

**UN-REDD**  
PROGRAMME



# UN-REDD Zambia National Programme Final Evaluation

## Final Report

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UN-REDD Programme

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5 September 2016

**Acknowledgement**

The evaluation team is grateful to the many people in offices of the United Nations agencies (FAO, UNDP, and UNEP) and the Government of Zambia and other organisations in Lusaka who supported and participated in the evaluation process. We thank all stakeholders and appreciate their openness and willingness to provide constructive feedback and suggestions to improve the report. We accept full responsibility for any deficiencies within the context of the evaluation.

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## Acronyms

AWP	Annual Work Plan
COP	Conference of the Parties
CBNRM	Community-based Natural Resource Management
CSO	Civil Society Organizations
ET	Evaluation Team
FD	Forestry Department
FAO	Food and Agriculture Organization of the United Nations
FCPF	Forest Carbon Partnership Facility
GHG	Green House Gas
FREL	Forestry Reference Emission Level
GIS	Geographic Information System
GPS	Global Positioning System
GRZ	Government of the Republic of Zambia
HACT	Harmonized Approach for Cash Transfers
ICCS	Inter-Ministerial Climate Change Secretariat
ILUA	Integrated Land Use Assessment
INDC	Intended nationally Determined Contribution
NDC	National Determined Contribution
IP	Implementing Partner
IPCC	Intergovernmental Panel on Climate Change
JFM	Joint Forest Management
MARV	Monitoring, Assessment, Reporting, and Verification
MoE	Ministry of the Environment
MRV	Monitoring, Reporting, and Verification
MLNREP	Ministry of Lands, Natural Resources and Environment Protection
NAMA	Nationally Appropriate Mitigation Action
NCCRS	National Climate Change Response Strategy
NGO	Non-Governmental Organization
NRS	National REDD Strategy
PD	Programme Document
REDD+	Reduction of Emissions from Deforestation and forest Degradation plus conservation, sustainable forest management and enhancement of carbon stocks
REL	Reference Emission Level (also called the REDD+ Baseline or Reference Scenario)
SADC	Southern African Development Community
SIS	Safeguards Information System
TOC	Theory of Change
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
UN-REDD	United Nations REDD+ initiative
USD	United States Dollar
ZNP	Zambia UN-REDD National Programme

## Executive Summary

- i. This report presents the findings of the final evaluation of the Zambia UN-REDD National Programme (ZNP) which was approved in March 2010 and the funds transferred in November 2010. The ZNP was planned to be completed by August 2013, but had a no-cost extension for completion in December 2014. The ZNP was 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). 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. The ZNP implementation can best be viewed as satisfactory with highly satisfactory components with a likelihood for significant impact.

### BACKGROUND

- ii. The UN-REDD Programme is the United Nations (UN) collaborative initiative on Reducing Emissions from Deforestation and Forest Degradation (REDD+) in developing countries. The UN-REDD Programme supports nationally-led REDD+ processes and promotes the informed and meaningful involvement of all stakeholders, including Indigenous Peoples and other forest-dependent communities, in national and international REDD+ implementation.
- iii. UN-REDD National Programmes Quick-Start Initiative comprises interventions expected to lay the ground work for activities in four thematic areas that include (a) building institutional and stakeholder capacity to implement REDD+; (b) developing an enabling policy environment; (c) develop REDD+ benefit-sharing models; and (d) developing Monitoring, Reporting and Verification (MRV) systems for REDD.
- iv. At the time of preparing the NJP, it was to be facilitated by the Forestry Department (FD), at the time situated within the Ministry of Tourism, Environment and Natural Resources (MTENR). In 2011, MTENR was abolished, and the Forestry Department was moved to the Ministry of Mines and Natural Resources. However, in 2012, the government created the Ministry of Lands, Natural Resources and Environmental Protection which resulted in the FD being moved again. These changes underpinned the increasing recognition of the impact of climate change and the need for strengthening institutional coordination and capacity.
- v. The Forestry Department continued its role in forest management under the MTENR, whose mandate includes both protected forest areas and forests on customary land. The Forestry Department has the authority to issue timber harvesting licenses for forest resources on customary land, and no timber may be harvested and transported across the boundaries of customary land without such a license. Management of protected forest estates and forest on customary land, however, has proved a challenge for the Forestry Department, which lacks sufficient resources for its broad mandate. However, the FD deserves credit for introducing CBNRM and JFM under which community participation in forest resource management in local forest or forest on customary land has been made legal. This is significant in light of future implementation of REDD+ options.
- vi. Zambia, now classified as lower middle income country with 73% of its 15.7 million<sup>1</sup> population living below the poverty line and about 39% concentrated in urban areas makes

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<sup>1</sup> World Bank 2013

it one of the most urbanized countries within the Southern African Development Community (SADC) region. Urbanization has occurred along the major transport routes, with Lusaka and Copperbelt provinces being the most densely settled and North-western, Western and Northern provinces the least populated.

- vii. Areas of urbanization coincide with the major areas of deforestation and forest degradation. With a forest cover close to 50 million hectares, Zambia has an estimated deforestation rate of 250,000 to 300,000<sup>2</sup> hectares per year. Agents and drivers of deforestation in Zambia range from wood fuel, agriculture expansion, timber extraction, and bush fires to land and infrastructure development. Coupled with these drivers and agents of deforestation, there is a long history of elaborated but ineffectively implemented policies and land management strategies.
- viii. The ZNP initiation coincided with the preparation of National Climate Change Response Strategy (NCCRS, 2010) outlining key adaptation and mitigation measures needed to minimize risks associated with climate change. In addition to being one of the nine pilot countries implementing the UN-REDD Readiness Programme, Zambia was also one of the pilot countries participating in the 'Pilot Programme for Climate Resilience' (PPCR). Thus the NCCRS provided a solid basis and framework for coordinating and harmonizing all climate change activities in the country.

## DESIGN AND RELEVANCE

- ix. The ZNP design reflects the background analysis undertaken to determine the objectives and target outcomes. It reflects well the broader context and history of Zambia's forestry sector including an assessment of the policies and regulations, policy failures, extensive consultations of government line agencies, donors, news agencies, NGOs, civil society, indigenous people's organisations, and community groups.
- x. There is a degree of ambition in the ZNP design that made the logframe complex with a large number of deliverables. Design complexity is a common characteristic of a number of other UN-REDD national programmes in other countries. However, this design complexity also reflects the complex nature of REDD+ implementation and stakeholders are constantly giving feedback on the need to simplify designs while maintaining relevance.
- xi. All six outcomes of the ZNP are relevant and well in line with thematic areas of REDD+ Readiness while sub-activities and indicators reflect the country circumstances. The ZNP has created substantial momentum, through the broad stakeholder engagement but mostly at the national level. At the local or community level, approaches such as charcoal *indaba* (dialogue) will need to be replicated widely and frequently going forward to effectively create buy-in and awareness of the benefits and risk of proposed REDD+ strategy options in order to adequately manage community expectations.

## EFFECTIVENESS AND EFFICIENCY

- xii. In assessing the effectiveness of the ZNP, this evaluation looks at the design architecture, level of national ownership and coordination, and its ability to integrate into pre-existing national programmes and other bilateral support mechanisms. This seems to have occurred fairly well. There is need to acknowledge that policy programmes are not simple

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<sup>2</sup> Integrated Land Use Assessment (ILUA) Zambia (2005-2008).



to implement because there is the need to understand and identify the correct process to influence stakeholders at various levels.

- xiii. The ZNP was generally effective but it is worth pointing out that over-ambitious programme designs can be avoided with better prioritisation through understanding and selecting critical elements that will enhance a country's REDD+ readiness for results based payments. While this report highlights the over-ambition in the initial design, the implementation of the ZNP was effective because there was willingness to adjust as necessary as demonstrated in the annual planning and reporting. Secondly, the ZNP has produced a relatively solid National REDD+ Strategy (NRS) outlining in some cases, bold objectives to be achieved by 2030. For example, Objectives 4, 5 and 6 (4 - By 2030, good agricultural practices that mitigate carbon emissions adopted; 5-By 2030, regulated production of wood fuel (charcoal & firewood) and its improved utilization in place; and 6 - By 2020, appropriate and affordable alternative energy sources widely adopted). These objectives resonate well, for instance, with regional efforts to conserve and protect the unique miombo forest
- xiv. The ZNP has supported both technically and financially, the preparatory work that contributed to the development of the Zambia FREL subsequently submitted to the UNFCCC in January 2016. Thus the work initiated by the ZNP has provided a sound basis for ongoing efforts and continues to influence options for forestry sector policy improvements, continued stakeholder engagement, cross sector collaboration, and lessons for other countries.

#### **IMPLEMENTATION AND DELIVERY OF OUTPUTS**

- xv. The ZNP was jointly implemented by the Government of the Republic of Zambia (GRZ) and UN agencies with reasonably effective institutional arrangements using agreed and approved annual work plans and budgets. The delivery of outputs is generally satisfactory and there is general appreciation of the support from the UN agencies and also the flexibility to allow adjustments when necessary. The delivery of the ZNP is by and large successful and far more collaborative than observed in other countries.
- xvi. There is no doubt that there were contentious aspects along the way but these are largely mechanical issues such as staffing, reporting lines and modality for funds disbursement. These issues are discussed in more detail in the report but also highlighted in the conclusions and lessons learnt.

#### **CAPACITY DEVELOPMENT, SUSTAINABILITY AND UP-SCALING**

- xvii. The continuing environmental deterioration through unsustainable resource utilisation and rampant deforestation calls for stronger political, social and financial commitment. It is important to reiterate the link between capacity development, sustainability and country needs. The ZNP will be sustainable in the long term if the foundation is set with the appropriate framework to enable Zambia manage its own REDD+ Programmes in the future.
- xviii. The ZNP has illuminated the value of the economic contribution of forest ecosystem services not accounted for in Gross Domestic Product – equivalent to at least 2.5% of Zambia's GDP (USD27billion) in addition to the jobs created by the sector. The current fiscal commitment to protect these resources does not match their value - only 0.3% of the national budget is spread across environmental management initiatives including climate change. Climate change is not an environmental issue (just like the global realisation that HIV/AIDS is not just a health issue). Instead, the impacts of climate change transcend social, economic, political and geographical boundaries noting the emergence of "climate

change refugees” in some parts of the world. Thus it is essential that capacity and sustainability of climate change response strategies and options are maintained and prioritised.

