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| **COMMUNITY SELECTION FOR COMMUNITY BASED REDD+ (CBR+) PILOT PROJECT IMPLEMENTATION IN THE GEF V PROJECT AREA – GREATER KAFUE AND WEST LUNGA ECOSYSTEMS** |
| |  |  | | --- | --- | | E:\Kashinakazhi Forests\DSCN1853.JPG | E:\Ntambu CRB\Luamisamba VAG\DSCN1790.JPG | | E:\Sikufele CRB\Luasongwa VAG\DSCN1900.JPG | E:\Mubambe CRB\Lalafuta East VAG\DSCN1701.JPG | |
| **Lusaka, May, 2019** |

**MID-TERM REPORT #1**

**APPLYING COMMUNITY SELECTION CRITERIA FOR SUPPORT TO REDD+ INITIATIVES IN THE GEF V PROJECT AREA**

*- Towards Strengthening Management Effectiveness and Generating Multiple Environmental Benefits within and around the Greater Kafue National Park and West Lunga National Park in Zambia**– RFP-2018/002*

**Clients:**

Department of National Parks and Wildlife (DNPW), Forestry Department (FD) and United Nations Development Programme (UNDP)

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# TABLE OF CONTENTS

[LIST OF ACRONYMS AND ABBREVIATIONS v](#_Toc8682280)

[LIST OF TABLES vii](#_Toc8682281)

[LIST OF FIGURES vii](#_Toc8682282)

[1. BACKGROUND 1](#_Toc8682283)

[1.1 Organization of the Report 2](#_Toc8682284)

[2. OBJECTIVES 2](#_Toc8682285)

[3. METHODOLOGY 2](#_Toc8682286)

[3.1 Adoption of Criteria for VAG Selection 2](#_Toc8682287)

[3.2 Application of Criteria for VAG Selection 2](#_Toc8682288)

[3.3 VAG Capacity Assessment 2](#_Toc8682289)

[4. RESULTS 3](#_Toc8682290)

[4.1 Performance of Kafue Ecosystem VAGs 3](#_Toc8682291)

[4.1.1 Average Community Resource Board (CRB) Scores in the Kafue Ecosystem 4](#_Toc8682292)

[4.2 Performance of West Lunga Ecosystem VAGs 9](#_Toc8682293)

[4.2.1 Average Community Resource Board (CRB) Scores in the West Lunga Ecosystem 10](#_Toc8682294)

[4.3 Overall Ranking of VAGs from the Kafue and West Lunga Ecosystems 14](#_Toc8682295)

[4.3.1 Breaking ties in the ranking 16](#_Toc8682296)

[4.4 Community Forest Management Protocol and Protocol for Community REDD+ readiness pilots 17](#_Toc8682297)

[4.5 Capacity Assessment of the VAGs to Implement CBR+ 19](#_Toc8682298)

[4.4.1 Capacity gaps 19](#_Toc8682299)

[5. CONCLUSIONS 21](#_Toc8682300)

[5.1 General 21](#_Toc8682301)

[5.2 General Lack of Awareness About REDD+ and Its Requirements Among VAGs, Local Communities and Project Staff 21](#_Toc8682302)

[5.3 Forest Land Tenure and Carbon Rights 22](#_Toc8682303)

[5.4 Capacity of the CRBs, VAGs and Community Forest Management Groups (CFMGS) and Project Staff to Implement CBR+ 22](#_Toc8682304)

[5.5 Creating Over-expectations Among Local Institutions 22](#_Toc8682305)

[6. RECOMMENDATIONS 23](#_Toc8682306)

[7. REFERENCES 24](#_Toc8682307)

[8. ANNEXES 25](#_Toc8682308)

[ANNEX I: ADOPTED COMMUNITY SELECTION CRITERIA, ASSOCIATED QUESTIONS AND EVALUATION SCORES 25](#_Toc8682309)

[Annex 2: Excerpt from the GEF PRODOC: Components, Outputs and Indicators 32](#_Toc8682310)

# LIST OF ACRONYMS AND ABBREVIATIONS

|  |  |
| --- | --- |
| ACRS | American Carbon Registry Standard |
| CAR | Climate Action Reserve |
| CBNRM | Community Based Natural Resource Management |
| CBO | Community Based Organization |
| CBR+ | Community Based REDD+ |
| CFMG | Community Forest Management Group |
| CFMG | Community Forest Management Group |
| CLA | Community Liaison Assistant |
| CRB | Community Resource Board |
| DFNRMP | Decentralized Forest and Other Natural Resources Management Programme |
| DNPW | Department of National Parks and Wildlife |
| ER | Emission Reduction |
| FD | Forestry Department |
| FGRM | Feedback Grievance Redress Mechanism |
| FPIC | Free, Prior and Informed Consent |
| FREL | Forest Reference Emission Level |
| GEF | Global Environmental Facility |
| GHG | Green House Gas |
| GMA | Game Management Area |
| GRZ | Government of the Republic of Zambia |
| GS | Gold Standard |
| Ha | Hectare |
| LUP | Land Use Plan |
| MRV | Monitoring, Reporting and Verification |
| MTR | Mid-Term Review |
| NGO | Non-Governmental Organization |
| OTC | Over The Counter |
| PRODOC | Project Document |
| REDD+ | Reducing Emissions from Deforestation and Forest Degradation, Conservation of Carbon Stocks, Sustainable Forest Management and Enhancement of Carbon Stocks |
| REL | Reference Emission Level |
| RL | Reference Level |
| SFM | Sustainable Forest Management |
| UNDP | United Nations Development Programme |
| UNFCCC | United Nations Framework Convention on Climate Change |
| VAG | Village Action Group |
| VCS | Verified Carbon Standard |
| VER | Verified Emission Reduction |

# LIST OF TABLES

[Table 1: Socio-economic and biophysical variables assessed in this study 3](#_Toc488315332)

[Table 2: Overall VAG scores in the Kafue Ecosystem (ranked) 3](#_Toc488315332)

[Table 3: Overall VAG scores in the West Lunga Ecosystem (ranked) 9](#_Toc488315332)

[Table 4: Summary results showing the selected 24 VAGs (ranked) 14](#_Toc488315332)

[Table 5: Final 24 VAGs selected after eliminating ties in scores 16](#_Toc488315332)

Table 6: Comparison between CFM and REDD+ Readiness Protocols [18](#_Toc488315332)

[Table 7: Different skill sets for managing income from market-based payments and programme-based payments 20](#_Toc488315332)

# LIST OF FIGURES

[Figure 1: Greater Kafue and West Lunga Protected Area Systems (A and B) 1](#_Toc488315332)

[Figure 2: Graphic representation of the overall VAG scores in the Kafue Ecosystem (ranked) 4](#_Toc488315332)

Figure 3: VAGs assessed in the Mubambe CRB [5](#_Toc488315332)

Figure 4: VAGs assessed in the Kaingu CRB [6](#_Toc488315332)

Figure 5: VAGs assessed in the Kahare CRB [6](#_Toc488315332)

Figure 6: VAGs assessed in the Kasempa CRB [7](#_Toc488315332)

Figure 7: VAGs assessed in the Chibuluma CRB [8](#_Toc488315332)

Figure 8: VAGs assessed in the Kabulwebulwe CRB [8](#_Toc488315332)

Figure 9: Graphic representation of the overall VAG scores in the West Lunga Ecosystem (ranked) [10](#_Toc488315332)

Figure 10: VAGs assessed in the Chibwika CRB [11](#_Toc488315332)

Figure 11: VAGs assessed in the Ntambu CRB [12](#_Toc488315332)

Figure 12: VAGs assessed in the Sikufele CRB [12](#_Toc488315332)

Figure 13: VAGs assessed in the Matebo CRB [13](#_Toc488315332)

Figure 14: VAGs scoring below cut-off point in both the Kafue and West Lunga Ecosystems [15](#_Toc488315332)

# BACKGROUND

Zambia is currently implementing, through the Department of National Parks and Wildlife and the Forestry Department, a five-year GEF-funded project (2014-2019) entitled “*Strengthening Management Effectiveness and Generating Multiple Environmental Benefits within and around the Greater Kafue National Park and West Lunga National Park in Zambia.*” The project objective is to ensure that biodiversity and carbon sinks of Kafue and West Lunga Protected Area Systems (Figure 1, **A** and **B**) are better protected from threats and effectively managed by national and local institutions, communities and economic actors using sustainable forestry and land management practices (GRZ and UNDP, 2014). The Project has two main components (GRZ and UNDP, 2014):



**A**

**B**

**Figure 1**: Greater Kafue and West Lunga Protected Area Systems (A and B)

Component 1: Increased management effectiveness and financial sustainability of Greater Kafue and West Lunga Protected Area Systems; and

Component 2: Sustainable land and forest management by “Community Participatory Models in GMA buffer areas through selected CBNRM practices”.

Among other recommendations, the Project Mid-Term Review (MTR) undertaken between February 2017 – July 2017 (Ron and Ng’andwe, 2017) specifically recommended that the Project Team needed to prioritize implementation of project activities for establishing REDD pilots linking to national and/or voluntary carbon financing (Recommendation #11) as well as implementation of impact –generating/trust building pilots with communities and extend exposure of CRBs and VAGs to a wide variety of income-generation options (Recommendation #6).

