved in the past year, partly in relation to the progress of negotiations, which has brought more clarity on how to build a REDD+ system with the requisite international-level requirements.

Therefore, in light of the above, a strategic review has become imperative in order to:

1. Strengthen programme implementation, which will help to build and consolidate the gains and achievements of the past years, and as well address challenges and lessons learned over the past years of implementation. The strategic review will provide an opportunity to take stock of achievements, experiences and lessons learned, and provide recommendations on the way forward. This will make programme implementation more streamlined, coherent, feasible and aligned with current evolution of the REDD+ domain;
2. Promote synergistic implementation: Several non-governmental, private sector and development partners are implementing REDD+ related projects, which should inform the development of a REDD+ strategy and its future implementation. While Zambia's UN-REDD Programme is linked in with other initiatives and is facilitating coordination on programme elements such as MRV, there is a need to review and provide recommendations to strengthen the REDD+ Coordination processes for the benefit of Zambia. This way, the UN-REDD programme and indeed the REDD+ processes as a whole, would be able to benefit from the complementarities amongst the various initiatives and position the country for further REDD+ support after the current programme.

3. Objectives

The overall objective of the review is to assess the extent to which programme outputs and outcomes have been achieved and the contribution of the Programme so far in getting Zambia 'ready for REDD+ (i.e. has the Programme worked to meet its expectations, and if not, what reasons are accountable for this, and which areas need to be improved)', In addition, it is to develop a vision and guidance for the longer term engagement of the UN-REDD Programme in Zambia, its inclusion in the key national development processes and its collaboration with other sectors and partners in the area of REDD+; and assess current implementation, management and partnership arrangements to suggest improvements where possible.

Finally, it will propose recommendations on operational priorities and an outline of work plan and budget until the end of the implementation.

4. Scope and tasks

4.1 Scope

The review should cover the period from the signing of the National Programme Document in 2010 until the time of the review. It will examine the full range of activities under the Programme and will provide recommendations to enhance programme implementation.

4.2 Tasks

More specifically, the team of consultants will:

- a. Assess the status of programme implementation including achievements of planned results and challenges encountered;
- b. Assess the extent to which Zambia's UN-REDD Programme has contributed so far towards getting the country 'ready for REDD+' and what remains to be implemented;
- c. Document and extract the lessons learned and experiences to inform the completion of the programme and future implementation of REDD+;
- d. Provide recommendations and actions that will:
 - Identify opportunities to enhance the Programme Zambia's UN-REDD Programme;
 - Identify operational priorities with proposals on work planning and budgetary processes until the end of the implementation;
 - Feed into the action plan to request the no cost extension from the UN-REDD Secretariat;
 - Strengthen institutional, partnership, management and coordination arrangements to fully deliver the Programme and to ensure a robust REDD+;
 - Strengthen programme implementation including synergies and effective coordination between the UN-REDD programme and other ongoing REDD+ activities in the country;
 - Identify major factors which will influence sustainability of the Programme and will ensure that the programme outputs and outcomes are ultimately sustainable after the implementation of the current UN-REDD programme.

3. Methodology

The review will use the following methods for data collection:

Document Review

Documents that constitute formal agreement among project partners and/or record progress; such as the National Programme Document, inception report, meeting minutes, project work plans, periodic reports, as well as reports prepared by contractors to document their commissioned work;

Documentation from other REDD+ projects and processes in Zambia;

Other relevant working documents produced during the course of implementation.

Key Informant Interviews

The review will include interviews with key stakeholders:

- Senior management at FD, MLNREP and other relevant Government organisations;
- Members of the REDD+ and ILUA Technical Committees;
- Staff in FD working on REDD+;

- Management and staff of other REDD initiatives and related initiatives in Zambia,
- including the Royal Norwegian Embassy, Finland, USAID and other development partners such as NGOs;
- UN staff and management involved in the UN-REDD Programme in Zambia including
- key project personnel and backstopping team;
- Focus Group discussions with selected stakeholders

In conducting data analysis and presenting the findings, the review should use a combination of qualitative and quantitative methods. The reviewers will apply internationally recognized standards for reviews.

4. Outputs and Deliverables

Inception report – within two days of the start of the assignment. The document will highlight the consultants’ interpretation or understanding of the TOR; detailed approach and methodology for the review, a work plan and time schedule, and draft data collection protocols. The report should also include an outline of the review report.

Preliminary findings report – a presentation of findings to key stakeholders orally and in writing will be made prior to completing the in-country mission. The purpose of this session is to provide opportunity for initial validation and elaboration of the reviewer’s observations and analysis.