- xix. There are two perspectives to capacity development. First, is the capacity to implement the ZNP and secondly the capacity to implement REDD+ post-ZNP. The successful completion of the ZNP denotes that there is capacity for implementation at the programme level but off course being cognisant of the identified challenges and areas that would need improvement in the future. Beyond the ZNP, the capacity for implementing REDD+ becomes a subject of the effectiveness and impact of the ZNP. The programme employed multiple strategies to build capacity – training of trainers, providing access to global knowledge products and attending international forums for knowledge sharing, creating platforms for presentation of progress and results and supporting analytical studies that inform policy. Thus the capacity of relevant national institutions and some stakeholders is stronger to some extent because of the ZNP. A significant opportunity now exists for the GRZ to continue this momentum through further engagement at the local level.
- xx. The UN agencies capacity development strategy is imbedded in the programme design and based on the assumption that national institutions will take ownership of the process and outputs post-programme implementation. To increase sustainability, capacity building now needs to go beyond individuals and link the leadership and systems that the individuals concerned are accountable for. As defined by UNDP (2008)<sup>3</sup>, capacity building should focus on functional capacities to engage with stakeholders, to assess a situation and define a vision and mandate, to formulate policies and strategies, to manage, budget and implement, and to evaluate. For sure the NRS sets the vision and REDD+ strategic objectives, but the GRZ could accelerate capacity by continuing to strengthen and upscaling the foundation laid by the ZNP.

## IMPACT

- xxi. The ZNP is likely to have reasonably high impact now that the NRS is part of the NCCRS, NDC, and likely to be incorporated in the 7<sup>th</sup> National Development Plan. The completion is timely especially now noting the Paris Agreement (2015) is taking forward achievements of the Kyoto Protocol, with the ensuing promise for financially supporting developing countries. It is likely that the outputs from the ZNP could have a far more reaching impact if the strategy options can be operationalised along with other adaptation and mitigation efforts.
- xxii. REDD+ interventions will lead to socio-economic changes that may affect peoples' lives, either positively or negatively, but the overall impact may well depend on the economic viability of REDD+ interventions (strategy options). The ZNP, by its design, is a preparatory phase towards performance-based incentives. The incentive schemes are starting to become clearer, therefore it now depends on the commitment of the GRZ to position the country for receiving performance-based finance.

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<sup>3</sup> UNDP (2007) Capacity Assessment Methodology User's Guide. Capacity Development Group Bureau for Development Policy

UNDP (2008) Capacity Assessment Practice Note.

- xxiii. This report further provides a summary of REDD+ Readiness on the basis of the Warsaw Framework (2013) and attempts to give the status of each component in an objective way based on information available and any evidence from the outputs and other measures.

## **CONCLUSIONS**

- xxiv. Given the fact that Zambia forest loss is close to 300,000 hectares annually, and the agents and drivers of deforestation centre around agricultural expansion, charcoal production, fuel wood collection, wood harvesting, settlements, fires, urbanization, industrialization, urban expansion and livestock grazing – it is only necessary that targeted strategies are developed. The ZNP has created the impetus for greater commitment towards addressing deforestation and forest degradation. The ZNP's implementation process has been particularly instrumental in bringing together stakeholders at national and to a reasonable degree at sub-national level and created awareness about the challenges, opportunities and options that the country could adopt.
- xxv. The collaborative implementation and joint planning using existing government structures at both national and sub-national level has created a higher degree of national ownership. The ZNP has influenced the setting up of an institutional framework for the implementation of REDD+ and simultaneously increasing awareness of current and potential roles and responsibilities among government line agencies.
- xxvi. This evaluation points out some gaps in the design, but there is no doubt that all 6 Outcomes are relevant and address critical components within the main REDD+ thematic areas of building institutional and stakeholder capacity to implement REDD+, developing an enabling policy environment for REDD+, developing REDD+ benefit-sharing models, and developing MRV systems for REDD+. With REDD+ being a relatively new concept and Zambia being among the first countries to receive support for the Quick Start Initiative, there was always going to be a risk in relation to capacity and understanding of concepts to enable effective and efficient implementation. This report has highlighted the need for matching design ambition, budget and national circumstances as ingredients for successful implementation.
- xxvii. The ZNP has created opportunities and provides lessons. However, on its own and without the outcomes being sustained, it is unlikely that it will have an impact on reducing deforestation and forest degradation, and indeed improvement of livelihoods at the community level. It requires further effort from the GRZ to support upscaling and effective incorporation into the broader climate change response and economic development strategies.
- xxviii. On the part of the UN agencies, UN-REDD NPs have been a major catalyst in the evolution of global discourse on efforts to reduce deforestation because of the practical lessons they are providing. The extensive situation analysis and assessment of the potential intervention options outlined in the Programme Document illustrate the attempts made by the design team to ensure alignment of outputs, indicators and the likely impact the ZNP would have in the long term.
- xxix. The GRZ has taken ownership by institutionalising REDD+ through the formation of the Inter-Ministerial Climate Change Secretariat, including REDD+ in the Climate Change Response Strategy, IDNC, and NAMAS. This is certainly encouraging. A significant challenge that remains is tackling institutional financial governance, implementing safeguard and accountability measures to be ready for performance-based incentive payments for emission reductions. Transparency, financial governance, and accountability need to transcend all levels – political and administrative in order to build confidence among stakeholders, beneficiaries, and funding agencies. In doing so, it will make the discussions

about financial disbursement modalities for donor funded projects much easier because there is no risk of corruption or mismanagement.

- xxx. Finally, upscaling REDD+ and implementing the strategy options will need to achieve short term immediate gains that address community livelihoods and create the momentum for transformative actions. This is where the impact of the REDD+ readiness process will start to become more visible. Continued formulation, strengthening and implementation of policies rests with the GRZ and relevant institutions – but more so, it comes down to effective mainstreaming of the climate change response strategy across sectors (agriculture, forestry, energy, transport, mining etc.). External capacity support is only effective if there is national ownership. This evaluation highlights a number of areas that still needs further work – some aspects are more fundamental and require a cultural shift, while others require transformative managerial and political commitment with the understanding that the ultimate beneficiaries (communities) are the most affected yet hold the least influence.

## Summary of Evaluation of Programme Performance<sup>4</sup>

Criterion	Rating	Summary Assessment
<b>Concept and relevance of the NP</b>		
Design	R	This final evaluation finds the design to be relevant.
Relevance	R	The ZNP is highly relevant
<b>Results and contribution to stated objectives</b>		
Delivery of Outputs	S	The overall delivery of outputs is satisfactory but the National REDD+ Strategy is highly satisfactory.
Effectiveness	HS	The results have certainly contributed significantly to stated objectives as evidenced by ongoing institutional reforms, incorporation of REDD+ in national economic development policies and political support.
Efficiency	MS	The ZNP had a no-cost extension but mostly attributable to issues at the beginning due to the need for making adjustments and slow recruitment and institutional set up processes within the RGC and UN agencies. The institutional changes in government slowed down progress and caused some delays in implementation of some activities. On the part of UN agencies, delivery by three agencies shows varying degrees of efficiency largely in the decision-making and procurement process.
Cross-cutting issues:		
Gender	MS	Crosscutting issues are becoming increasingly important in mainstreaming climate change. This rating reflects the design aspects. Fundamentally, design at the minimum necessarily need to include gender issues.
Capacity Development	S	The capacity development is satisfactory but there is general feedback for further capacity building at the sub-national level.
Normative Products	S	Working as three agencies with capacity and expertise across a wide spectrum of thematic areas remains one of its strongest comparative advantages of the UN agencies. The key result from the normative work of each agency has been the growing sectoral integration and what now appears as significant effort to mainstream climate change in innovative ways thus strengthening policies and governance.
Sustainability	L	The likelihood for sustainability is there since the NRS is now in place and strategy options being considered across economic development themes.
Up-scaling	ML	Up-scaling as a direct result of the ZNP is moderately likely partly because the program did not have specific demonstration level activities. However, it did engage with pre-existing projects.
Likelihood of Impact	S	The ZNP has had significant impact in a number of areas. It has influenced policy thinking which is a reflection of the ownership and acceptance by the government that REDD+ has a role to play in the Zambian economy.

<sup>4</sup> **Agency coordination and implementation; outcomes; overall programme results:** Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU).

**Sustainability:** Likely (L); Moderately Likely (ML); Moderately Unlikely (MU); Unlikely (U).

**Relevance:** relevant (R) or not relevant (NR).

**Impact:** Significant (S), Minimal (M), Negligible (N).

Criterion	Rating	Summary Assessment
<b>Factors affecting performance</b>		
Programme management and coordination	S	Coordination of the program implementation was a joint effort between the government and the UN agencies and this seems to have worked satisfactorily.
Human and financial resources administration	S	Staff resourcing with the UN agencies was adequate to support the delivery of the ZNP. International advisors are imbedded in government agencies such as FD. There were some delays in bringing technical advisors at the beginning and this report proposes some options for preventing delays at the beginning.
Technical backstopping and supervision	S	The technical backstopping was adequate and satisfactory. Both UNDP, FAO, and UNEP provided technical backstopping through the regional offices and Head offices.
Government participation and ownership	S	The GRZ showed its interest in taking ownership of the implementation of the ZNP right from the beginning and continued with making incremental institutional adjustments necessary for the success of the ZNP.
Monitoring, reporting and evaluation	S	Effective reporting was performed through semi-annual and annual progress reports. The Strategic review provided an opportunity for re-aligning the ZNP.
<b>Overall Programme Performance</b>	<b>S</b>	<b>The ZNP is satisfactory and both the GRZ and the UN agencies should be credited for a well implemented program that is likely to have a significant impact.</b>

## RECOMMENDATIONS

The recommendations are formulated based on the ET's view on what could be done to enhance the readiness process for Zambia. The first set of recommendations address the UN-REDD agencies with regards to programme design. The second set is for consideration by the GRZ. These recommendations summarise the broader discussions presented throughout the report.