## 1.1 Organization of the Report

This report is divided into five chapters: Chapter 1 presents the Background; Chapter 2 highlights the main objectives of the report; Chapter 3 describes the methodology and approaches used; Chapter 4 presents the results; Chapter 5 provides the conclusion and key recommendations; and Chapter 6 contains the annexes.

# OBJECTIVES

The main objective of this report was to establish criteria and apply the criteria for selection of communities/Village Action Groups (VAGs) in the Kafue and West Lunga Ecosystems for involvement in Community Based REDD+ (CBR+) pilot project implementation. The specific objectives are as follows:

1. Through wide stakeholder consultations, propose for adoption criteria to be employed in selecting beneficiary communities to pilot CBR+ initiatives;
2. Apply the adopted criteria and select 25 out of 37 Village Action Groups (VAGs) that will pilot CBR+; and
3. Assess the existing capacity of selected VAGs to manage and sustain the income from carbon payments for long-term Sustainable Forest Management (SFM) practices that promote avoided deforestation.

# METHODOLOGY

## 3.1 Adoption of Criteria for VAG Selection

Two meetings were held in December 2018 in Solwezi and Mumbwa with VAGs from the West Lunga Ecosystem and Kafue Ecosystem, respectively, to discuss and finally adopt the proposed selection criteria. Only VAGs with Land Use Plans (LUPs) participated in these two validation meetings. The adopted criteria, associated questions and evaluation scores are presented in Annex 1.

## 3.2 Application of Criteria for VAG Selection

A questionnaire comprising questions on socio-economic and biophysical aspects was circulated to all 37 VAGs in December 2018 prior to individual interviews with the VAGs conducted between April 1st-25th, 2019. The programme and itinerary for VAG interviews started with VAGs in the Kafue Ecosystem and ended with VAGs in the West Lunga Ecosystem (Annex 2).

## 3.3 VAG Capacity Assessment

The existing capacity of selected VAGs was assessed through key informant interviews, participant observation mainly based on the responses to the questionnaire and through a questionnaire sent to project officers of both the Kafue and West Lunga ecosystems. Triangulation of the information from the three sources above permitted a well-rounded assessment of the VAGs to manage and sustain the income from carbon payments for long-term Sustainable Forest Management (SFM) practices that promote avoided deforestation.

# RESULTS

The results are presented in three parts. The first deals with Kafue Ecosystem VAGs and the second part shows results for the West Lunga Ecosystem VAGs. The third part presents a summary of results from both ecosystems with an overall ranking showing the finally selected 25 VAGs from both ecosystems.

## 4.1 Performance of Kafue Ecosystem VAGs

Table 1 shows both the socio-economic and biophysical variables assessed in this study across all the 22 VAGs in the Kafue ecosystem. The performance of the VAGs on both socio-economic and biophysical variables by Community Resource Board (CRB) and District is presented in Table 2. This shows how the various CRBs fair in each district and why.

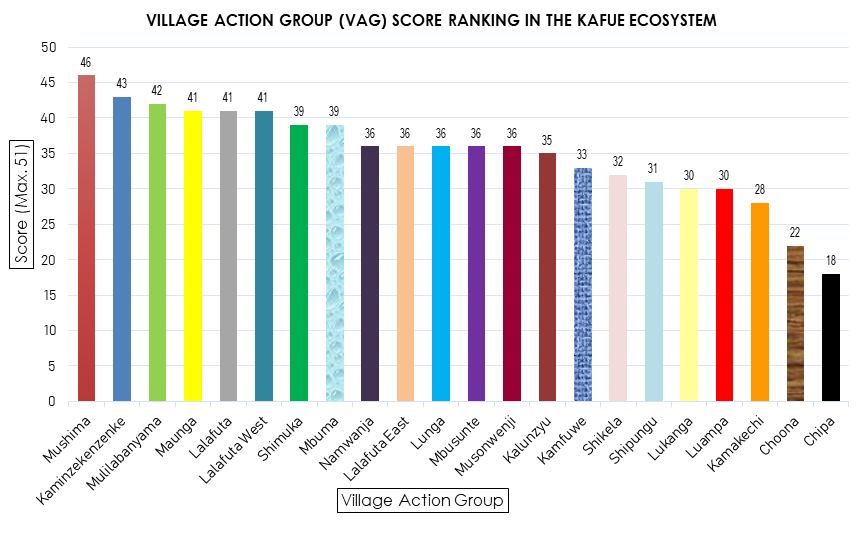
**Table 1:** Socio-economic and biophysical variables assessed in this study

|  |  |
| --- | --- |
| **Socio-economic Variables** | **Biophysical Variables** |
| 1. Population Settlement Pattern 2. Population Age-Class Distribution 3. Experience/Responsiveness to CBNRM and/or CBR+ 4. Ease of Access 5. Presence of Technical Services 6. Presence of Institutions relevant to CBNRM/CBR+ 7. Unemployment level 8. Level of Enthusiasm 9. Presence of Movers and Shakers | 1. Size of Forest Area (ha) 2. Security of Tenure (land and resources) 3. Proximity of participating communities to the designated forest for CBR+ 4. Existing Land Uses (around the designated forest) |

Table 2 show the overall ranking of VAGs in the Kafue Ecosystem in terms of score level based on combined results from both socio-economic and biophysical variables and Figure 2 provides a graphic representation of the results.

**Table 2:** Overall VAG scores in the Kafue Ecosystem (ranked)

|  |  |  |  |
| --- | --- | --- | --- |
| **VAG** | **CRB** | **District** | **Score/51** |
| 1. Mushima | Mubambe | Mufumbwe | 46 |
| 1. Kaminzekenzenke | Mubambe | Mufumbwe | 43 |
| 1. Mulilabanyama | Kaingu | Itezhi-tezhi | 42 |
| 1. Maunga | Kaingu | Itezhi-tezhi | 41 |
| 1. Lalafuta | Kahare | Nkeyema | 41 |
| 1. Lalafuta West | Mubambe | Mufumbwe | 41 |
| 1. Shimuka | Kasempa | Kasempa | 39 |
| 1. Mbuma | Kaingu | Itezhi-tezhi | 39 |
| 1. Namwanja | Chibuluma | Mumbwa | 36 |
| 1. Lalafuta East | Mubambe | Mufumbwe | 36 |
| 1. Lunga | Kasempa | Kasempa | 36 |
| 1. Mbusunte | Kasempa | Kasempa | 36 |
| 1. Musonwenji | Mubambe | Mufumbwe | 36 |
| 1. Kalunzyu | Chibuluma | Mumbwa | 35 |
| 1. Kamfuwe | Kasempa | Kasempa | 33 |
| 1. Shikela | Kahare | Luampa | 32 |
| 1. Shipungu | Kahare | Luampa | 31 |
| 1. Lukanga | Kabulwebulwe | Mumbwa | 30 |
| 1. Luampa | Kahare | Luampa | 30 |
| 1. Kamakechi | Kasempa | Kasempa | 28 |
| 1. Choona | Kabulwebulwe | Mumbwa | 22 |
| 1. Chipa | Chibuluma | Mumbwa | 18 |



**Figure 2:** Graphic representation of the overall VAG scores in the Kafue Ecosystem (ranked)

### 4.1.1 Average Community Resource Board (CRB) Scores in the Kafue Ecosystem

In order to appreciate the performance of each CRB in the Kafue Ecosystem, average scores were computed and explanations given to justify the varying performance at VAG level in each CRB. There were six CRBs assessed in the Kafue ecosystem altogether comprising 22 VAGs: (i) Mubambe (5 VAGs); (ii) Kaingu (3 VAGs); (iii) Kahare (4 VAGs); Kasempa (5 VAGs); Chibuluma (3 VAGs); and Kabulwebulwe (2 VAGs).

Figures 3 – 8 present the average scores for the six CRBs above.

**Figure 3:** VAGs assessed in the Mubambe CRB

**VAG Scores**

VAGs in Mubambe CRB demonstrated one commonality; they were ready for the exercise and much of the critical biophysical information required of them was readily available. To a large extent, their readiness gave them an advantage in their relatively high average scores. On the other hand however, the VAGs were clearly coached on how to tackle the questions in the questionnaire. To a minor extent, the artificial mode of answering negatively affected their scores in some variables. Musonwenji VAG in particular was clearly not coached prior to the exercise. The VAG’s low score as compared to the three other VAGs could be deemed a true reflection of the socioeconomic and biophysical reality in the VAG. But specifically, Musonwenji and Lalafuta East scored low in the biophysical variables due to their road access challenges. Lalafuta East, for instance, is completely cut-off from Kaoma and Mufumbwe during the rainy season.

**VAG Scores**

**Figure 4:** VAGs assessed in the Kaingu CRB

Mbuma VAG in Kaingu CRB scores lowest mainly due to accessibility challenges as captured in the biophysical variables. The VAG has demonstrated the fact that a number of communities cannot be accessed during, especially, the rainy season. Secondly, the designated community forest is contested with interests from other community members settled within the forest. This creates insecurity of tenure for REDD+.