Draft report – within two weeks of leaving the project site, the reviewers will submit a draft review report to UNDP.

Final report – within two weeks of receiving comments from stakeholders, the Review Team will submit a final document.

5. Report Outline

As a minimum, the Report (draft or final) shall include the following components:

- i. Title and opening pages
- ii. Table of contents
- iii. List of acronyms and abbreviations
- iv. Executive Summary
- v. Introduction / Background
- vi. Project outline and management
- vii. Objectives and scope of the review
- viii. Review Methodology and guiding principles if any
- ix. Data Analysis
- x. Findings
- xi. Lessons Learned
- xii. Recommendations (including proposals on priority actions and timelines to conclude readiness phase)
- xiii. Relevant Annexes, e.g.
 - a. List of people interviewed
 - b. Review work plan and
 - c. TOR

d. Key reference documents

6. Review Team Composition and Required Qualifications

A team of two independent experts, one international and one national, will be contracted to undertake the review. The Team Leader will lead, organize, and supervise the work of the review team, ensuring a division of labor that is commensurate with the skills profiles of the individual team members.

He or she will have overall responsibility for the production of deliverables, in particular the strategic review report, and is ultimately accountable for its quality. The Team Leader is also responsible for ensuring adequate consultations with all stakeholders and for reporting to UNDP on progress.

Specifically, the team members will have the following profiles:

1. Team Leader for Strategic Review (International Consultant):

- An effective manager with demonstrated experience in conducting international development reviews and evaluations;
- Demonstrated strong knowledge of Monitoring and Review methods for development projects; knowledge of UNDP's results-based management orientation and practices;
- Broad knowledge of REDD+ and its role in climate change policies and approaches, with 5-10 years' experience in the implementation of forestry and /or climate change projects and programmes in developing countries;
- Demonstrated experience with implementation and/or review of capacity-building efforts in developing countries, ideally in the area of forestry and/or climate change mitigation/adaptation;
- Prior experience from Sub-Saharan Africa preferred.

2. Forestry and REDD+ Expert (National Consultant):

- Demonstrated experience and strong knowledge in REDD+ and related areas in Zambia, such as general forest management, MRV, Governance, Safeguards, ;
- 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 political and economic development in Zambia and how REDD+ fits in with that;
- Excellent organizational skills;
- Fluent written and spoken English.

Qualification Requirements for both consultants:

- At least a Masters' Degree in a Social Science or other relevant area;
- Min. 10 year's work experience;
- Familiarity with project implementation in complex multi donor-funded projects;
- Fluency in the English language and excellent oral and written communication skills.

The consultants must not have had any involvement in the design or implementation of this programme and have no present affiliation with the UN organizations funding the programme,

or any of the programmes of key project stakeholders that would jeopardize their objectivity in relation to the assignment.

Consultants will be contracted by UNDP and remunerated according to UNDPs standard Lusaka rates for consultants and in line with the level of their experience and expertise. The contract will be output-based and payment issued only upon delivery of satisfactory outputs.

7. Principles and Ethics

The review will be guided by the principles laid out in UNDP Evaluation Policy <http://www.undp.org/review/> 1 and the principles outlined in the UNEG ‘Ethical Guidelines for Evaluation’ <http://www.uneval.org/search/index.jsp?q=ethical+guidelines>.

The UNDP M&E Handbook <http://www.undp.org/review/handbook/> is another useful reference to UNDP’s review principles.

8. Implementation Arrangements

The Team Leader will report to UNDP Deputy Country Director and shall work co-operatively with the UN-REDD team, particularly the national REDD+ Coordinator and the UN-REDD Technical Advisor. The UNDP Regional Service Centre and HQ teams will support the development of the review work plan in consultation with key project partners.

The ILUA and REDD Technical Committees will serve as the reference group for the review and ensure the monitoring of satisfactory completion of review deliverables.

In consultation with the Review Team Leader and as requested, UN-REDD personnel will make available all relevant documentation and provide contact information to key project partners and stakeholders, and facilitate contact where needed. The team will also assist in organizing any briefing de-briefing meetings including coordination of stakeholders input in the review draft report

9. Time Frame for the Review Process

The Review is expected to start in April 2013 and have an estimated total duration of 25 working days per consultant. The final work plan will be agreed jointly by the Review Team and the UN-REDD Team and approved by the UNRC and the Minister of MLNREP.