### Summary Recommendations

#### *For the UN-REDD agencies with regards to programme design*

**RECOMMENDATION 1:** In designing national programmes, the Evaluation Team recommends increasing the programme period from 3 to 3.5 years considering that the 3-year period has so proved too short for most REDD+ countries. The additional 6 months should be used as an inception phase to allow for design adjustments, and recruitment of relevant staff. Constant feedback points to the complexity of REDD+ NPs. The ZNP had more than 100 individual activities in the logframe therefore substantial consolidation and re-planning was required at the beginning. Noting that NP designs will inherently have some challenges at the beginning, the purpose of the inception phase would be to formerly translate the design into implementation and make necessary adjustments if necessary.

**RECOMMENDATION 2:** Gender mainstreaming in climate change is acutely pertinent but the role of women in critical decision making is still disproportionate and the gender aspects in the design of the ZNP are somewhat subtle. The Evaluation Team recommends that future projects should include specific strategies for mainstreaming gender especially at community level where the gender problem is relatively more severe because of the relatively slow pace at which traditional and cultural practices are likely to adapt to REDD+ type interventions. This recommendation is for both the UN agencies and the GRZ.

**RECOMMENDATION 3:** The current arrangements of transferring resources to the project involve delays which have a high potential of negative bearing on the project implementation. In order to eliminate problems that arise from delays in the transfer of resources to the project, financial management arrangements could provide for some (limited) autonomy in financial management to the project. In line with Recommendation 1, this can entail:

- a) Timely release of budgeted funds into the project account on quarterly basis.
- b) Project management team in place, including Project Manager; Project Accountant; and Procurement Officer.
- c) Project governance structure in place in the form of Project Steering Committee.

#### *For consideration by the Government of the Republic of Zambia*

**RECOMMENDATION 4:** Social and environmental safeguards are critical for implementation of REDD+. The completion of the ZNP provides a suite of opportunities to access finance for performance-based emissions reductions. However, the current progress status of SES, SIS and benefit sharing maybe a limiting factor to the success of implementing the NRS strategic options. The Evaluation Team highly recommends treating as a priority, the design and implementation of country-led social and environmental safeguards, safeguards information system, and downstream pro-poor benefit and incentive systems that promote and motivate actions to reduce deforestation.

**RECOMMENDATION 5:** Prioritise investment in completing a broader national MRV system including implementing the proposal presented in the ILUA exit strategy. The ILUA exit strategy essentially represents the sustainability strategy. There is a substantial risk that the ZNP and FINFAO investment in establishing GIS units at provincial level could go to waste if the capacity (staff, equipment, data) is not maintained, updated and provided continuous

support. There is a further risk that Zambia may not be able to improve the REL submitted to the UNFCCC unless data collection and analysis is sustained.

**RECOMMENDATION 6 (Note):** Noting Recommendation 3, future REDD+ implementation will entail potential and significant funds management and governance at national and sub-national level. To be effective, REDD+ incentive mechanisms will need to be supported by strong social and environmental safeguards and need to be channelled through a system that embraces the key principles of equitable, transparent, participatory, flexible and recognise all the beneficiaries. Strong accountability and institutional governance and transparency measures at the departmental level will be necessary.

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# PART 1. INTRODUCTION

## 1 CONTEXT OF THE NATIONAL PROGRAMME

1. The UN-REDD Programme is the United Nations (UN) collaborative initiative on Reducing Emissions from Deforestation and Forest Degradation (REDD+) in developing countries. The UN-REDD Programme supports nationally-led REDD+ processes and promotes the informed and meaningful involvement of all stakeholders, including Indigenous Peoples and other forest-dependent communities, in national and international REDD+ implementation.
2. The Zambia UN-REDD National Programme (ZNP) was approved in March 2010, and the funds transferred in November 2010. The ZNP was planned to be completed by August 2013, but had a no-cost extension for completion in December 2014. The ZNP was implemented by the Ministry of Lands, Natural Resources and Environment Protection (MLNREP) and three UN Agencies, namely UNDP, FAO, and UNEP. 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.
3. As with other REDD+ countries, the interventions of the Quick-Start Initiative are expected to lay the ground work for activities in later years. The specific outcomes of the programme are:
  - Build institutional and stakeholder capacity to implement REDD+
  - Develop an enabling policy environment for REDD+
  - Develop REDD+ benefit-sharing models
  - Develop Monitoring, Reporting and Verification (MRV) systems for REDD
4. Forest cover in Zambia is approximately 50 million hectares (about 66% of the total land area) with 22% percent occurring in North-western province in the upper Zambezi River watershed which is where the source of the Zambezi River is. Zambia has an estimated deforestation rate of 250,000 to 300,000 hectares per year according to Integrated Land Use Assessment (ILUA) Zambia (2005-2008). Agents and drivers of deforestation in Zambia range from wood fuel, agriculture expansion, timber extraction and bush fires to land and infrastructure development.
5. Zambia, now classified as a lower middle income country has a population of 15.7 million according to the World Bank (2013). Approximately 73% of the population lives below the poverty line and about 39% of the population is concentrated in urban areas making Zambia one of the most urbanized countries within the Southern African Development Community (SADC) region. Urbanization has occurred along the major transport routes, with Lusaka and Copperbelt provinces being the most densely settled and North-western, Western and Northern provinces the least populated. Areas of urbanization coincide with the major areas of deforestation and forest degradation.
6. The initiation of the of the ZNP timely coincided with the finalisation of the preparation of Zambia's National Climate Change Response Strategy (NCCRS, 2010) outlining key adaptation and mitigation measures needed in order to minimize risks associated with climate change while maximizing opportunities. In addition to being one of the nine pilot countries implementing the UN-REDD Readiness Programme, Zambia was also one of the pilot countries participating in the 'Pilot Programme for Climate Resilience' (PPCR). Thus the NCCRS provided a solid basis and framework for coordinating and harmonizing all climate change activities in the country. In particular, the NCCRS laid the foundation for national institutional and implementation framework to oversee the implementation of activities through prioritized, coordinated and harmonized programmes and projects, across the sectors (including REDD+).

7. There are a number of principle climate change-related policies, strategies and legal frameworks that aim to support and improve land use planning and forest management. These include National Policy on Environment (NPE, 2007); National Forestry Policy (2014); National Energy Policy (2008); National Agricultural Policy (2014); and now the National REDD+ Strategy and revised Forest Act No. 4 (2015). Underlying these policies are the Sixth National Development Plan, the Vision 2030 and the ensuing development of the Seventh National Development Plan (SeNDP, 2017-2021).
8. Over the years, various efforts have been made to improve forest governance including implementation of new legislation, improved participation, and increased transparency and responsiveness. The key challenges in the sector are the need to ensure sustainable management and equitable use of forests to improve rural livelihoods, and to promote balanced socio-economic development. REDD+ could form a significant new source of finance for effective implementation of these forest management strategies, in a way that explicitly recognises local livelihoods and biodiversity conservation co-benefits.
9. The ZNP covers Six Outcomes: (1). Management of National REDD+ Readiness; (2). Consultation, stakeholder engagement and awareness-raising; (3). Development and selection of REDD+ strategies; (4). Implementation framework (including benefit sharing and safeguards); (5). Development of the Reference Scenario against which performance will be measured; and (6). Development of the Monitoring System for national Monitoring, Reporting and Verification (MRV).
10. The overall objective of the ZNP was to strengthen the capacity to manage REDD+ Readiness. This will add to the overall goal of ensuring that Zambia is able to reduce emissions from deforestation and forest degradation. It is within this context that the UN-REDD National Programme in Zambia was designed and approved in March 2010 and the funds transferred in March 2010 based on the budget presented in Table 1-1 and Table 1-2.

Table 1-1: Programme timelines

Programme title:	Zambia UN-REDD National Programme		
Programme Objective:	To support Zambia to be ready for REDD+ Implementation, including development of necessary institutions, policies and capacity		
Approval date:	8 August 2011	Fund transfer date:	11 August 2011
Completion date:	31 August 2013	Non cost extension date:	30 June 2015

Table 1-2: Programme Budget

UN Agency	Approved Programme Budget <sup>5</sup> (USD)	Amount Transferred <sup>6</sup> (USD)
FAO	180 000 180 000	2 180 000 2 180 000
UNDP	1 995 000 1 995 000	1 995 000 1 995 000
UNEP	315 001 315 001	315 001 315 001
Indirect Support Cost (7%)	293 738 293 738	293 738 293 738
<b>Grand Total</b>	<b>4 490 000 4 490 000</b>	<b>4 490 000</b>

<sup>5</sup> The total budget for the entire duration of the Programme, as specified in the signed Submission Form and National Programme Document. This information is available on the MPTF Office GATEWAY: <http://mptf.undp.org>

<sup>6</sup> Amount transferred to the participating UN Organization from the UN-REDD Multi-Partner Trust Fund. This information is available on the MPTF Office GATEWAY: <http://mptf.undp.org>

## 2 THE EVALUATION

### 2.1 Purpose of the Evaluation

11. The scope of the evaluation is the Zambia UN-REDD National Programme and its outputs. The programme was delivered from the time of inception in March 2010, until the time of closure in December 2014. The evaluation is based on data and information available at the time of evaluation.
12. The purpose of the evaluation is to assess (i) Programme performance in terms of relevance, effectiveness (outputs and outcomes) and efficiency, (ii) sustainability and up-scaling of results, and (iii) actual and potential impacts from the programme. The evaluation has the following objectives:
  - To provide evidence of results to meet accountability requirements.
  - To assess the status of REDD+ readiness in Zambia, gaps and challenges that need to be addressed to achieve REDD+ readiness and the UN-REDD Programme's possible roles in the future REDD+ process in the country.
  - To promote learning, feedback and knowledge sharing through results and lessons learned among the participating UN Organizations and other partners. The evaluation will identify lessons of operational and technical relevance for future programme formulation and implementation in the country, especially future UN-REDD Programmes, and/or for the UN-REDD Programme as a whole.
  - Identify key building blocks that have successfully brought about the desired outcomes.
13. The primary audience for the evaluation is the Government of the Republic of Zambia, the three participating UN Organizations of the UN-REDD Programme (i.e. FAO, UNDP, and UNEP) and the implementing partners and responsible parties (i.e. the Ministry of Lands, Natural Resources and Environment Protection (MLNREP). The secondary audience for the evaluation is the UN-REDD Policy Board and national REDD+ stakeholders such as development partners, representatives from the REDD+ taskforce, the REDD+ Taskforce Secretariat, the Consultation Group and the Gender Group. The evaluation will also be made available to the public through the UN-REDD Programme website ([www.un-redd.org](http://www.un-redd.org)).