**VAG Scores**

**Figure 5:** VAGs assessed in the Kahare CRB

Shipungu and Shikela VAGs are unique in Kahare CRB. This can also be seen from their relatively lower scores. Both VAGs have an accessibility challenge due to their remoteness. While Shikela does not have forest tenure issues, Shipungu on the other hand, has serious contentions over its designated Nabyoyo forest. There is a land dispute among the surrounding communities which the Barotse Royal Establishment (BRE) in Kaoma is currently grappling with. The forest in question is affected by this dispute. This dispute negatively affects the security of the proposed forest tenure, and has ultimately lowered the VAG’s score in the biophysical variables.

**VAG Scores**

**Figure 6:** VAGs assessed in the Kasempa CRB

Like Mubambe CRB, Kasempa CRB VAGs also presented a pattern of similarities; the VAGs near GMAs overlapped with GMA boundaries. This raises insecurity with forest tenure and carbon rights from the perspective of REDD+. Ultimately, all VAGs with this issue scored low in the biophysical variables. But unlike the VAGs in Mubambe CRB, Kasempa CRB VAGs demonstrated, in reality, that they were not ready for the exercise. Much of the critical biophysical information required of them in December 2018 was not readily available. To a minor extent, their unpreparedness contributed their low scores.

Kamakechi in particular, has a contested forest tenure because the proposed community forest is in a GMA. In addition, there are no land-use activities around the proposed forest which leaves the said forest exposed to possible future encroachments. Kamfuwe VAG has a large part of its proposed forest in a GMA while Mbusunte has two forest areas – one in a GMA and the second one isolated from the GMA. From a REDD+ perspective, the VAG will eventually be required to settle on the uncontested forest area since these variables are highly weighted in the questionnaire.

**VAG Scores**

**Figure 7:** VAGs assessed in the Chibuluma CRB

**VAG Scores**

Chibuluma CRB presented a pattern of similarities; all the VAGs did not have the critical biophysical information asked of them in December 2018. Of particular interest is Chipa VAG’s low total score which is attributed mainly to its poor performance in the socioeconomic variables. The VAG demonstrated a complete unavailability of established institutions (CBOs, NGOs and Private Sector) that can offer technical services. The VAG also demonstrated lack of local institutions other than the CRB and the VAG itself. On the biophysical side of the variables, there is no information on forest size both from the VAG and from the project team. Technically, there was no forest area to talk about in the biophysical variables.

**VAG Scores**

**Figure 8:** VAGs assessed in the Kabulwebulwe CRB

Kabulwebulwe CRB of Mumbwa District records the lowest average VAG score out of all the 37 VAGs from Kafue and West Lunga Ecosystems combined. This is partly due to the small number of VAGs assessed in the CRB and also due to the limitations on Choona VAG. Choona VAG scored very low in the biophysical variables for the reason that the VAG did not have a designated community forest at the time of the interview. Therefore, the four biophysical variables in Table 1 above did not apply to the VAG as there was technically nothing to talk about. Hence the lowest score of 22 based only on the consideration of the nine socioeconomic variables.

## 4.2 Performance of West Lunga Ecosystem VAGs

The West Lunga Ecosystem had 15 VAGs. The performance of these VAGs (ranked) on both socio-economic and biophysical variables by Community Resource Board (CRB) and District is presented in Table 3. This shows how the various CRBs in the West Lunga Ecosystem fair in each district and why.

Figure 9 provides a graphic representation of the results.

**Table 3:** Overall VAG scores in the West Lunga Ecosystem (ranked)

|  |  |  |  |
| --- | --- | --- | --- |
| **VAG** | **CRB** | **District** | **Score** |
| 1. Kanzenzi | Chibwika | Mwinilunga | 47 |
| 1. Mumpulumba | Ntambu | Mwinilunga | 47 |
| 1. Chibwika Central | Chibwika | Mwinilunga | 45 |
| 1. Mwanamutowa | Chibwika | Mwinilunga | 43 |
| 1. Kashinakazhi | Sikufele | Manyinga | 40 |
| 1. Luasongwa | Sikufele | Manyinga | 40 |
| 1. Chiwoma | Chibwika | Mwinilunga | 39 |
| 1. Luamisamba | Ntambu | Mwinilunga | 38 |
| 1. Kapidi | Ntambu | Mwinilunga | 38 |
| 1. Shilenda | Matebo | Kalumbila | 37 |
| 1. Kachikenge | Sikufele | Manyinga | 36 |
| 1. Muwozi | Chibwika | Mwinilunga | 35 |
| 1. Chiteve | Sikufele | Manyinga | 34 |
| 1. Old Matebo | Matebo | Kalumbila | 24 |
| 1. Kalenda | Matebo | Kalumbila | 16 |

**Figure 9:** Graphic representation of the overall VAG scores in the West Lunga Ecosystem (ranked)

### 4.2.1 Average Community Resource Board (CRB) Scores in the West Lunga Ecosystem

In order to appreciate the performance of each CRB in the West Lunga Ecosystem, average scores were computed and explanations given to justify the varying performance at VAG level in each CRB. There were four CRBs assessed in the West Lunga Ecosystem altogether comprising 15 VAGs: (i) Chibwika (5 VAGs); (ii) Nambu (3 VAGs); (iii) Sikufele (4 VAGs); and (iv) Matebo (3 VAGs).

Figures 10 – 13 present the average scores for the four CRBs above.

**VAG Scores**

**Figure 10:** VAGs assessed in the Chibwika CRB

Chibwika CRB VAGs generally scored high partly because of their preparedness for the assessment exercise. Like in other CRBs, a general pattern of similarities was inferable among the assessed VAGs – they have significantly large forest areas but both VAGs and community members seem not to understand their forests. Muwozi and Chiwoma VAGs have relatively lower scores than Chibwika Central, Mwanamutowa and Kanzenzi VAGs because Muwozi has conflicting interests around the proposed forest which partly explains the prevalence of land-use activities inside the same forest, while Chiwoma has two issues that lowered its overall score in the biophysical variables – (i) there is a prospective mining license in the proposed forest area creating insecurity of tenure around the forest, and (ii) there are no existing land-use activities outside the forest.

**Figure 11:** VAGs assessed in the Ntambu CRB

**VAG Scores**

Generally, Ntambu CRB VAGs scored high in all variables as can be seen from the high average score. This is partly due to their preparedness for the assessment exercise. Like Mubambe CRB VAGs, Ntambu VAGs had the critical biophysical information required of them in December 2018 readily available. But unlike Mubambe CRB VAGs, Ntambu VAGs were not coached in how to tackle the questionnaire. Rather, their answers could comfortably be deemed as a true reflection of the socioeconomic and biophysical reality in the communities.

**VAG Scores**

**Figure 12:** VAGs assessed in the Sikufele CRB

The assessed VAGs in Sikufele CRB have a pattern of similarities too. They have vast forest areas proposed for community forest conservation but both the VAGs and community members seem not to understand their own forests. The CRB brings to the fore a very contrasting picture of VAGs which were ready and those which were clearly not ready for the assessment exercise. Ultimately, the difference is clear in the huge variation of scores between the high and the low-scoring VAGs. While the preparedness of the VAGs has a positive effect on their scores, the ‘why’ and ‘how’ the different VAGs were not prepared for this assessment is outside the scope of this report.

Chiteve VAG has road access challenges with some communities inaccessible during certain times of the year. Meanwhile, the proposed forest overlaps with a GMA. These two variables explain the VAG’s lower score relative to Kashinakazhi, Luasongwa and Kachikenge VAGs. Kachikenge, on the other hand, could have joined the other two high-scoring VAGs had it not been for the timber harvesting currently going on in the proposed community forest. There was no clarity as to whether the timber harvesting inside the forest is legal (under the Forests Act of 2015) or illegal.

**Figure 13:** VAGs assessed in the Matebo CRB

**VAG Scores**

The common pattern of similarities in the Matebo CRB VAGs was the unpreparedness for the assessment exercise. This also correlates with the CRB’s lowest average score being the lowest out of the 15 VAGs assessed in the West Lunga Ecosystem, and the second lowest in all the 37 VAGs in Kafue and West Lunga Ecosystems combined. The low individual scores for Old Matebo and Kalenda VAGs have a huge contribution to the low average score of the CRB.

In Old Matebo, there is no information on the forest size from both the VAG and the project. Secondly, the proposed forest area overlaps with a GMA thereby creating insecurity of forest tenure. In Kalenda, the VAG was not even aware of, nor ready for, the meeting. More than an hour was spent waiting for the people to attend the meeting. As such, some male participants under the influence of alcohol threatened violence for what they perceived as a waste of their precious time. The atmosphere was so hostile and insecure that it became impossible to complete the interview. As such, the interview was conducted in haste focusing only on key variables in the questionnaire. Default least scores were allocated to the remaining variables as it became clear that it was impossible to complete the interview. The Community Liaison Assistant (CLA), who should have warned the assessment team prior to the meeting, made it clear after the interview that it was a huge mistake to meet the VAG in the afternoon due to the community’s drinking culture.

## 4.3 Overall Ranking of VAGs from the Kafue and West Lunga Ecosystems

The results in Tables 2 and 3 were combined to give an overall summary of how the 37 VAGs performed from which 25 VAGs were selected as according to the specific objectives of the assignment. Table 4 shows the overall combined results from the Kafue and West Lunga Ecosystems highlighting the selected 25 VAGs and those that were not selected.