Ref. SEE THE 2013 ANNUAL WORK PLAN AND BUDGET OF THE UNITED NATIONS COLLABORATIVE PROGRAMME ON REDUCING EMISSIONS FROM DEFORESTATION AND FOREST DEGRADATION (UN-REDD PROGRAMME) IN ZAMBIA: BACKGROUND NOTE AND IMPLEMENTATION STRATEGY

ii Ibid

Indicative Work Requirement

Orientation to the assignment, initial document review, design of surveys, and preparation/discussion of the Review Plan: 2 days

Detailed document review, interviews with key project personnel, stakeholder consultations, conducting of surveys, field visits (as appropriate), etc.: 11 days

Analysis and preparation of draft review findings: 4 days

Debriefings: 1 days

Preparation of Final Review Report, including addressing comments from stakeholders on the first draft: 2 days

Total: 20 working days

Annex 5: List of UN-REDD Programme Documents

SN	CATEGORY/TITLE OF DOCUMENT	MONTH/YEAR PRODUCED	PRODUCED BY
	Consultancy Reports		
1.	Drivers of deforestation, identification of threatened forests and Forest Co-Benefits other than Carbon from REDD+ Implementation In Zambia	April 2012	Chomba, B.M., Tembo, O., Mutandi, K., Mtongo, C.S., and Makano, A.,
2	Capacity Assessment of Provincial GIS Units under U_-REDD+ Project in Zambia (Draft Report)	May 2013	Masialeti I.
3	Forestry Management Practices with Potential for REDD+ in Zambia	March 2012	Kokwe M Kokwe G.M (Niras/GRZ)
4.	The Economic Context of Reducing Emissions from Deforestation and forest Degradation and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks (REDD+) in Zambia	2013	Chishimba, S., Chundama, M. & Akakandelwa, A.
5.	IPCC Compliant GHG Reporting Methodology for Forest Lands in Zambia UN-REDD Readiness Process for Zambia, Final Report	May 2013	Professor F.D. Yamba
6.	Expert Guidance on Drivers of deforestation and REDD+ - economics in Zambia; REDD+ Activity Briefs, Draft Report	April 2013	Freiburg
7.	Integrated Land Use Assessment (ILUA)- Zambia	2005 - 2008	Zambia Forestry Department and Food and Agriculture Organization of the United Nations
10.	Workshop documents		
5.	GIS Follow-up Training in the Provinces, Final Report	August 2012	National Remote Sensing Centre
6.	GIS Follow-up Training in the Provinces, Final Report	December 2012	National Remote Sensing Centre
7.	Final Draft Report on ILUAI Validation workshop	August 2012	UNREDD+ Programme
8.	Training Manual on Measurement, Reporting and Verification (MRV) and Green House Gas (GHG) Reporting to Support REDD+ in Zambia	May 2012	UNREDD+ Programme
9	Training on Tree Allometric Equations; Workshop Proceedings Report	December 2012	Greenwell Mkwavi
10	Measurement, Reporting and Verification (MRV) and Green House Gas (GHG) Reporting to Support REDD+ in Zambia – Workshop Proceedings	May 2012	UNREDD+ Programme
11	Validation Workshop Report	April 2013	Ministry of Lands,

			Natural Resources and Environmental Protection
	Programme documents		
9.	UN Collaborative Programme on Reducing Emissions from Deforestation and Forestry Degradation in Developing Countries, National Joint Programme Document-Republic of Zambia	2010	UNDP, FAO, UNEP and Government of the Republic of Zambia
10.	First Quarter Report	March 2013	UNREDD+ Programme
11	Third Quarter Report	2012	UNREDD+ Programme
12	Annual Work Plan	2013	UNREDD+ Programme
13	Annual Work Plan	2012	UNREDD+ Programme
14	Sixth National Development Plan (SNDP)	January 2011	Government of the Republic of Zambia
	Other documents		
14.	Pilot Programme for Climate Resilience Report on the Mission to Central Province on 2012 Assessment, Prioritization and Selection Field Exercise to Kafue Sub-basin	September 2012	Republic of Zambia, Ministry of Finance (Sishekanu M; Zulu C; Zulu P.T; Suede C;)
15.	Reducing Emissions from Forestry Deforestation and Forestry Degradation, 2013 Annual Workplan	March 2013	UN-REDD Programme and Government of the Republic of Zambia
16.	UN-REDD Programme 2012 Annual Report Zambia	March 2013	UN-REDD Programme and Government of the Republic of Zambia
17.	Stakeholder Analysis and Engagement Plan, Zambia – Policy Brief	April 2013	Makano R.F.
18	Report On The Pilot Programme for Climate Resilience (PPCR) Field Prioritisation and Assessments for Southern Province, 23 September – 4 November 2012	October 2012	Kanyanga J.K.