### 2.2 Methodology of the Evaluation

14. The ET sought to understand the UN-REDD National Programme intended impacts and mapping them out. The basis for the evaluation framework is a series of tailored questions, judgement criteria and indicators against the Organisation for Economic Co-operation and Development (OECD) Development Assistance Criteria (DAC). These cover the following five thematic areas:
  - **Relevance:** the extent to which the National Programme and its intended outcomes or outputs are consistent with national and local policies and priorities and the needs of the intended beneficiaries. Relevance also considers the extent to which the initiative is aligned with the UN-REDD Strategic Framework 2016-2020<sup>7</sup> (or the UN-REDD Programme Framework Document<sup>8</sup> for Programmes approved before

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<sup>7</sup> The UN-REDD Strategic Framework 2016-2020 is available on:

[http://www.unredd.net/index.php?option=com\\_docman&task=doc\\_download&gid=4598&Itemid=53](http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=4598&Itemid=53)

<sup>8</sup> The UN-REDD Programme Framework Document is available on:

November 2010) and the corporate plans of the three participating UN Organizations. Relevance *vis-à-vis* other REDD+ or REDD+-related programmes implemented in the country should also be examined, in terms of synergies, complementarities and absence of duplication of efforts.

- **Effectiveness:** measures the extent to which the National Programme's intended results (outputs and outcomes) have been achieved or the extent to which progress towards outputs and outcomes has been achieved.
  - **Efficiency:** measures how economically resources or inputs (such as funds, expertise and time) are converted to achieving stipulated outcomes and outputs.
  - **Sustainability:** analyses the likelihood of sustainable outcomes at programme termination, with attention to sustainability of financial resources, the socio-political environment, catalytic or replication effects of the project, institutional and governance factors, and environmental risks.
  - **Impact:** measures to what extent the National Programme has contributed to, or is likely to contribute to intermediate states towards impact, such as changes in the governance systems and stakeholder behaviour, and impact on people's lives and the environment. The evaluation will assess the likelihood of impact by critically reviewing the Programme intervention strategy (Theory of Change) and the presence of the required drivers and assumptions for outcomes to lead to intermediate states and impact.
15. The evaluation framework constituted the main instrument for data collection. However, the framework is treated as a guide because it evolved during delivery of the assignment. The ET analysed the project log frame to determine project design appropriateness and link to outcomes.
16. The evaluation consisted of an inception phase followed by a field mission, documentation review, drafting the report and seeking feedback prior to preparing the final report. Table 2-1 outlines the evaluation process.

Table 2-1: Summary of Phases and Timeframe for the Evaluation

Date:	Activity	Responsibility
22 April 2016	Submission of Inception Report	Evaluation Team (consultants)  Logistical support provided by the participating UN Organizations National Programme staff
22-30 April 2016	Review of Inception Report	The three participating UN Organizations and the Evaluation Management Group (Evaluation departments of the three participating UN Organizations and the UN-REDD Secretariat)
8 – 26 May 2016 (Travel)	Evaluation Mission, including preparation of <i>preliminary findings report</i>	Evaluation Team (consultants)  Logistical support provided by the participating UN Organizations' National Programme staff. Also, a one-day debriefing workshop with stakeholders was held at the end of the Evaluation Mission. At this workshop the <i>preliminary</i>

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[http://www.unredd.net/index.php?option=com\\_docman&task=doc\\_download&gid=4&Itemid=53](http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=4&Itemid=53)

		<i>findings</i> were presented.
26 May – 17 June 2016	Preparation of draft evaluation report and submission to UNREDD Secretariat.	Draft evaluation report submitted to the UN-REDD Secretariat at the latest 3 weeks after the mission has been completed.
19 June - 8 July 2016	Review Draft Evaluation Report by the evaluation departments of the participating UN Organizations	The Evaluation Management Group (Evaluation departments of the three participating UN Organizations and the UN-REDD Secretariat) reviewed the draft from the point of view of its evaluation quality and made comments to the Evaluation Team in that respect.
	Review Draft Evaluation Report by the participating UN Organisations, Government Counterpart, UN Country Offices and other stakeholders	The National Programme staff should ensure the Draft Evaluation Report is shared with the Government Counterpart and other relevant key stakeholders, including civil society, for information and their comments.
11 July - 22 July 2016	Preparation of Final Report and Submission	Evaluation Team (consultants)  Logistical support provided by the participating UN Organizations National Programme staff
29 July – 2016	Presentation of evaluation results in Zambia	Evaluation Team (consultants)
August 2016	Management response from the Participating UN Organizations	Participating UN Organizations
August 2016	Management response from the Government Counterpart	Government Counterpart
(TBC)	Dissemination of the report	The UN country offices on the national level and the UN-REDD Programme Secretariat on the global level (e.g. PB).

17. The ET interviewed staff in the UN agencies, government officials and ministry staff, higher learning institutions, and NGOs. In addition, the ET evaluated key documents e.g. programme documents, annual work plans, and held consultative meetings with the client throughout the process of the review. Annex 4 contains a list of interviewees.

## PART 2. MAIN FINDINGS OF THE EVALUATION

### 3 CONCEPT AND RELEVANCE

#### 3.1 Design

Table 3-1: Ratings for Programme Design

Outcome	Rating
<b>Overall Rating for Design</b>	<b>S</b>
Outcome 1	S
Outcome 2	S
Outcome 3	MS
Outcome 4	HS
Outcome 5	S
Outcome 6	HS

18. The ZNP is designed with six outcome areas consisting:

Table 3-2: ZNP Outcomes and sub-components

OUTPUT	Description of Target	
OUTCOME 1: Capacity to manage REDD+ Readiness Strengthened.		
Output 1.1	REDD+ Readiness coordination and management bodies established and functioning.	
Output 1.2	REDD+ Readiness Process integrated into the national development planning process.	
Output 1.3	Communication and advocacy strategy as input in overall climate change strategy developed and implemented.	
Output 1.4	Mapping and gap analysis of relevant initiatives undertaken.	
OUTCOME 2: Broad-based stakeholder support for REDD+ established		
Output 2.1	Stakeholders engagement process functioning.	
Output 2.2	Conflict resolution and redress mechanism reviewed. (This output was dropped)	
OUTCOME 3: National REDD+ Strategy developed with appropriate legal, institutional, governance, financing, benefit sharing, and monitoring and evaluation mechanisms, frameworks or models.		
Output 3.1	Institutional capacity to implement REDD+ framework developed.	
Output 3.2	National REDD+ Strategy process integrated into the national development planning process.	
Output 3.3	Legislative framework to facilitate implementation of REDD+ strengthened.	
Output 3.4	Mechanism to administrate and channel REDD+ finance established.	
Output 3.5	Benefit sharing model approved. (RE-oriented). Study on benefit sharing, assessment of financing and incentives, the Role of Safeguards, Enforcement and Governance in REDD+ and institutional assessment validated and finalised	
OUTCOME 4: National REDD+ strategies identified.		
Output 4.1	Drivers of deforestation and forest degradation assessed.	

OUTPUT	Description of Target	
Output 4.2	Candidate activities for REDD+ identified.	
<b>OUTCOME 5: MRV capacity to implement REDD+ strengthened.</b>		
Output 5.1	REDD+ integrated with forestry inventory system (ILUA).	
Output 5.2	Operational Forest Monitoring System established and institutionalized.	
Output 5.3	Greenhouse gas emissions and removals from forest lands estimated and reported.	
<b>OUTCOME 6: Assessment of REL and RL undertaken</b>		
Output 6.1	Historical rates of forest area and carbon stock changes reviewed.	
Output 6.2	National circumstances assessed.	

19. These outcomes are well in line with the main REDD+ thematic areas of building institutional and stakeholder capacity to implement REDD+, develop an enabling policy environment for REDD+, developing REDD+ benefit-sharing models, and developing Monitoring, Reporting and Verification (MRV) systems for REDD+.
20. With Zambia experiencing a high rate of forest loss coupled with significant policy implementation challenges, the appropriateness of stated development goals and outcomes cannot be understated. The UN-REDD NPs have been a major catalyst in the evolution of global and country discourse on efforts to reduce deforestation because of the practical lessons they are providing and Zambia is no exception. The extensive situation analysis and assessment of the potential intervention options outlined in the Programme Document (PD) illustrate the attempts made during the design to ensure alignment of outputs, indicators and the likely impact the ZNP would have in the long term.
21. With REDD+ being a relatively new concept and Zambia being among the first countries to receive support for the Quick Start Initiative, there was always going to be a risk in relation to capacity and understanding of concepts to enable effective and efficient implementation. It is also fair to mention that the design, as would subsequently be expressed by national counterparts, proved to be rather complex with too many activities to the point of being overly ambitious in relation to the proposed timeframe and budget.
22. The ZNP PD reflects well on the broader context and history of Zambia's forestry sector including an assessment of the policies and regulations, policy failures, extensive consultations of government line agencies, donors, news agencies, NGOs, civil society, indigenous people's organisations, and community groups. The challenge of addressing climate change is a global one affecting not just governments, but livelihoods of individuals and whole communities.
23. With regards to the relevance and appropriateness of indicators, it is perhaps worth recapping that in a 2010 UNFCCC Conference of the Parties (COP) in Cancun, Parties recognized the importance of good governance for successful implementation of REDD+ actions<sup>9</sup>. There was a further re-enforcement that to contribute to the sustainable management of forests, REDD+

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<sup>9</sup> <http://www.wri.org/publication/safeguarding-forests-and-people>

actions need to be implemented effectively, equitably and sustainably applying safeguards that include transparency, participation, protection of biodiversity, and protection of the rights of local people – commonly known as the Cancun Safeguards. We emphasize this point because it bears significance with regards to the design and subsequent outputs of the ZNP.