The results show that 11 VAGs from the West Lunga Ecosystem and 14 VAGs from the Kafue Ecosystem were selected. Generally, the West Lunga VAGs performed better than the Kafue Ecosystem mainly due to the level of preparedness of the individual VAGs prior to the exercise. This translated into the availability of information as was needed. The large forest sizes in the West Lunga Ecosystem VAGs also helped them to score higher than most VAGs in the Kafue Ecosystem.

**Table 4:** Summary results showing the selected 24 VAGs (ranked)

|  |  |  |  |
| --- | --- | --- | --- |
| **VAG** | **CRB** | **District** | **Score** |
| 1. Kanzenzi | Chibwika | Mwinilunga | 47 |
| 1. Mumpulumba | Ntambu | Mwinilunga | 47 |
| 1. Mushima | Mubambe | Mufumbwe | 46 |
| 1. Chibwika Central | Chibwika | Mwinilunga | 45 |
| 1. Maunga | Kaingu | Itezhi-tezhi | 44 |
| 1. Kaminzekenzenke | Mubambe | Mufumbwe | 43 |
| 1. Mwanamutowa | Chibwika | Mwinilunga | 43 |
| 1. Mulilabanyama | Kaingu | Itezhi-tezhi | 42 |
| 1. Lalafuta | Kahare | Nkeyema | 41 |
| 1. Lalafuta West | Mubambe | Mufumbwe | 41 |
| 1. Kashinakazhi | Sikufele | Manyinga | 40 |
| 1. Luasongwa | Sikufele | Manyinga | 40 |
| 1. Shimuka | Kasempa | Kasempa | 39 |
| 1. Mbuma | Kaingu | Itezhi-tezhi | 39 |
| 1. Chiwoma | Chibwika | Mwinilunga | 39 |
| 1. Luamisamba | Ntambu | Mwinilunga | 38 |
| 1. Kapidi | Ntambu | Mwinilunga | 38 |
| 1. Shilenda | Matebo | Kalumbila | 37 |
| 1. Kachikenge | Sikufele | Manyinga | 36 |
| 1. Namwanja | Chibuluma | Mumbwa | 36 |
| 1. Lalafuta East | Mubambe | Mufumbwe | 36 |
| 1. Lunga | Kasempa | Kasempa | 36 |
| 1. Mbusunte | Kasempa | Kasempa | 36 |
| 1. Musonwenji | Mubambe | Mufumbwe | 36 |
| **C U T O F F P O I N T** | | | |
| 1. Kalunzyu | Chibuluma | Mumbwa | 35 |
| 1. Muwozi | Chibwika | Mwinilunga | 35 |
| 1. Chiteve | Sikufele | Manyinga | 34 |
| 1. Kamfuwe | Kasempa | Kasempa | 33 |
| 1. Shikela | Kahare | Luampa | 32 |
| 1. Shipungu | Kahare | Luampa | 31 |
| 1. Lukanga | Kabulwebulwe | Mumbwa | 30 |
| 1. Luampa | Kahare | Luampa | 30 |
| 1. Kamakechi | Kasempa | Kasempa | 28 |
| 1. Old Matebo | Matebo | Kalumbila | 24 |
| 1. Choona | Kabulwebulwe | Mumbwa | 22 |
| 1. Chipa | Chibuluma | Mumbwa | 18 |
| 1. Kalenda | Matebo | Kalumbila | 16 |

A total score of 36 was set to be the cutoff point for the selected VAGs. But in order to avoid a tie between Kalunzyu and Muwozi both scoring 35 points yet ranked 25 and 26 respectively, only 24 VAGs, instead of 25 VAGs as preferred by the project make it above the 36 cutoff point. This problem could have been solved by lowering the cutoff point to 35 but it would mean that 26, instead of 25 VAGs, are selected. Therefore, the project has the discretion to pick either Kalunzyu and/or Muwozi as the 25th selected VAG. A total of 13 VAGs scored below the cut-off point (Figure 14).

The following common observations come the fore regarding all the 13 VAGs below the cutoff point; (i) they did not have the required biophysical data required of them in December 2018, (ii) they have road access challenges in the rainy season, (iii) they have forest tenure issues due to contested interests in their proposed community forests, and (iv) both the VAGs and the community members do not seem to know the forest areas in question.

To all the 37 VAGs however, there is a discrepancy between what is given by the project as forest size and what the VAGs are giving as their forest size. In order to avoid this problem, the assessment was based on the official forest size given by the project for those VAGs that did not know their forest size. Where the project did not provide this data, the assessment was based on the estimated forest size given by the VAGs (Old Matebo, Luampa and Chipa).

**VAG Scores**

**Figure 14:** VAGs scoring below cut-off point in both the Kafue and West Lunga Ecosystems

### 4.3.1 Breaking ties in the ranking

Noticeable in the ranking of all the 37 VAGs in Table 4 above are a number of VAGs tied on the same score. Particular attention is to be paid to Kaminzekenzenke and Mwanamutowa ranked 6 and 7 respectively, Kashinakazhi and Luasongwa ranked 11 and 12 respectively, Kachikenge and Namwanja ranked 19 and 20 respectively, Lunga and Mbusunte ranked 22 and 23 respectively, Kalunzyu and Muwozi ranked 25 and 26 respectively, and Lukanga and Luampa ranked 31 and 32, respectively. Why would two VAGs with the same total score be ranked differently? This creates a statistical problem for, especially, Kalunzyu and Muwozi having the same score yet only one of them must be selected to the top 25 VAGs.

Table 5 below shows how the problem is solved to give the final ranking of all 37 VAGs. It indicates the criteria used to break the ties at three levels by using two clusters of variables (biophysical and socioeconomic) and one variable (forest size) in descending order of importance:

1. *Total Biophysical score* – where there is a tie in the total score, the total biophysical score is used to break the tie. The higher the total biophysical score, the higher the VAG is ranked.
2. *Total Socioeconomic score* – where the total biophysical score is still tied, discrimination moves to the VAG’s total score in the socioeconomic variables as the second tie breaker. The higher the total socioeconomic score, the higher the VAG rank.
3. *Forest size* – where there is still a tie at all the two levels above, i.e. the total biophysical and total socioeconomic scores, forest size is used as the discriminant to finally break the tie since no two or more VAGs could possibly have the same size of forest. The larger the forest area, the higher the ranking of the VAG.

This criteria (Forest size) has been applied to all 37 VAGs but particularly to remedy the 3-level ties for Kaminzekenzenke and Mwanamutowa ranked 6 and 7 respectively, Kashinakazhi and Luasongwa ranked 11 and 12 respectively, and Kachikenge and Namwanja ranked 19 and 20 respectively, having been tied at total score, total biophysical and total socioeconomic scores.

**Table 5:** Final 24 VAGs selected after eliminating ties in scores

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Ranking** | **Total SCORE/51** | **Biophysical Score/20** | **Socio-economic Score/31** | **Forest Size (Ha)** | **VAG** | **CRB** | **DISTRICT** |
|  | 47 | 16 | 31 | 50, 000 | Kanzenzi | Chibwika | Mwinilunga |
|  | 47 | 15 | 32 | 3, 228.91 | Mumpulumba | Ntambu | Mwinilunga |
|  | 46 | 13 | 33 | 28, 771 | Mushima | Mubambe | Mufumbwe |
|  | 45 | 14 | 31 | 3, 250.93 | Chibwika Central | Chibwika | Mwinilunga |
|  | 44 | 16 | 29 | 20, 000 | Maunga | Kaingu | Itezhi-tezhi |
|  | 43 | 12 | 31 | 15, 000 | Kaminzekenzenke | Mubambe | Mufumbwe |
|  | 43 | 12 | 31 | 13, 117.32 | Mwanamutowa | Chibwika | Mwinilunga |
|  | 42 | 15 | 27 | 23, 600 | Mulilabanyama | Kaingu | Itezhi-tezhi |
|  | 41 | 16 | 25 | 30, 925 | Lalafuta | Kahare | Nkeyema |
|  | 41 | 12 | 29 | 118, 808 | Lalafuta West | Mubambe | Mufumbwe |
|  | 40 | 12 | 28 | 50, 415.16 | Kashinakazhi | Sikufele | Manyinga |
|  | 40 | 12 | 28 | 13, 100.22 | Luasongwa | Sikufele | Manyinga |
|  | 39 | 14 | 25 | 15, 645 | Shimuka | Kasempa | Kasempa |
|  | 39 | 13 | 26 | 56, 500 | Mbuma | Kaingu | Itezhi-tezhi |
|  | 39 | 12 | 27 | 15, 466.94 | Chiwoma | Chibwika | Mwinilunga |
|  | 38 | 13 | 25 | 9, 720.69 | Luamisamba | Ntambu | Mwinilunga |
|  | 38 | 10 | 28 | 5, 000 | Kapidi | Ntambu | Mwinilunga |
|  | 37 | 13 | 24 | 83, 316.90 | Shilenda | Matebo | Kalumbila |
|  | 36 | 14 | 22 | 24, 085.40 | Kachikenge | Sikufele | Manyinga |
|  | 36 | 14 | 22 | 300 | Namwanja | Chibuluma | Mumbwa |
|  | 36 | 12 | 23 | 176, 059 | Lalafuta East | Mubambe | Mufumbwe |
|  | 36 | 11 | 25 | 59, 980 | Lunga | Kasempa | Kasempa |
|  | 36 | 11 | 23 | 56, 663 | Mbusunte | Kasempa | Kasempa |
|  | 36 | 9 | 27 | 53, 300 | Musonwenji | Mubambe | Mufumbwe |
| **C U T O F F P O I N T** | | | | | | | |
|  | 35 | 15 | 20 | 1, 250 | Kalunzyu | Chibuluma | Mumbwa |
|  | 35 | 8 | 27 | 19, 041.70 | Muwozi | Chibwika | Mwinilunga |
|  | 34 | 12 | 22 | 12, 035.80 | Chiteve | Sikufele | Manyinga |
|  | 33 | 8 | 25 | 1, 884 | Kamfuwe | Kasempa | Kasempa |
|  | 32 | 11 | 21 | 5, 202 | Shikela | Kahare | Luampa |
|  | 31 | 9 | 22 | 6, 280 | Shipungu | Kahare | Luampa |
|  | 30 | 15 | 15 | 1, 850 | Lukanga | Kabulwebulwe | Mumbwa |
|  | 30 | 0 | 30 | \*[[1]](#footnote-1) | Luampa | Kahare | Luampa |
|  | 28 | 24 | 4 | 1, 774 | Kamakechi | Kasempa | Kasempa |
|  | 24 | 0 | 24 | \*[[2]](#footnote-2) | Old Matebo | Matebo | Kalumbila |
|  | 22 | 0 | 22 | \*[[3]](#footnote-3) | Choona | Kabulwebulwe | Mumbwa |
|  | 18 | 0 | 18 | \*[[4]](#footnote-4) | Chipa | Chibuluma | Mumbwa |
|  | 16 | 5 | 11 | 9,586.57 | Kalenda | Matebo | Kalumbila |