Annex 6: Summary from the Review of REDD+ Pilot Projects in Tanzania¹⁴

The REDD+ Pilot Project Portfolio in Tanzania funded by the Norwegian Government is creating significant conservation value across the country. The selection of projects was well planned as **the portfolio covers a wide range of project conditions that are testing policy decisions at the subnational level.** While there are common activities among the different projects, each is implementing a different approach and methodology. The ecological conditions are representative of all the major ecosystems of Tanzania and are located on a range of different government land classifications. This diverse group of projects has the potential to create tested models of conservation which can be replicated in other parts of the country.

At the local level, impacts from the projects in the portfolio are visible and recognized by local communities. **Projects are creating concrete results in terms of positive changes in land use planning, community based forest management, and providing income generating opportunities for forest adjacent communities.** The projects are staffed with well-trained professionals and, in virtually all cases, local people and district government officials are pleased with the activities being implemented. A real success of the project portfolio has been the strengthening community rights to forest areas.

The portfolio is also helping to increase the capacity of a series of environmental organizations to develop REDD+ projects, improve MRV systems, and leverage voluntary markets. The pilot organizations are learning and implementing best international practices required by the voluntary markets. Several of the projects are also creating new methodologies and pioneering new technology that will impact the implementation of REDD+ not only in other parts of Tanzania but also in other countries.

The portfolio's decision to provide payments to communities prior to validation on the voluntary markets is highly innovative and recognizes the gap between the start of the project and when revenue will be generated from credit sales. The diversity of the benefit sharing mechanisms being implemented will provide an innovative research environment which has the potential to influence REDD+ sharing mechanisms at the community level worldwide. At the national level, the pilots also offer an opportunity for the Tanzanian national government to assess different approaches to benefit sharing as it seeks to develop a national level system that will ensure emission reductions at the community level.

The Jane Goodall Institute project has integrated its benefit sharing program with district level governments fund distribution systems. This structure also has the potential to allow the project to effectively integrate into a national REDD benefit distribution system where the national government directs funds to the district based on subnational monitoring and results. The results of the REDD pilot benefit sharing schemes should also be compared to other payment for ecosystem services already in place in Tanzania such as fauna protection payments for communities surrounding national parks and game reserves. At the project level, benefit sharing is incentivizing conservation activities and creating significant buy-in from local communities.

¹⁴ Extracted from the Executive Summary of the report prepared by Deloitte entitled: "Mid-Term Review Report of Nine NGO REDD+ Pilot Projects in Tanzania", August 17, 2012.

The portfolio is also experiencing challenges in realizing its goals. Pilot projects often operate in a black box while communication and collaboration on technical aspects of the projects is lacking. This has slowed general progress in accessing voluntary markets as each project tries to complete this component alone while experiencing similar barriers, which is an area of poor efficiency.

The portfolio would benefit from a designated coordinator that will take an active role in linking projects that could benefit from collaboration. This is particularly relevant for project design document preparation, methodology development and selection, fire monitoring, agricultural extension, and forest patrol management systems - all of which could lead to significant cost savings, improve results, and hasten implementation.

For projects looking to access voluntary markets, there is a disconnect between field staff and technical staff who are charged with analyzing field data and creating project design documents required for accessing markets. This disconnect amounts to a lost opportunity to create a large network of environmental professionals that is highly knowledgeable on the current state of carbon markets and how they can be leveraged to create exit strategies for projects after financing from the RNE is completed. Furthermore, highly knowledgeable professionals would be better equipped to play a role in influencing national policy.

The portfolio as a whole is clearly testing key REDD+ policy issues through project implementation across the country. However it is difficult to determine how these projects are influencing national policy. At the academic level, CCIAM funded research is taking place in all of the project sites. However the completion of the research studies is a lengthy process and it is not clear how the results are translating into pragmatic policymaking. REDD+ task force members are knowledgeable of the projects and have conducted frequent sites visits, yet it remains uncertain how project results are influencing the policy debate. Conversely, pilot projects are having a concrete impact on policy decisions at the district level where there has been significant interaction with government officials leading to changes in land classifications and benefit sharing agreements for REDD+ on government forest land. While the CARE project in Zanzibar has had considerable interaction with national government officials, it is an outlier within the group.