24. Considering the emphasis of the Quick Start Initiatives – i.e. to lay the foundation for the future, there is much evidence from global discourse that social and environmental safeguards may well be in the critical path for the ability of countries to receive performance-based payments. This brings into question whether this component should be treated with higher priority over other activities. While this depends on national circumstances particularly the state of national policies and how well existing legislation and governance systems can address the potential negative impacts of REDD+, a large number of bilateral and multi-lateral support tend to want to see some form of safeguards in place in order to increase confidence. The point here is that the PD perhaps could have given the safeguards component more attention than what was eventually achieved. Understandably, the NRS lays out the plan for SES. However, going forward the ET encourages the GRZ consider the establishment of country-led safeguards framework as a priority.
25. A sizeable proportion of stakeholders hold the view that REDD+ is too difficult to implement but is essential. This reaffirms the findings of the global evaluation of UN-REDD that there is broad acknowledgement by a wide range of observers such as Civil Society Organizations (CSOs), government representatives, and Programme staff that NPs are relevant but finding the right balance in the context of country needs is challenging and sometimes not enough assessment is done at the beginning. Under the UNFCCC<sup>10</sup> there is emphasis that REDD+ activities should be country-driven, be undertaken in accordance with national development priorities, objectives, circumstances, capabilities, and should respect national sovereignty. There are sentiments among some stakeholders that greater understanding of national circumstances and country needs could help avoid the pitfalls of ambitious and complex design.
26. However, while there are shortcomings presented here, Outcome 1 is well in line with supporting the building of capacity at institutional level to increase understanding of REDD+. As of necessity, Outcome 2 targets stakeholder support and engagement necessary for both national and local level REDD+ implementation through decentralisation.
27. Globally, there is general consensus that every country intending to participate in REDD+ needs a national REDD+ strategy thus Outcome 3 appropriately builds the overall framework for REDD+ through articulation of short, medium and long term strategies through a consultative process to better understand critical issues such as benefit sharing, safeguards, and governance. The contents of the National REDD+ Strategy (NRS) are based on national circumstances. While it is not in the scope of this evaluation to assess the detailed contents of the NRS, the ET provides some further insights on the issue of activity prioritisation within the ZNP.
28. The complexity of REDD+ dictates that countries prioritise target outputs carefully and this is not always easy. While other countries have had the opportunity to implement pilot projects, Zambia did not and there are several reasons given and one is obviously the limited budget. The other reason is the limited time to implement full scale pilot projects and achieve meaningful results within the short life of the project. The additional factor here is that once a pilot project is in place, there needs to be a sustainability strategy as part of managing community expectations.

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<sup>10</sup> UNFCCC Conference of the Parties, Decision 1/CP.16. Appendix 1. Par. 1



29. The ET notes that while Outcome 3 and 4 deal with developing the national REDD+ Strategy, the depth of sub-activities (Outputs 3.1 to 3.4) is limited to studies as opposed to testing of different options that are perhaps more practical under pilot projects. The PD indicates that the ZNP will include tangible learning-by-doing activities in communities and forests with large-scale activities such as development of alternative livelihoods (e.g. sustainable beekeeping in woodlots); employment of sustainable agricultural methods and land use practices; utilization of alternative energy sources to reduce demand for charcoal and wood; and revision of appropriate policies, strategies and legislation.
30. These type of activities were not carried out as they were always likely to require specific and targeted projects (pilot projects). But from the ET's point, absence of specific pilot projects is not really the main issue as there are projects supported by other development partners that are supportive of REDD+ implementation and development of the national framework. The key question that the ET has assessed is whether the lack of pilot projects has impacted the effectiveness of the ZNP. Here the ET looks at a number of key components that the GRZ will need to expedite in order to be ready for performance based payments and access relevant funds such as the Green Climate Fund, FCPF and other bilateral options.
31. The ET believes that pilot projects are a good source of practical understanding of different implementation models for REDD+ activities and also provide practical lessons for how to decentralise and engage local communities, establish incentive mechanisms, safeguards and processes such as FPIC. But these are processes that require direct engagement with communities. There is one school of thought asserting that REDD+, has in some respect created expectations that have resulted in negative perceptions about the reality of benefits. This of course has to be contextualised and often such sentiments arise where pilot projects have failed to deliver reasonable, tangible, and sustainable benefits.
32. Noting that the success of REDD+ pilot projects by and large lies in their design – they need to be designed beyond the life of the NP by becoming quickly self-sustaining. But establishing projects that can become self-sustaining in a short space of time (say within 3 years) is challenging and there is a large body of evidence on this. For instance, the review of the REDD+ Pilot Projects in Tanzania (NIRAS Finland Oy - Authoured by Mäkelä, et al., 2015) reveals a number of important lessons. A key one is that project approaches working at a relatively low geographical scale are not economically viable indicating that working at a larger jurisdictional or national scale may help to overcome the barriers. Since the Pilot projects in Tanzania have completed the project phase, the level of activity continuation has reduced drastically.
33. The sustainability of many REDD+ projects has come from continued injection of support (both technical and financial). For example, the Oddar Meanchey REDD+ pilot project in Cambodia and the Jane Goodall Institute REDD+ Project in Tanzania have both been in existence since 2008, and the Kasigau Corridor REDD+ Project and Wildlife Works Carbon in Kenya (established 1997) have received continuous technical and financial support from different funds.
34. The design of the ZNP in some way recognized the existence of opportunities to interleave with existing projects such as the BioCarbon Partners and those that may have started after the initiation of the ZNP such as the Finnish (MFA) funded "Decentralised Forest and other Natural Resource Management Programme". Each of these projects are important conduits for assessing operational options for aspects such as benefit or incentives mechanisms and assessing options for effective and sustainable livelihood interventions in line with REDD+. However, the type and level of interaction between the ZNP and these programmes was not specifically stipulated in the programme design but there was and there is ongoing interaction among stakeholders.
35. The ET notes that the 2013 Strategic Review assessed the ZNP as "moderately satisfactory" and pointed out a number of aspects related to its design, relevance, and performance by each of

various implementing agencies. It also provided some important recommendations including a 16-month no-cost extension. A point to note is that the majority of UNREDD NP reviews seem to point to major challenges in finding the optimal balance in design and ambition and this was also pointed out in the evaluation of the UNREDD Programme (Frechette, de Bresser, & Hofstede, 2014). The main reasons are that NPs are complex, and varying national circumstances and priorities associated with REDD+ make it even more challenging.

36. Some of these challenges need greater analysis during NP design in order to increase efficiency and effectiveness. The 2013 ZNP Strategic Review points out the somewhat common operational issues such as inconsistencies and overly ambitious programme design coupled with limited national ownership and limited involvement of stakeholders. But the Strategic Review does not contextualise these aspects fully. This report looks at the issues in broader detail in later sections. These challenges are not unique to Zambia as similar observations are made in other REDD+ countries including Tanzania, Cambodia, and Vietnam. There are inherent delays at the beginning when implementing partners try to rationalise the activities, bring technical experts on board and crystallise institutional and coordination arrangements. The ZNP experienced similar challenges.
37. There are varying design models observable among NPs but most have tended to have similar institutional or management arrangements characterized by having a National REDD+ Task Force, a Secretariat and technical working groups. A major emphasis of these programmes is to increase national buy-in and ownership through implementation arrangements.
38. For Zambia, the original implementation design included a Programme Management Committee (PMC) and a Multi-Sectoral Technical Committee (MSTC).<sup>11</sup> The membership of the PMC included six Directors and Heads from the Zambia Environmental Management Authority (ZEMA) (formerly Environmental Council of Zambia-ECZ), 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.
39. A REDD+ Coordination Unit established in the Forestry Department (FD) was headed by a National REDD+ Coordinator responsible for day-to-day implementation of programme activities reporting to the Chief Extension Officer and the Director of Forestry. Two Technical Advisors - one funded by UNDP supporting capacity and strategy development, and one funded by FAO focused on the forest monitoring system and the development of the MRV systems. The MSTC was designed to be under the overall guidance of the Joint Steering Committee but had to be modified because of re-organization of Ministries.
40. The ET believes the institutional arrangements created for the ZNP and the general position of REDD+ issues is pragmatic and has promoted a higher degree of sustainability on the condition that the GRZ continues to increase fiscal commitment to the environment well beyond the current level of 0.3%. This view comes from the fact that REDD+ is now managed by the Inter-Ministerial Climate Change Secretariat (ICCS) which aims to provide a coordination role to ensure a harmonized approach to addressing climate change.

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<sup>11</sup> 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.

41. The ET finds the inherent ability of the ZNP to adjust to changing circumstances as part of a good design by being flexible. The changing circumstances off course introduced some delays in implementation and also contributed to the need for the no-cost extension. A review of the outputs such as the National REDD+ Strategy and other outputs produced from the ZNP illustrates that some necessary adjustments took place after the Strategic Review in 2013 further indicating the willingness of the government and the UN agencies to be flexible and responsive to changing context and recognizing the relevance of each of the intended outcomes.
42. The Strategic Review also points out that 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. The ZNP PD clearly recognises this element and articulates how for instance the capacity building would occur across a wide spectrum of stakeholders (government, decision makers from community to national level, rural communities, and a specific focus on the role of women). However, the ET is of the opinion that in the context of the direction of global discourse on REDD+ and the type of capacity needed, more emphasis could have been put on initiating and establishing greater dialogue on social and environmental safeguards and benefits and could have been key candidate activities under Outcome 4 and specifically 4.2.
43. Outcome 5 and 6 are well-designed and clearly follow the international guidance offered under the UNFCCC and have no doubt enabled the GRZ to establish nationally appropriate frameworks for establishing baselines that can be improved over time. The MRV component appropriately dovetails into work undertaken through the Integrated Land Use Assessment I & II program (ILUA). The next section looks at the relevance of ZNP but continues to design and relevance.