## 4.4 Community Forest Management Protocol and Protocol for Community REDD+ readiness pilots

In comparing the Community Forest Management (CFM) Protocol that was developed by the Decentralised Forest and Other Natural Resources Management Programme (DFNRMP) with the Protocol for Community REDD+ readiness, they seem to be similar in steps but different in scope. This is because the CFM Protocol does not take into account carbon requirements including other elements considered critical for the REDD+ readiness phase such as:

1. Land security and forest/carbon tenure;
2. Community governance (are community organizations constituted as legal entities?);
3. Community governance regarding forest management (Is forest management in the hands of local communities; does the community have a comprehensive land use plan?);
4. Existence of local knowledge, skills and practices on forest management;
5. Human resources (are there members of the community who have the technical skills to be in charge of or participate in the recording of carbon stocks; are there community members who have the skills to negotiate with outsiders?

Table 6 summarizes the details and differences between CFM Protocol and REDD+ readiness Protocol.

**Table 6:** Comparison between CFM and REDD+ Readiness Protocols

|  |  |
| --- | --- |
| **CFM Protocol** | **Protocol for Community REDD+ Readiness Pilots** |
| ***The CFM Protocol under the DFNRMP comprises the following design steps:*** | ***The Protocol for Community REDD+ Readiness comprises the following design steps:*** |
| 1. Community Forest process initiation and awareness raising;  * Initiate community forest process by meeting with communities, sensitizing them and creating awareness about CFM and generate their interest in CFM. | 1. REDD+ initiation and building community awareness;  * Explain REDD+ basic concepts, meaning, phases, global and national contexts of REDD+ |
| 1. Community Forest boundary negotiation and mapping;  * Negotiate and map the Community Forest boundary involving neighbouring traditional leaders and finally sign-off. | 1. Mapping and delineation of the REDD+ pilot area with known forest size (hectares);  * This is effectively the Emissions Reduction (ER) Accounting Area. * The final consensus reached on the boundaries and size should be based on Free, Prior and Informed Consent (FPIC) of all key stakeholders. |
| 1. Community Forest Management Group Constitution and elections;  * CFMGs can apply to the Director of Forestry for formal recognition using Form I SI #18 of 2018. | 1. Identification/Constitution of REDD+ Governance Body;  * Whether this is a Community Resource Board (CRB), Village Action Group (VAG), etc., these must be formally recognized in law as legal entities |
| 1. Community Forest management planning and forest management rules;  * Develop management framework and five-year activity plan | 1. Conduct a comprehensive land use planning exercise identifying different land use zones and REDD+/Conservation Zone;  * Develop a REDD+ Management Plan for the pilot area |
| 1. Community Forest agreement preparation, application and signing  * Community Forestry Agreement signed by Forestry Department, community and Chief using Form IV SI #18 of 2018. | 1. Build community capacity on forest carbon stock assessment;  * Establishing permanent sample plots; measuring trees, undergrowth and litter, dead wood and stumps, taking soil samples * Carbon calculation for trees, understory and litter, dead wood and below ground biomass |
| 1. Implement forest management plan, forest protection, development, domestic use and forest based income generation | 1. Implement benefit sharing arrangements, safeguards and a Feedback Grievance Redress Mechanism (FGRM) |
| 1. Joint monitoring, evaluation and lesson learning | 1. Monitoring, Reporting and Verification (MRV)  * Governments entering into REDD+ agreements will have to comply with the requirements for monitoring, reporting and verification (MRV), which includes detailed reporting on carbon stock change. To do this for a whole country is an enormous task, especially given the high standards for accuracy and reliability needed. It has therefore been recognized that involving local communities has an enormous potential to generate the capacities needed for fulfilling these requirement. Without their involvement it may even be impossible or extremely costly to do that. |

## 4.5 Capacity Assessment of the VAGs to Implement CBR+

Of the 22 VAGs assessed in the Kafue Ecosystem, 13 (59%) had previously received funding from the Department of National Parks and Wildlife (DNPW) through their CRBs and 12 (41%) had not. This implies that those that received funding had some safari hunting operations in their GMAs. However, when it came to training, the project reported that all 22 VAGs were trained in various aspects of natural resource governance including:

* Fundamental principles of CBNRM;
* Natural resources management and alternative community livelihoods;
* Sustainable Community Forestry Management;
* Community development and project management;
* Gender, HIV/AIDs and natural resources management;
* Basic financial management;
* Developing group constitutions, bylaws and work plans
* Integrated Land-use Planning;
* Governance, leadership and communication skills
* Conflict management;
* Minute writing, managing meetings, etc.; and
* Fire management.
* In addition, the VAGs of Maunga, Lalafuta, Mushima and Mbusunte received training in Livestock management and energy saving.

In the West Lunga Ecosystem, only two (13%) out of 15 VAGs had received funding in the past from the Department of National Parks and Wildlife (DNPW) through their CRBs and 13 (87%) had not. However, when it comes to training, it was reported by the project that all VAGs received training in the areas listed above. While the scope and intensity of these trainings is appreciated, they still leave gaps in as far as implementation of REDD+ is concerned.

### 4.4.1 Capacity gaps

According to the Terms of Reference of this study, the focus here was to “*Assess the existing capacity of community institutions (VAGs) to manage and sustain the income from carbon payments for long-term Sustainable Forest Management practices that promote avoided deforestation*”.

Income from carbon payments can come from two main sources: (i) Market-based payments; and/or (ii) Programme-based payments. Market-based payments for carbon offsets are traded voluntarily (the voluntary market) and sometimes because of government regulation (a compliance market). Each of these carbon markets uses different carbon offset standards to govern forest projects, and has a different market price for carbon.

An alternative to market-based payments is an approach that builds on existing government programmes to provide direct payments that reward small forest owners for climate change adaptation and mitigation. This could also be promoted by donors. For instance the current CBR+ Initiative is in response to this, the UN-REDD Programme in partnership with the GEF Small Grants Programme (SGP) set up the Community Based REDD+ (CBR+) initiative to bring small grants of up to $50,000 to forest-dependent communities on the ground. The CBR+ initiative is a hands-on, bottom-up endeavor for genuine stakeholder engagement in REDD+. It also fosters synergies between local action and national policy for REDD+. Table 7 summarizes the different skill sets required by each scheme. It also highlights some of the knowledge and skills gaps related REDD+ which local communities and VAGs ought to understand and appreciate before engaging in CBR+.