The projects are all providing significant carbon stock data inputs to NAFORMA which will assist in the development of a national MRV system that will undoubtedly impact national policy. There is a lack of coordinated effort by lead project implementers in lobbying the national government on REDD+ policy issues. TFCG is one of the most engaged projects of the portfolio in its efforts to influence national REDD+ policy as it has a clear policy agenda of promoting a nested project approach at the subnational level that emphasizes community forestry rights. Based on interviews and document review, the other projects were much less focused on national government policy and lacked clear policy goals. The presence of pilot project representatives on the REDD+ national task force is a recent positive step that has significant potential to influence national policy decisions. Support for pilot projects in the development of a clear REDD+ policy agenda is a possible intervention that could greatly increase the influence of the pilots on national REDD+ policy.

Annex 7: Proposal for consideration by Government of facilitation services for identifying and preparing projects

Government should consider:

(i) Providing facilitation services for preparing pilot projects

1. In hindsight, it would have been desirable to have a competitive grant window since 2010 to encourage the development of pilot projects, particularly given the time it takes to identify, prepare and then implement carbon-related projects. Government was in favour of piloting but UN-REDD decided against it at that time. However, at this point in time, funding for the proposed extension period is quite constrained, and time is limited. Nevertheless, in parallel with the preparation of a strategy, UN-REDD should support identification and preparation of pilot projects. Tanzania, for example, has benefited from piloting (see Annex 6). Norway provided funding for the Tanzanian pilot projects; perhaps Norway or other donors could consider providing funding of preparation work for some pilots in Zambia. **Such possible funding, at this stage, would be for project identification and preparation; it is unlikely that any actual implementation could take place during the extension period.**

2. A facilitator with access to funds and a network of specialists could be contracted, to facilitate the identification and preparation of pilot projects¹⁵. He/she should:

- (e) Provide assistance to local organisations to identify and prepare documentation for possible projects for carbon and related funding;
- (f) Developing a template for local-level project documents and/or provide interested parties examples of successful submissions, incl. on topics like (background, sectoral context, project description, biophysical environment, carbon baseline, social safeguards and mitigation actions, other safeguards, proposed revenue sharing, proposed financial management, institutional setup, etc.);
- (g) Helping with preparing TORs for any needed baseline work to determine carbon stock and emission levels for the project area, and they would facilitate funding for the baseline work which, in turn, would feed into the project proposal;
- (h) Helping develop national capacity (and simplified methods, if any) to determine baseline carbon levels; and
- (i) Working on the national REDD strategy document and in particular assisting with the part dealing with guidelines for implementation.

¹⁵ In Tanzania the review of pilot projects stated that “the portfolio would benefit from a designated coordinator that will take an active role in linking projects that could benefit from collaboration. This is particularly relevant for project design document preparation, methodology development, and selection” (see Annex 7).

- (ii) **Implementing initially a small, competitive grant facility (using USD 100,000 of quickly available funds) while seeking funding for a bigger competitive grant facility (USD 1 million) for more significant project preparation**

3. The **small competitive grant window would provide 10 grants of USD 10,000 each** for preparing preliminary project proposals. One could envisage that:

- (a) Project proponents would describe the project idea in a note of maximum 2 pages;
- (b) The deadline for submission of proposals would be September 15, 2013;
- (c) Allocation decisions would be made by the Interim CC Secretariat; and
- (d) Decisions about the grants would be made by November 15, 2013.

4. It is expected that the elaborated proposals would be submitted to the National Coordinator's Office during the period February 1 to March 31, 2014. Each proposal will need to include an estimated budget for developing a full-fledged project proposal, incl. possible institutional setup, baseline work, safeguards, benefit sharing, justification based on carbon¹⁶ and non-carbon benefits, all with feedback from, or interactions with, those who help with facilitation of this work.

5. A guarantee for funding the development of the proposals into a full project document cannot be made. However, the Review Team is recommending to the Government to start looking immediately for the USD 100,000, possibly in unused funds from the first phase of UN-REDD. It is recommended that government seek funds from a bilateral grant of **USD 1 million for a larger competitive grant facility** so that of the ten proposals the four best ones could be selected and funded with USD 250,000 each by April 30, 2014¹⁷.

6. In the view of the Strategic Review Team one cannot easily go from "readiness" into serious implementation without learning by doing, testing, engagement at the grassroots level, etc. Therefore, (a) synthesizing from past or ongoing experiences, (b) facilitation services for project identification and preparation, and (c) instituting a competitive grant facility for proposal preparation will help both by informing the strategy work with more specifics and also getting more ready for actual implementation on the ground.

¹⁶ Given the currently low carbon price, the benefits from carbon stock preservation or new carbon sequestration by growing biomass are unlikely to be sufficient for project justifications, but will likely only going to serve as additional benefits to others.

¹⁷ If not by others, funding for the pilots could come from a possible second phase of UN-REDD, even though no commitment cannot be made at this time that there will be a second phase.