### 3.2 Relevance

Table 3-3: Summary of Relevance Ratings

Outcome	Rating
Overall Rating for Relevance	R
Outcome 1	R
Outcome 2	R
Outcome 3	R
Outcome 4	R
Outcome 5	R
Outcome 6	R

44. The relevance of the ZNP is expressed by every stakeholder - first for increasing the general discourse on climate change and secondly for increasing awareness on the challenges around reducing the high rate of deforestation while providing alternative livelihood options for local communities. Thirdly, while most stakeholders readily acknowledge the policy weakness, most find it difficult to articulate how to resolve the policy issue because of the low intersectoral coordination and integration. The ZNP is crosscutting and broad in nature therefore is viewed as an opportunity for identifying cross-sector policy failures, build capacity, governance and institutional framework. But it needs to be viewed as one of many interventions that form a broader response to Zambia's national climate change and development strategies.
45. The relevance of the REDD+ in Zambia is further illustrated by its inclusion in the country's INDC submission to the UNFCCC in 2015 and the ongoing efforts to mainstream strategy options in the Forest Policy and Forest Act. The NRS, which is a key result of the programme, is clear about the relevance of the identified interventions – and this re-enforces the relevance of the ZNP.

## 4 RESULTS AND CONTRIBUTION TO STATED OBJECTIVES

### 4.1 Delivery of Outputs

46. All six outcomes were achieved resulting in the development of a REDD+ Strategy which the ET views as reasonably robust as far as providing a vision and a suite of objectives, mitigation and adaptation measures to contribute to the National Climate Change Response Strategy. It goes a long way to address policy failures and the much needed cross-sector integration to ensure policy coherence. The strategy is deliberate in ensuring stakeholder engagement and consensus building on how to address drivers of deforestation. In addition, it is important to credit both the UN Agencies and national institutions in enabling broad consultation on the National REDD+ Strategy under the leadership of the Vice-President.
47. Individual components such National Forest Monitoring System, MRV for REDD+ are well advanced resulting from the financial and technical contribution for the ZNP. There is still further technical and financial injection required to operationalise and fully decentralise these systems but the ET is positive that a solid foundation has been laid and there is a reasonable level of ownership. Ten provincial forest monitoring laboratories have been established and equipped with tools for forest monitoring such as computers with Geographic Information System (GIS) software, Global Positioning System (GPS) units for forest monitoring field activities and printers and plotters for field map production.
48. The completion of land cover mapping for 1990, 2000, 2010 and Forest Inventories in all the 10 Provinces will improve monitoring and refinement of the FREL/FRL so far submitted to the UNFCCC. A country approach to safeguards is also outlined in the strategy – this is discussed under Outcome 3 and 4 in the next section.
49. For each of the 6 outcomes, the ET has looked at how the ZNP has either achieved the outputs on its own or contributed to the outputs and outcomes in the broader context. The ET's ratings of these outcomes and outputs are based on assessment of annual reporting and work plans, document review and extensive evaluation interviews. These ratings are indicated in Table 4-1.
50. For delivery, the implementation of activities was based on approved annual work plans (AWP) and budgets. The delivery of outputs is generally satisfactory and there is general appreciation of the support from the UN agencies and also the flexibility to allow adjustments when necessary. The ET's overall impression is that the delivery of the ZNP is by and large successful, and far more collaborative than observed in other countries. There is no doubt that there were contentious aspects along the way but these are largely mechanical issues such as staffing, reporting lines and modality for funds disbursement of funds. These issues are discussed in more detail under efficiency.
51. National counterparts express the need for greater engagement during the design phase to ensure country needs are duly assessed. Some national stakeholders hold the opinion that detailed assessment of stakeholders should have taken place during or even before programme design in order to ensure the design is in line with country and stakeholder needs. However, this does not negate the effort put in by the UN agencies to plan with the GRZ. But the ET agrees that undertaking a country needs and capacity assessment prior to programme design and engaging national counterparts on the intricate details of the programme design increases both buy-in and ownership.
52. The delivery of outputs is satisfactory and the ET holds a positive view of the ZNP in comparison to other NPs evaluated to date. Hence the overall rating of outcomes is in fact **"Satisfactory" with highly satisfactory components**. We qualify this by stating that should the GRZ commit and operationalize the NRS, the country is likely to be a leading example for REDD+ in the African

region. This is one of the reasons the ET tag some of the ZNP outputs as ongoing as outlined in Table 4-1 below.

Table 4-1: Rating of Outcomes and Outputs

OUTPUT	Description of Target	Evaluators Rating	Status Comment
<b>OUTCOME 1: Capacity to manage REDD+ Readiness Strengthened.</b>			
Output 1.1	REDD+ Readiness coordination and management bodies established and functioning.	S	Completed – It should be understood that institutions will evolve and roles change of time. The NRS needs to be continuously revisited to ensure the strategy remains relevant overtime
Output 1.2	REDD+ Readiness Process integrated into the national development planning process.	S	Completed – The GRZ is preparing the 7 <sup>th</sup> NDP – it is important that the ICCS ensures the vision of the NRS is imbedded and receives due attention in order to justify increasing financial allocation for the environment sector. It should be treated in the same manner as the NAMAs, INDC, FIPs.
Output 1.3	Communication and advocacy strategy as input in overall climate change strategy developed and implemented.	S (ongoing)	Completed
Output 1.4	Mapping and gap analysis of relevant initiatives undertaken.	S	Completed but need to be disseminate and next steps outlined
<b>OUTCOME 2: Broad-based stakeholder support for REDD+ established</b>			
Output 2.1	Stakeholders engagement process functioning.	MS (Ongoing)	Completed – Not that stakeholder engagement is a process rather than an event so this can never be completed as it is an ongoing process
Output 2.2	Conflict resolution and redress mechanism reviewed. (This output was dropped)		
<b>OUTCOME 3: National REDD+ Strategy developed with appropriate legal, institutional, governance, financing, benefit sharing, and monitoring and evaluation mechanisms, frameworks or models.</b>			
Output 3.1	Institutional capacity to implement REDD+ framework developed.	HS	Completed
Output 3.2	National REDD+ Strategy process integrated into the national development planning process.	HS	Completed
Output 3.3	Legislative framework to facilitate implementation of REDD+ strengthened.	S	The ZNP only undertook studies and assessment and outlines the SES framework in the strategy. This is good but the ET believes that it would have been beneficial to give this more attention considering the global focus on improving governance, land tenure, grievance redress mechanism and equity etc.
Output 3.4	Mechanism to administrate and channel REDD+ finance established.	S	The ZNP only undertook studies and articulated. The ET believes this element remains largely weak as issues of financial governance still have a long way to go before they can be satisfactory.
Output 3.5	Benefit sharing model approved. (RE-oriented). Study on benefit sharing, assessment of financing and incentives, the Role of Safeguards, Enforcement and Governance in REDD+ and institutional	MS	Understandably Zambia can leverage BDS experience from the wildlife sector, but the practicalities under REDD+ could

OUTPUT	Description of Target	Evaluators Rating	Status Comment
	assessment validated and finalised		be better articulated and in fact may need some practical experience. This could have been real if candidate activities were demonstrated.
<b>OUTCOME 4: National REDD+ strategies identified.</b>			
Output 4.1	Drivers of deforestation and forest degradation assessed.	HS	Completed
Output 4.2	Candidate activities for REDD+ identified.	MS	Completed
<b>OUTCOME 5: MRV capacity to implement REDD+ strengthened.</b>			
Output 5.1	REDD+ integrated with forestry inventory system (ILUA).	S (ongoing)	An exit or rather a sustainability strategy has been prepared. This needs to be treated as a living document and the investment in ILUA needs to be safeguarded through maintain internal technical and managerial capacity. ILUA is critical for national MRV (Land use sector) and general for other forestry sector programs such as FIP.
Output 5.2	Operational Forest Monitoring System established and institutionalized.	MS (ongoing)	
Output 5.3	Greenhouse gas emissions and removals from forest lands estimated and reported.	S	Completed – but this perhaps should be treated as ongoing since the NRS outlines candidate activities that will require emissions reduction estimation
<b>OUTCOME 6: Assessment of REL and RL undertaken</b>			
Output 6.1	Historical rates of forest area and carbon stock changes reviewed.	HS	Completed – also could be treated as ongoing to ensure further investment and technical capacity in decentralisation of REDD+.
Output 6.2	National circumstances assessed.	HS	Completed
Notes: Highly Satisfactory (HS), Satisfactory (S) Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU), Ongoing			

## 4.2 Effectiveness

Table 4-2: Rating for Effectiveness

Outcome	Rating
Overall Rating for Effectiveness	<b>S</b>
Outcome 1	S
Outcome 2	S
Outcome 3	S
Outcome 4	S
Outcome 5	S
Outcome 6	HS

53. In many respect the ZNP has been effective even though there are areas that could have been implemented more effectively. The implementation of the ZNP improved over time with necessary adjustment or adaptive management.
54. The ET observed a much greater appetite among stakeholders for broadening REDD+ and a push for the government to increase commitment to environment and climate change mitigation by increasing the annual fiscal budget allocation which is currently 0.3%. In general, the ET's view is that the effectiveness of the implementation of ZNP is satisfactory. However, there a few key aspects to point for the purpose of encouraging the GRZ to be cognisant of the criticality in relation to future implementation and resource mobilisation (both national and international).
55. Under Outcome 1, the Legal Preparedness Report (International Development Law Organisation (IDLO), November 2011) prepared under the ZNP provides an extensive assessment and identifies seven key challenges which are common in other REDD+ countries (equitable and secure land tenure; clarity and coherence of laws and institutions related to REDD+; regulation of the charcoal industry; equitable benefit distribution systems; governance issues; decentralization; and private sector participation). One is inclined to view this report as an opportunity for prioritizing or perhaps refocusing some of the ZNP outputs. There is feedback that the ZNP could have increased relevance by giving additional attention to social and environmental safeguards frameworks. There are also those that believe more could have done on setting the foundation for benefit sharing and incentive mechanism.
56. The issue of benefit sharing captures considerable attention among policymakers and local communities. The discourse on REDD+ in recent years has tended to gravitate towards promising financial benefits and creating community expectations. Noting that the fundamental premise of REDD+ programs is to offer result-based payments to participating countries and communities, it is important to ensure dialogue on benefits is timely and contextualized in a manner that shows results-based payments will accrue in the future. However, it is important to establish a basis for dialogue with stakeholders in order to create understanding of roles and responsibilities, the upfront costs, risks, and the downstream financial and non-financial benefits or carbon and non-carbon benefits under REDD+.
57. REDD+ countries can receive payments based on demonstrated results of reduced emissions against a reference emissions level. Such payments may be deposited into a national REDD+ fund at which point decisions would be made on the allocation of incentives. Thus benefit sharing is a downstream component but taking note of the fact that the strategic options established at the beginning must reflect the roles and responsibilities of different stakeholders.
58. The ET is cautious and suggest that dialogue on benefit sharing must be carefully crafted to manage community expectations. Promises of benefits from REDD+ will need to be realistic and delivered as early as practical to avoid demotivation at the community level. Perhaps the current

focus should be on addressing the upfront costs of readiness and to establish a financing framework for REDD+ Actions during implementation.