**Table 7:** Different skill sets for managing income from market-based payments and programme-based payments

|  |  |  |  |
| --- | --- | --- | --- |
| **Market Based Payments Capacity Requirements (Voluntary and Compliance Markets)** | | **Programme Based Payments Capacity Requirements** | |
| * Understanding what carbon offsets are and appropriate activities to be undertaken by VAGs/local communities to reduce GHG emissions: e.g., afforestation, reforestation, active forest management, and reduced emissions from deforestation and forest degradation. * Understanding carbon offset standards as sets of criteria and rules that certify the quality of a carbon offset project. Standards dictate how carbon is measured and monitored, the length of time for which the offset must be maintained, and many other project details. * Understanding different carbon offset standards and their requirements, e.g., Voluntary Carbon Standard (VCS), Gold Standard (GS), Climate Action Reserve (CAR), American Carbon Registry Standard (ACRS) and Over The Counter (OTC) transactions (direct agreement between buyer and seller). * Understanding that standards verify that projects meet certain criteria to produce legitimate offsets and that they:   + Adhere to the standard’s accounting methodology, including standardized recording and reporting of co-benefits;   + Ensure permanence and additionality; permanence means that the emissions are not simply being delayed. Additionality indicates that the offset would not have taken place without carbon payments;   + Prevent double-counting and leakage, meaning that the offset is not being retired more than once and that the emissions reduced by a project’s activities aren’t being displaced to some other geographic location. * How to sustain and manage income from carbon offset sales. | | * Understanding how to retain and restore healthy working forests:   + Investing in forestry and forest-related enterprises to create a competitive economic basis for retention and stewardship of forests;   + Quantifying forest resources and wood supply on a regional level as a basis for informed forest management and use decisions by VAGs/local communities and businesses;   + Investing in new forms of forest ownership geared towards sustainable, long term management and a stable land-base;   + Promoting ecologically and economically beneficial changes in harvesting methods by landowners and loggers. * Promoting and Capturing Multiple Value Streams:   + Expanding the potential of woody biomass as a source of clean, renewable and sustainable energy for communities and the region;   + Monetizing a greater range of forest ecosystem services, including opportunities for the sale of carbon credits from managed forests;   + Catalyzing innovation and transformational change in wood products manufacturing. * Enhancing Community Capacity, Collaboration and Leadership:   + Increasing community forest ownership;   + Identifying and promoting ways that new and existing revenues from forests can deliver greater economic, social, and ecological benefits to their host communities. | |
| **Other Essential Knowledge and Skills Necessary to Implement REDD+: From Readiness Phase, Implementation Phase to Results-Based Payment Phase** | | | |
|  | * Basic REDD+ Concepts * The Science of Climate Change and the Role of Forests * REDD+ Policies and Decisions under the UNFCCC * The Scale of REDD+ * National and Sub-national Systems (Jurisdiction and Projects) * Nested Approaches to REDD+ * REDD+ Readiness * Stakeholder Engagement * Elements and Perspectives on Free, Prior and Informed Consent (FPIC) * REDD+ Social and Environmental Safeguards * Benefit Sharing * Feedback and Grievance Redress Mechanisms (FGRM) * Measurement, Reporting and Verification (MRV) * Reference Levels (RLs) and Reference Emission Levels (RELs) * REDD+ Funding and Finance | |  |

# CONCLUSIONS

## General

* There is a positive correlation between the VAG score and the VAG’s lack of preparedness for the assessment exercise. This is apparent in all the VAG’s ignorance about REDD+ interventions and the perception of forest conservation from a REDD+ perspective.
* Equally notable in the results is a negative correlation between the VAG’s productive population (labour force) between 15-64 years old measured against the size of forests. It is clear that some forest areas are too large to be managed effectively by the VAGs under REDD+.
* One of the general pattern of similarities observed in all the 37 VAGs assessed is the relationship between the VAG Committees and the wider members of the community. VAG members have dominated the process with very little inclusion of community members. As a result, community members in most of the meetings demonstrated ignorance about the proposed community forest areas yet it is reported that all participated in the Land-use mapping exercise. The lack of community consensus over forest areas and forest uses become a serious complication for Free, Prior and Informed Consent (FPIC) as one of the key social safeguard requirements for REDD+.
* While 24 VAGs have been selected based on the scores obtained from answering the questionnaire, none of the 37 VAGs can be deemed to be technically ready to engage in a REDD+ programme.

## 5.2 General Lack of Awareness About REDD+ and Its Requirements Among VAGs, Local Communities and Project Staff

* At the beginning of each interview session, VAGs/Communities were asked if they had heard of REDD+ and what it entails. Those VAG members who were present at both the Solwezi and Mumbwa meetings in December 2018, attested to the fact that it was the first time they had heard of REDD+ then when the Consultant introduced the topic. The same sentiment was expressed by Project Staff including Community Liaison Assistants.
* For that reason, the Consultant spent 15-20 minutes at the start of each interview session explaining what CBR+ entails using simplified examples at local level.
* REDD+ is both a global and national level process which must be understood from that context. The GEF V Project is well-served to understand these processes thoroughly before attempting to promote CBR+ among VAGs.

## 5.3 Forest Land Tenure and Carbon Rights

* There is a serious forest land tenure issue at VAG level in both the Kafue and West Lunga Ecosystems.
* The forest areas are not demarcated and hence there are no direct sizes (hectares) associated with the so-called designated forests for Community Based REDD+ (CBR+). The PIU and VAGs gave different forest sizes during field interviews – and there was no way the Assessment Team could verify the information.
* The Land Use Planning (LUP) exercise undertaken before did not take into account CBR+ requirements. All LUPs examined at VAG level did not have associated areas (hectares) for each zone including the Conservation Zone.
* In the context of CBR+, the size and boundaries of the designated forest land has to be clear as this is the Emissions Reduction (ER) Accounting Area.
* Most of the areas indicated by both the PIU and VAGs as designated for CBR+ are laden with conflicts: there are other interests inside including settlements and agricultural fields, overlaps with GMAs, timber concessions or illegal timber harvesting, fishing camps and mining exploration licenses. This makes carbon rights assignment difficult to one beneficiary and the likelihood of emissions reversals/non-permanence and displacement/leakage quite high.

## 5.4 Capacity of the CRBs, VAGs and Community Forest Management Groups (CFMGS) and Project Staff to Implement CBR+

* Owing to the limitations highlighted in **5.2 above**, these local-level institutions lack the capacity to implement CBR+.
* Both CRBs and VAGs were, in some cases where there were Safari Hunting Outfitters, trained in Basic Financial Management, Fundamental principles of CBNRM, ILUP, Conflict Management, etc., these trainings were mostly oriented towards CBNRM rather than CBR+.
* CFMGs were simply formed under the Decentralised Forest & Other Natural Resources Management Programme (DFNRMP) without any further guidance or training.
* While last in the field, Project staff and CLAs were being laid off or had been laid off. How does the Project move forward without staff on the ground?

## 5.5 Creating Over-expectations Among Local Institutions

* Realizing payments based on Certified Emissions Reductions (CERs) is a long term process that cannot be achieved in 1-2 years.
* Local Traditional Authorities and some community leaders have questioned why the GEF V Project is creating such an expectation towards the end of the Project.
* The Project also wants to pilot 25 CBR+ projects from both the Kafue and West Lunga Ecosystems. Is that feasible financially, technical and logistically especially given the fact that the project is due to end in a year’s time without any clear exit strategy to ensure that CBR+ activities continue after the project has ended?

# RECOMMENDATIONS

* Build awareness and capacities of local institutions (VAGs, CRBs, CFMG) and project staff on REDD+ requirements including the readiness phase, implementation phase and results-base payment phase.
* When the Land Use Planning (LUP) exercise was being undertaken, REDD+ was not considered and yet this was a requirement under Component 2 of the GEF V Project Document under Output 2 “*VAGs develop and implement Integrated Land Use Assessment plans linked to the national REDD readiness programme, delineating appropriate REDD compliance and MRV mechanism in VAG areas”* (see Annex 2)*.* Demarcation of CBR+ forest boundaries following a thorough FPIC process including indication of forest size (hectares) is imperative – the delineated boundary shows the Emissions Reduction (ER) Accounting Area.
* Promoting REDD+ among the VAGs in the last year of the project has created unnecessary expectations that the project will not be able to fulfill as REDD+ is a long term process with requirements linked to the global and national priorities. If the purpose is to establish demonstration pilots, then the total number of VAGs selected should be substantially lower than 25 or 24 and perhaps select only the top ranked four VAGs from both the Kafue and West Lunga Ecosystems. These would include:
* **West Lunga**: Kanzenzi and Mumpulumba VAGs (Mwinilunga district); and
* **Kafue**: Mushima and Maunga VAGs (Mufumbwe and Itezhi-tezhi districts, respectively).

*If the final goal is to select one VAG as a demonstration pilot, the project has the discretion to select one out of the four VAGs above.*

* In reviewing the GEF Project Document (PRODOC) (Annex 2), Component 2, Output B “*Land and forest resources managed more sustainably*”, as well as the accompanying indicators, the focus is on creating Community Conservancies and promoting sustainable management of forests including promotion sustainable farming practices and energy sources.

This is a low hanging fruit that the project could immediately pursue perhaps using one demonstration site of the project’s choice. This would entail a re-mapping of the selected site with clearly delineated boundaries of the “Community Conservancy” and indication of the size of the conservancy (in hectares); conservation farming zone; and wood collection zone.

The incentive payment to the Community Conservancy would be through demonstrated Sustainable Forest Management (SFM) practices by monetizing a greater range of forest ecosystem services in the short term, including opportunities for the sale of carbon credits from the managed forests in the long-term. Programme-based payments as explained in Table 6 above would apply.

* In line with the recommendations of the Mid-Term Review (MTR) of 2017, the project is well served to promote implementation of impact–generating/trust building pilots with communities and extend exposure of CRBs and VAGs to a wide variety of income-generation options. This would require a prior assessment of viable Income Generating Activities (IGAs) in the selected VAG(s).

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# ANNEXES

## ANNEX I: ADOPTED COMMUNITY SELECTION CRITERIA, ASSOCIATED QUESTIONS AND EVALUATION SCORES

1. **DESCRIPTION AND APPLICATION**
   1. **Socio-economic criteria**
2. *Population distribution and labour force*

This variable refers to two things: (i) population settlement pattern within the target area inferring that the more concentrated the target households in the target area the better and easier to mobilize communities; and (ii) population age-class distribution as a proxy for labour force availability to engage in the CBR+ initiative with an understanding that the more middle-aged population in the target area, the better and readily available the needed labour force for CBR+ implementation.