59. Most recently, the Warsaw Framework (2013) requires countries seeking to implement national REDD+ programs under the UNFCCC to meet three safeguard-related requirements to access results-based finance: 1) ensure REDD+ activities are implemented in a manner consistent with the Cancun safeguards; 2) develop a system for providing information on how the Cancun safeguards are being addressed and respected; and 3) provide a summary of information on how all the safeguards are being addressed and respected throughout the implementation of REDD+. These elements have become important determinants for REDD+ countries' ability to access finance. The ZNP already demonstrated a degree of flexibility and the ET is inclined to state that the level of assessment of these two components (safeguards and benefit sharing) could have been stronger so perhaps this was a missed opportunity.

#### 4.2.1 Outcome 1 Achievements

60. The inception of the ZNP coincided with significant departmental and ministerial changes. At the time of preparing the NJP, it was to be facilitated by the Forestry Department, at the time situated within the Ministry of Tourism, Environment and Natural Resources (MTENR). In 2011, MTENR was abolished, and the Forestry Department was moved to the Ministry of Mines and Natural Resources. However, in 2012, the government created the Ministry of Lands, Natural Resources and Environmental Protection which resulted in the FD being moved again. These changes underpinned the increasing recognition of the impact of climate change and the need for strengthening institutional coordination and capacity. Thus in 2011, most of the effort was spent on preparatory work and establishing the institutional and implementation arrangements largely relying on the pace of re-establishment of relevant government departments. While noting that setting up institutional arrangements takes time, perhaps some specific expedience from the government could have increased the effectiveness and efficiency at the beginning.
61. Outcome 1 has enabled greater awareness and involvement of national stakeholders. While the ET highlights the over-ambition in the initial design, the implementation of the ZNP was somewhat effective because there was willingness to adjust as necessary as demonstrated in the AWP. This links to the discussion in Section 3 (Design) in which the conclusion is that for REDD+ to be successful in Zambia, there is need for clear understanding and build capacity in the five different functional areas (capacity to engage stakeholders, capacity to assess a situation and define a vision and mandate, capacity to formulate policies and strategies, capacity to manage, budget and implement, and capacity to evaluate). The structure of the NRS illustrates that the GRZ was willing to ensure that the strategy options reflect the reality of the challenges facing the country i.e. deforestation being driven by agents across multiple sectors.
62. In assessing the effectiveness of the ZNP, the ET has looked at the design architecture, level of national ownership and coordination, and its ability to integrate into pre-existing national programmes and other bilateral support mechanisms. This seems to have occurred fairly well. The ET acknowledges that policy projects are not simple to implement because of the need to understand and identify the correct process to influence stakeholders at various levels. This takes a great deal of collaboration, cultural integration, understanding organisational culture and solid counterpart arrangements (the notion of equal counterparts). Both parties have to see value and the parties are required to have a shared vision.

#### 4.2.2 Outcome 2 Achievements

63. The element of stakeholder engagement in REDD+ cannot be understated. The ZNP provided REDD+ orientation workshops and established provincial facilitation teams on climate change and REDD+ in all 10 provinces. However, the representation does appear small with a total of 75



participants from various stakeholder groups attending the training. The ZNP also facilitated media training for over 30 journalists which led to the production of several television and radio awareness campaigns. More importantly, such training will need to be replicated and repeated over time.

64. While the ET views this as a good start, it should be noted that stakeholder engagement may not be complete without grass roots engagement on creating greater understanding of the roles and responsibilities of all stakeholders in reducing deforestation and forest degradation. Such dialogue should be about soliciting community input on intervention actions and options. Going forward, the GRZ can take advantage of the opportunities created and commenced by the ZNP towards decentralizing REDD+ by engaging further with Provincial Development Coordinating Committee (PDCC) and District Development Coordinating Committee (DDCC) which provide a vehicle for coordination amongst government ministries such as agriculture and forestry, local authority, local communities, Civil Society and private sector. Key to the success of REDD+ will be a deliberate strategy to engage and involve agents of deforestation and forest degradation (for both direct and indirect drivers) as laid out in the stakeholder assessment and engagement plan.
65. It is well noted that the government views REDD+ as an important piece of the climate change response puzzle, but so does the various communities including CSOs, and the private sector. Thus looking forward, every opportunity to strengthen the participation of different stakeholders needs to be taken while strategically prioritizing what some stakeholders refer to as quick wins to maintain momentum by first addressing immediate needs of beneficiaries. The ET would therefore encourage greater sectoral and programmatic integration of national policies, resource mobilization and investment. For the forestry sector, immediate opportunities presented by the forest investment plan and potential access to funding such as, FCPF, IDA, GCF, GEF, and the BioCarbon (which Zambia is already accessing), offer entry points to support landscape level interventions.
66. While the achievements under Outcome 2 are commendable, further effort is needed to sustain the engagement and constantly keep making necessary adjustment to keep the NRS relevant to all stakeholders. Thus the NRS cannot simply be a document, but rather a living process that needs to be constantly updated as the global discourse on climate change, national economy, and political domains evolve.
67. The ZNP has been effective in laying the foundation for the implementation of REDD+ actions. The ET views Outcome 2 as being **satisfactory**.

#### 4.2.3 Outcome 3 Achievements

68. A significant re-orientation took place after the Strategic Review in 2013 and it is under this outcome that the NRS was developed. The review recommended that the ZNP conduct in-depth studies to assess REDD+ gaps and potential to support REDD+ Strategy development. These studies include (a) Financing, incentives and benefit sharing mechanisms (b) Governance, mapping of safeguards and rights (legal/tenure/carbon), and (c) Institutional capacity needs, roles and responsibilities. These are important aspects which strengthened the achievements of the ZNP. A further recommendation was to integrate REDD+ into climate change policy and strategy as well as develop a Communication Strategy and Plan to be used by stakeholders. In the end these changes made the ZNP generally more effective than the original design, but this also shows how the ambitious design created some inefficiencies.
69. The NRS is progressive and ambitious and sets out a stretch vision and goals and the GRZ demonstrated the value it places on both climate change responses and emerging intervention opportunities. As reported, the NRS is anchored on widespread stakeholder consultations, communication, and knowledge management at national and provincial levels. The NRS

provides the overall vision, measures and actions to address deforestation and forest degradation. It provides the framework to facilitate stakeholder consultations, ensure buy-in of the strategy as well as consensus building on how to address drivers of deforestation. Underpinning the strategy development are key studies including the drivers of deforestation and the economic valuation of forests and ecosystem services.

70. The ET views the Zambia NRS strategy options as bold and ambitious but also ones that could provide options and possibly lessons on addressing the big issue of the impact of charcoal production on the miombo forests even in other SADC countries. Among the 10 Strategic Objectives of the NRS, Objectives 4 and 5 stand out as far as addressing the most challenging aspects under REDD+ - the agriculture and forestry interface and reducing the impacts of charcoal on forest cover.
71. The ET recognises this achievement by the UN agencies and the GRZ but also point out additional opportunities that could have strengthened further, the impact and effectiveness of the outputs. The ET understands the ZNP budgetary and time constraints. This rating reflects the ET's view about the prioritisation of activities at the design stage in light of the global discourse. By reflecting on the Cancun Agreements and the Warsaw Framework, and now the pretext of the Paris Agreement, there is an inclination to assert that, more than before, REDD+ countries now need to prioritise implementation of SES, strong governance measures in order to be ready and prepared for payments for performance in emissions reduction. The requirements of various funds such as the FCPF Carbon Fund, BioCarbon Fund and the Green Climate Fund, to name a few, manifest such pre-conditions.
72. It is absolutely valid and correct that the REDD+ Readiness process in Zambia has enhanced the process of policy and legislative reviews with both the National Forest Policy and Forest Bill approved and passed by Parliament respectively. The Technical report on the assessment of Policies, Legal and Regulatory Frameworks for REDD+ implementation also articulates well the challenges and gaps followed by an outline of the approach for SIS in the NRS. But the ET believe this outline falls slightly short and could be more ambitious and articulate on a robust roadmap for SES and benefit sharing at the operational level.
73. The series of studies carried out including assessment of financing and incentives, human and financial capacity needs, the role of Safeguards, Enforcement and Governance in REDD+ are all key and increase the effectiveness of the outcomes but only if they are made use of. It must be noted that the ZNP was highly effective at the national level but without field activities, that effectiveness is slightly weakened. But of course as already highlighted, the limitation comes from the design and available funding since this is a Quick Start Initiative.
74. The ET rates the achievements of Outcome 3 as **Satisfactory**.

#### 4.2.4 Outcome 4 Achievements

75. Outcome 4 focused on the development of community strategies aimed at reducing deforestation with two outputs; assessing drivers of deforestation and identification of candidate activities for REDD+. A study on the "Drivers of deforestation, identification of threatened forests and Forest Co-Benefits other than Carbon from REDD+ Implementation in Zambia (2013)" was successfully undertaken as well as other relevant studies such as the 2012 study "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)".

76. The studies contributed to the development of the NRS in a satisfactory way by providing the necessary and substantial quantitative and qualitative information to inform the NRS and the associated strategy options.
77. Although the identification of candidate activities for REDD+ is limited, ET believes the effectiveness of Outcome 4 is **satisfactory** noting the effort made to create broader understanding of the agents and drivers of deforestation.