Evaluation scores:

|  |  |  |  |
| --- | --- | --- | --- |
| **Population Settlement Pattern** | | **Population Age-Class Distribution** | |
| Less concentration (sparse) households | 1 | Young (1-14 years) | 1 |
| Medium concentration households | 2 | Middle-aged (15-64 years) | 3 |
| High concentration households | 3 | Old (65+ years) | 1 |
| *Sources of information: Census data at Ward level and/or village/community level* | | | |

1. *Forestry orientation in the labour force*

This variable examines the CBNRM/CFM experience and responsiveness of the communities to CFM and/or CBR+ particularly among the middle-aged population (15-64 years). The more experience and responsiveness, the better chance of success of the CBR+ initiative.

Evaluation scores:

|  |  |
| --- | --- |
| **Experience with and Responsiveness to CBNRM and/or CBR+ Initiatives** | |
| Low experience and responsiveness | 1 |
| Medium experience and responsiveness | 3 |
| High experience and responsiveness | 5 |
| *Sources of information: Community meetings, Key informant interviews, Literature review* | |

1. *Availability of road access to the area throughout the year*

The variable examines the ease of road access by vehicle to and from the target community throughout the year. This is critical to the communities’ continued access to technical services such as physical services, financial services, professional and advisory services. The ready availability of such access predisposes the community to success in the CBR+ initiative.

Evaluation scores:

|  |  |
| --- | --- |
| **Ease of road access to and from the community** | |
| Low access | 1 |
| Medium access | 3 |
| High access | 5 |
| *Sources of information: Community meetings, Key informant interviews, Literature review, transient observation, project maps/reports* | |

1. *Availability of and proximity to technical services*

The presence of established institutions to provide both technical services (knowledge) and operational skills is vital to the success of CFM/CBR+ initiatives. For instance physical services such as operational planning (e.g., CFMGs, FD, DNPW, DoA, NGOs, private firms, etc.), and professional advisory services (e.g., CBOs, NGOs, consultants, etc.). The role of financial institutions such as commercial banks and community credit unions are also important in providing services for savings and start-up funding for CFM/CBR+ programmes. The assumption is that the higher the number of institutions capable of providing technical services, the more bias for success of CFM/CBR+ in that particular VAG.

Evaluation scores:

|  |  |
| --- | --- |
| **Presence of institutions to provide technical services** | |
| Low to absent (0-3 institutions) | 1 |
| Medium presence (4-6 institutions) | 3 |
| High presence (7 or more institutions) | 5 |
| *Sources of information: Community meetings, Key informant interviews, Literature review, transient observation, project reports* | |

1. *Presence of local institutions relevant to community forestry and CBR+*

Success of CFM/CBR+ programmes is favoured by the existence of local institutions that are relevant to CFM/CBR+ planning and execution. For instance, these may include Community Forest Management Groups (CFMGs), Community Resource Boards (CRBs), Village Action Groups (VAGs), Non-Governmental Organizations (NGOs), Traditional Authorities (TAs), District Administration, Cooperatives, Trusts, Community Based Organizations (CBOs), Forestry Department (FD), Department of National Parks and Wildlife ((DNPW), Local Economic Development Institutions, e.g. Ward Development Committee, etc. These institutions serve as intermediaries between local communities and government and perform a range of inter-organizational tasks such as provision of information about community needs, mobilization of local resources and delivery of services to the communities. The variable may be measured by taking a total count of all institutions present and that are relevant to CFM/CBR+ planning and execution within each target VAG.

Evaluation scores:

|  |  |
| --- | --- |
| **Presence of institutions relevant to CBNRM/CBR+** | |
| Low to absent (0-3 institutions) | 1 |
| Medium presence (4-6 institutions) | 3 |
| High presence (7 or more institutions) | 5 |
| *Sources of information: Community meetings, Key informant interviews, Literature review, transient observation, project reports* | |

1. *Unemployment levels*

The national unemployment rate was estimated at 41.2% in 2017 and projected to reach 50% by end of 2018 (WB, 2018) – which is extremely high for a country touting itself as a middle-income country; compared to South Africa which has an unemployment rate at 27% as at December 2017. Unemployment rate is an important determinant of success potential in CFM/CBR+ because one of the premises for CFM/CBR+ is that it should provide stable employment to local community members. The assumption is that the higher the number of unemployed people in a VAG, the more attractive CFM/CBR+ becomes for that community. This variable may be measured as a percentage or absolute number of people unemployed (15-64 years old) in a VAG area.

Evaluation scores:

|  |  |
| --- | --- |
| **Unemployment level** | |
| Low (1-9%) or absolute number | 1 |
| Medium (10-19%) or absolute number | 2 |
| High (20%+) or absolute number | 3 |
| *Sources of information: Community meetings, Key informant interviews, Literature review, CSO data (if available)* | |

1. *Enthusiasm of community*

Motivation to engage in, or willingness to undertake CBR+, has been identified as one of the contributing factors for potential success in such programmes. Therefore, local support, expectations and aspirations of community residents, as well as the prevailing entrepreneurial spirit in a community, should be determined. Enthusiasm of a community to undertake CBR+ could be ascertained through local interviews and meetings with local leaders and general community members. Furthermore, the variable could be measured by ascertaining the presence or absence of a “wise person”, sometimes referred to as the “mover and shaker”, who has the knowledge and understanding of the community as well as the institutional environment. In short, a wise person is an individual who can get things done. The measure of enthusiasm is largely subjective yet still meaningful and important.

Evaluation scores:

|  |  |
| --- | --- |
| **Motivation to engage in or willingness to undertake CBR+** | |
| Low | 1 |
| Medium | 2 |
| High | 3 |
| *Sources of information: Community meetings, Key informant interviews, Transient observation* | |

* 1. **Biophysical criteria**
* Total forest area (availability of open forests suitable for Community REDD+ activities) with less disturbance that can be used as pilot areas;
* Forest land tenure (secure versus insecure land tenure);
* Proximity between the forests and the participating villages; and
* Land uses (the more land uses, existing or potential, the less pressure on conserved forests to store carbon).
  + 1. **Total Forest Area (hectares)**

Whether it is a fund, a donor or a carbon buyer (a company or a carbon trader), all those who are willing to pay for REDD+ are interested in large projects saving large amounts of carbon. Carbon traders and investors are looking for projects offering at least 10,000-20,000 tCO2/year. So they are not likely to be interested in an agreement with a single community involving only a few dozens or a few hundred hectares of land and forest. They want a lot of carbon and are, therefore, keen on having agreements covering large forest areas.

Evaluation scores:

|  |  |
| --- | --- |
| **Availability of suitable open forests for CBR+ implementation** | |
| Less than 250 hectares | 1 |
| 250 - 5,000 hectares | 2 |
| Between 5,001 – 10,000 hectares | 3 |
| Over 10,000 hectares | 5 |
| *Sources of information: Land Use Plan, Community testimonies, ground truthing and mapping by Project staff* | |

* + 1. **Security of Land tenure within the designated forest area**

The first step for a community to take is to identify the land and forest areas to be included in the CBR+ project, to delineate the boundaries, determine its size and to make a map. Clearly defining the boundaries of the areas to be included in a CBR+ project is important for accurate measurement, monitoring and accounting of carbon stock, and for the external verifier to conduct the verification. Most importantly, the delineated land and forest must be free of any competing interests; getting community land and forest rights including carbon rights recognized is a precondition for engaging in CBR+ as it ensures security of tenure.

Evaluation scores:

|  |  |
| --- | --- |
| **Is the designated forest area free of other interests?** | |
| Forest area is occupied and laden with other interests (e.g., there are settlements inside, the forest is part of a GMA, there are outside private interests in the same area) | 1 |
| Forest area is occupied and with other interests but all interests will be removed through negotiations and resettlements/compensations | 2 |
| Forest is void of any interests and currently unoccupied | 5 |
| *Sources of information: Sources of information: Land Use Plan, Community testimonies, ground truthing and mapping by Project staff* | |

* + 1. **Proximity between the (designated) forest and participating communities/villages**

Rural communities in Zambia are generally disadvantaged by poor road infrastructure or lack of road infrastructure. Locating the designated forest for CBR+ far away from participating communities within a VAG, further disadvantages the communities from effectively engaging in the CBR+ initiative – making it difficult to monitor their forest.

Evaluation scores:

|  |  |
| --- | --- |
| Forest located within 500 m – 1 km of participating communities | 5 |
| Forest located within 1 – 2 km of participating communities | 3 |
| Forest located within 3 – 5 km or more of participating communities | 1 |

* + 1. **Existing land uses around the forest**

The more land uses, existing or potential, outside the designated CBR+ forest the less pressure on conserved forests to store carbon. However, it is important to ensure that the existing land uses are conducted sustainably to avoid shifting activities in the designated CBR+ forest.

Evaluation scores:

|  |  |
| --- | --- |
| No existing uses | 1 |
| A few existing (up to 3 listed) | 2 |
| A lot (more than 3 listed) | 3 |

**ANNEX 2: PROGRAMME AND ITINERARY TESTING REDD+ SELECTION CRITERIA USING A QUESTIONNAIRE) – 31ST MARCH TO 27TH APRIL, 2019**

|  |  |  |  |
| --- | --- | --- | --- |
| **DAY & DATE** | **ACTIVITY** | **TIMING** | **LOCATION** |
| Sunday 31st March 2019 | Travel to Mumbwa | Afternoon | In transit |
| Monday 1st April | VAG meeting/consultations | 09:00 – 11:00 hrs | Chipa, Chibuluma |
| VAG meeting/consultations | 14:00-16:00 hrs | Kalunzhyu, Chibuluma |
| Tuesday 2nd April | VAG meeting/consultations | 09:00 – 11:00 hrs | Namwanja, Chibuluma |
| VAG meeting/consultations | 14:00 – 16:00 hrs | Chona, Kabulwebulwe |
| Wednesday 3rd April | VAG meeting/consultations | 09:00 – 11:00 hrs | Lukanga, Kabulwebulwe |
| Travel to Itezhi tezhi | 12:00 – 16:00 hrs | In transit |
| Thursday 4th April | VAG meeting/consultations | 09:00 – 11:00 hrs | Maunga, Kaingu |
| VAG meeting/consultations | 14:00 – 16:00 hrs | Mbuma, Kaingu |
| Friday 5th April | VAG meeting/consultations | 09:00 – 11:00 hrs | Mulilabanyama, Kaingu |
| VAG meeting/consultations | 14:00 – 16:00 hrs | Lalafuta, Kahare |
| Travel to Kaoma |  | Night stop in Kaoma |
| Saturday 6th April | Travel to Shikela via Luampa | 08:00 – 12:00 hrs | In transit |
| VAG meeting/consultations | 14:00 – 16:00 hrs | Shikela, Kahare |
|  |  | Night stop in Luampa |
| Sunday 7th April | VAG meeting/consultations | 14:00 – 16:00 hrs | Shipungu, Kahare |
|  |  | Night stop in Luampa |
| Monday 8th April | VAG meeting/consultations | 09:00 – 11:00 hrs | Luampa, Kahare |
| Travel to Kaoma |  | Night stop in Kaoma |
| Tuesday 9th April | VAG meeting/consultations | 10:00 – 12:00 hrs | Lalafuta East, Mubambe |
| Travel back to Kaoma |  | Night stop |
| Wednesday 10th April | VAG meeting/consultations | 10:00 – 12:00 hrs | Lalafuta West, Mubambe |
| VAG meeting/consultations | 14:00 – 16:00 hrs | Kaminzekenzeke, Mubambe |
|  |  | Night stop in Kaminzekenzeke |
| Thursday 11th April | VAG meeting/consultations | 09:00 – 11:00 hrs | Mushima, Mubambe |
| VAG meeting/consultations | 14:00 – 16:00 hrs | Musonweji, Mubambe |
|  |  | Night stop in Kasempa |
| Friday 12th April | VAG meeting/consultations | 10:00 – 12:00 hrs | Lunga, Kasempa |
| VAG meeting/consultations | 14:00 – 16:00 hrs | Kamakechi, Kasempa |
| Saturday 13th April | VAG meeting/consultations | 09:00 – 11:00 hrs | Kamfuwe, Kasempa |
| VAG meeting/consultations | 14:00 – 16:00 hrs | Shimuka, Kasempa |
| Sunday 14th April | VAG meeting/consultations | 14:00 – 16:00 hrs | Mbusunte, Kasempa |
|  |  | Night stop in Kasempa |
| Monday 15th April | Travel to Solwezi | 08:00 – 12:00 hrs | In transit |
| Data organization, coding, analysis and final scoring for Kafue Ecosystem | 14:00 – 16:00 hrs | Night stop in Solwezi |
| Tuesday 16th April | Travel from Solwezi to Mwinilunga | All day | Night stop in Mwinilunga |
| Wednesday 17th April | VAG meeting/consultations | 90:00 – 11:00 hrs | Kapidi in Ntambu |
| VAG meeting/consultations | 14:00 – 16:00 hrs | Luamisamba in Ntambu |
|  |  | Night stop in Mwinilunga |
| Thursday 18th April | VAG meeting/consultations | 09:00 – 12:00 hrs | Mumpulumba in Ntambu |
| VAG meeting/consultations | 14:00-16:00 hrs | Chibwika central in Chibwika |
|  |  | Night stop in Mwinilunga |
| Friday 19th April | VAG meeting/consultations | 09:00 – 11:00 hrs | Muwozi in Chibwika |
| VAG meeting/consultations | 14:00 – 16:00 hrs | Chiwoma, Chibwika |
|  |  | Night stop in Chibwika |
| Saturday 20th April | VAG meeting/consultations | 09:00 – 11:00 hrs | Mwanamutowa, Chibwika |
| VAG meeting/consultations | 14:00 – 17:00 hrs | Kanzenzi, Chibwika |
| Sunday 21st April | Rest | All Day | Manyinga |
| Monday 22nd April | VAG meeting/consultations | 09:00 – 11:00 hrs | Kashinakazhi, Sikufele |
| VAG meeting/consultations | 14:00 – 17:00 hrs | Kachikenge, Sikufele |
| Tuesday 23rd April | VAG meeting/consultations | 09:00 – 11:00 hrs | Chiteve, Sikufele |
| VAG meeting/consultations | Afternoon | Luansongwa, Sikufele |
|  |  | Night stop in Mufumbwe |
| Wednesday 24th April | Travel from Mufumbwe to Matebo | Morning | In transit |
| VAG meeting/consultations | 14:00 – 16:00 hrs | Shilenda in Matebo |
| Thursday 25th April | VAG meeting/consultations | 09:00 – 11:00 hrs | Old Matebo in Matebo |
| VAG meeting/consultations | 14:00 – 16:00 hrs | Kalende in Matebo |
|  |  | Night stop in Solwezi |
| Friday 26th April | Data organization, coding, analysis and final scoring for West Lunga Ecosystem | All Day | In Solwezi |
| Saturday 27th April | Travel back to Lusaka | All Day | In Transit |
| **END OF PROGRAMME** | | | |

## Annex 2: Excerpt from the GEF PRODOC: Components, Outputs and Indicators

|  |  |  |
| --- | --- | --- |
| **Project Component** | **Outputs** | **Indicators** |
| 1. *“Increased management effectiveness and financial sustainability of Greater Kafue and West Lunga PA system”.* | 1. Develop a strategy for improved management effectiveness and increased revenues for KNP and WLNP;    1. Increase PA Revenue;    2. Strengthening management operations (patrolling, wildlife monitoring, fire control, support to CBNRM) and performance effectiveness;    3. Management and monitoring of fire, biodiversity, and water | * Increase in Management Effectiveness Tracking Tool * Wildlife stocking rates * reduced area burned annually; (iv) reduced GHG emissions from fire * reduction in funding gap of the targeted National Parks moving up one category (based on REMNPAS financial viability assessment) with at least one new PPP formed as a result of this project); * PES maintaining watershed / river catchments by communities in KNP benefitting ZESCO |
| 1. *“Sustainable land and forest management by “Community Conservancies” in GMA buffer areas through selected CBNRM practices ”* | **A. Land use governance and planning in GMAs strengthened:**   1. VAGs acquire stronger rights and governance, management and monitoring systems improved 2. VAGs develop and implement Integrated Land Use Assessment plans linked to the national REDD readiness programme, delineating appropriate REDD compliance and MRV mechanism in VAG areas 3. Participatory and remote sensing monitoring system established for all VAG conservation areas, including updated biomass inventories 4. Increased revenues into selected VAGs improved through REDD pilots (via sale of offsets) and/or PES schemes 5. Identification of potential buyers for the REDD+ carbon credits from the VAG pilots 6. Integrated support systems for CBNRM established through forums, training, capacity-building and evidence-based monitoring in all targeted GMAs   **B. Land and forest resources managed more sustainably:**   1. Land use and forest conservation plans developed and adopted by all VAGs, supported and monitored by Kafue Central Business Unit (KBU) 2. Increased capacity of communities and partners (e.g. Forestry Department) through performance monitoring and training 3. Strengthened forest and wildlife patrolling and protection by Village Scouts 4. Fire control action plans adopted and in use in all VAGs 5. Introduction and testing of efficacy/suitability of conservation farming practices in 40 VAGs 6. Wood fuel collection zones established in all VAGs and coppicing best practices adopted | * “Community Conservancies” * VAGs legally established * ILUA plans completed for all VAGs * At least 40% Women representation in VAGs and increased per capita household income * Conservation farming practices applied in targeted GMAs with Increased yields; * Demonstration of avoided deforestation (no net loss) in at least 25 VAGs establishing REDD pilots linking to national and/or voluntary carbon financing; * Reduced rate of deforestation from fuel wood extraction in all targeted GMAs * Reduced rate of deforestation from late season fires in targeted GMA zones. |

1. No information given on forest size both by the project or the VAG [↑](#footnote-ref-1)
2. No information on Forest size given either by the project or by the VAG [↑](#footnote-ref-2)
3. No designated community forest [↑](#footnote-ref-3)
4. No information on Forest size given either by the project or by the VAG [↑](#footnote-ref-4)