#### 4.2.5 Outcome 5 Achievements

78. While a national MRV system is not fully operational, the ZNP is instrumental in improving and supporting the design framework particularly through integration with the ILUA Programmes I and II. Among SADC countries, to date, perhaps Zambia (ILUA) and Tanzania (NAFORMA) have the most comprehensive forest inventory and land use data credit to the support by the Government of Finland through the FAO-FIN programme from 2010 to 2015.
79. Through ILUA II data on forest carbon pools to inform MRV developments in Zambia is available. Through joint implementation with the ZNP, the is capacity for soils carbon analysis in Forestry Research (Kitwe), and GIS and GPS capacity in 10 NFMS laboratories. This has enabled collection of GPS data on deforestation and degradation at provincial level.
80. With additional support from the ZNP, land cover classification for 1990, 2000 and 2010 was completed in the Forestry Department using technical staff and interns. The ET observes and comments the constant regional collaboration and knowledge sharing between the ZNP and other countries. The ZNP has constantly presented its work at regional and international forums including side-event at UNFCCC COP meetings.
81. An important part of REDD+ is to disseminate and share data and information and the ET believes the ZNP, at least for Outcome 5 has been effective by developing a web portal for the NFMS using the technical knowledge within FAO. In particular, it is commendable that the team was able to get ministerial and political attention and creating broader awareness through participation in ESA-GHG mid-term review meeting in Namibia to discuss collaboration on land cover mapping (1990, 2000, 2010).
82. The ET notes that the financial and technical support for ILUA is ending. There are ongoing discussions on what will constitute a national MRV system, first for the forest sector, and broadly the design thinking for NAMAS which will include all sectors elected by the GRZ. The ILUA team has prepared a document (touted as the exit strategy) which the ET prefers to view as a sustainability framework for ILUA and the evolution of the national MRV system. This is an important juncture for the GRZ, first to take note of the need to protect the investment in ILUA and secondly to sustain and increase the technical capacity for data collection, analysis and reporting.
83. Beyond land use and land cover monitoring, it is necessary to consider how the integration of monitoring other elements of REDD+ will be incorporated such as safeguards monitoring - safeguards information system and broader monitoring of implementation of nationally determined commitments (NDC).
84. The ET's view is that implementation of Outcome 5 is **satisfactory**

#### 4.2.6 Outcome 6 Achievements

85. The successful submission of a REL to the UNFCCC is highly commendable considering that at the beginning of the ZNP Zambia had no capacity or methodology for REL with very limited studies on national circumstances.

86. Notably, the participatory process used in validating aspects such as the study emission factors, opportunity cost of REDD+, collection of economic data, and allowing stakeholder validation creates a conducive environment for stakeholder buy-in, shared vision, and support for the NRS.

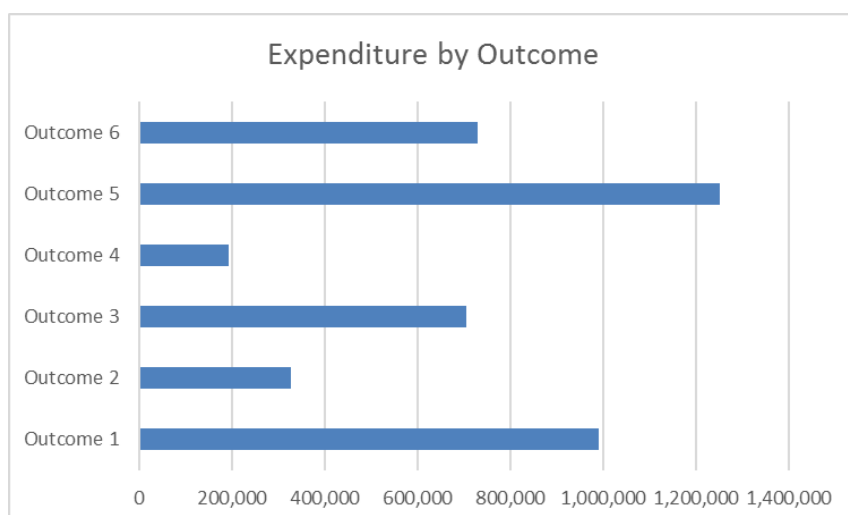
### 4.3 Efficiency

Table 4-3: Rating for Efficiency

Outcome	Rating
Overall rating for efficiency	<b>MS</b>
Outcome 1	MS
Outcome 2	MS
Outcome 3	MS
Outcome 4	MS
Outcome 5	MS
Outcome 6	MS

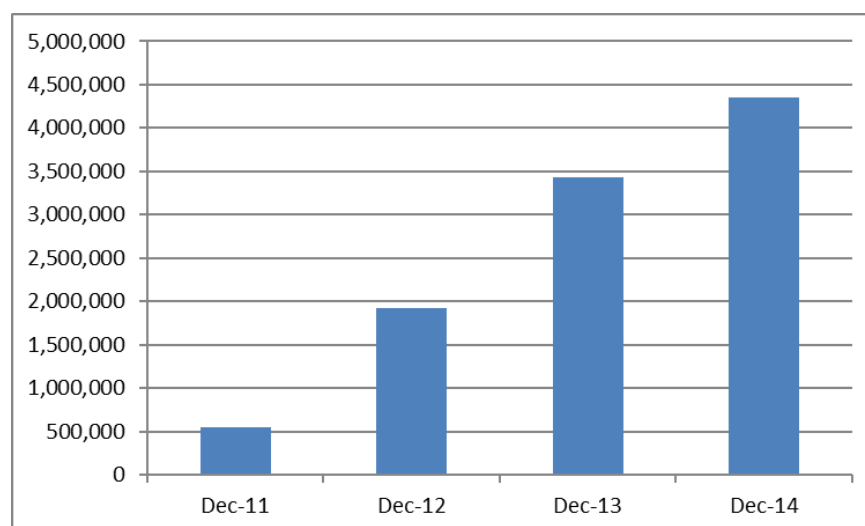
87. The assessment of efficiency is always difficult to benchmark because of varying national circumstances between countries. Figure 4-1 below illustrates the budget by outcome and disbursement rate to December 2015. There is no global benchmark or guidance as to what or how much is needed to implement each of the components of REDD+ Readiness. It is also difficult to determine what constitutes value for money for each outcome. However,
88. Simula (2010) conducted a study into global REDD+ financing and its funding sources based on data from the FCPF and UN-REDD, the two leading multi-lateral agencies providing REDD+ readiness support to developing countries and from other funding agencies. The study showed variations between financial needs of countries for any given readiness component and concluded that this was related to variables such as country size, prevailing drivers of deforestation and forest degradation, ability of a country to contribute to mitigation efforts, existing national capacities and previous investments in REDD+.
89. However, the early REDD+ readiness proposals did not always offer reliable estimates of financial needs and tended to exclude transaction costs. Among the REDD+ readiness components, the monitoring system (MRV) claimed the single largest portion of country budgets averaging 28% of the total financing needs (30% for the ZNP), followed by the preparation of a REDD+ strategy (27%) (17% for the ZNP) and the organization and consultation component (23%) (24% for the ZNP) (Figure 4-1). This makes sense since a national monitoring system is a basic requirement for participation in the REDD+ process. The remaining percentage went to the reference level and programme management.

Figure 4-1: Funds Distribution by Outcome (USD)



90. Only a handful of countries have so far prepared REL/RL so it is also difficult to measure value for money. But the 47% of the ZNP budget spent on Outcome 5 and 6 to produce relatively robust MRV framework and submission of a REL to the UNFCCC is money well spent.
91. The ET has already highlighted general challenges that face NPs. There was a protracted process to agree on the implementation modalities and general delays such recruitment and procurement processes within both the government and UN agencies which tend to take a long time and this delayed implementation of activities and perhaps contributed to the need for a no-cost extension. The combined delays in staff recruitment of both national and international staff and commencing activities meant funds utilisation was very slow in the beginning, as illustrated in Figure 4-2 .

Figure 4-2: Consolidated Annual Funds Disbursement (USD) (Cumulative)



Source: ZNP Annual Reports

92. The modality for financial disbursement has raised some issues but not just in Zambia. National governments prefer funds to be disbursed to implementing institutions but according to UN agencies certain safeguards and governance measures have to be in place. The UN-REDD Collaborative Programme utilizes the 'pass-through' modality for fund management. Participating UN organisations, in this case FAO, UNDP and UNEP, assume full programmatic and

financial accountability for the funds received from the Administrative Agent. For the ZNP, a micro-assessment of the FD was conducted in January 2011<sup>12</sup> to assess;

- The financial management capacity of the FD, with particular regard to the capacity needed to efficiently and effectively manage financial resources for implementation of the UN-REDD Programme.
- the practices and the rules and regulations of the three Agencies regarding cash transfers, including analysis of possible barriers for moving to the Harmonised Approach for Cash Transfers (HACT);

93. The assessment was required to provide recommendations on a cash transfer modality to be employed by the UN-REDD Programme in Zambia as well as the necessary capacity strengthening, safeguards and implementing partner systems to be put in place to employ the proposed cash transfer modality. The result of the assessment showed weakness in the FD resulting in funds being disbursed from UN agencies except in the case where FAO signed a Letter of Agreement (LoA) with the government institutions which are a form of direct implementation. There are several issues to question and to highlight and the ET acknowledge that some of these issues might be beyond the scope of this evaluation.
94. In the first instance, a questions have to be raised regarding what level should the micro-assessment be undertaken. The FD follows Ministry financial regulations and procedures – should the assessment also extend to Ministry level? The second question is that, where financial governance weaknesses exist, where should capacity development be targeted? Thirdly, who is ultimately responsible because both the FD fall under the same regulations audit system?
95. In answering these questions, we also have to consider that ZNP funding comes from the MDTF and all UN member states have to abide by the agreed governance mechanisms to eliminate poor governance and financial accountability and ensure transparency with any support funds. The ET is of the view that the micro assessment for the ZNP should have looked at both the FD and the Ministry and point out where the weakness and risks are at both levels.
96. Following the assessment, a critical recommendation should have been to design a work stream for capacity building and the ET believes this is one area that may continue to be challenging for REDD+ countries in positioning themselves for results-based payments. It appears that a number of development partners (Finnish support and World Bank) undertook similar assessments including options for capacity development to address this issue. However, programs differ from one to another and on the part of the UN, a micro assessment such as the one undertaken for Zambia could look at joint preparation of safeguard measures for program financial management during the inception phase recommended in this report.
97. But on the part of the GRZ, when issues of weak financial governance and corruption are raised, it reduces confidence amongst development and funding agencies and it could be an important determinant for access to climate change funds in the future. Unless there is unquestionable assurance and safeguard measures in place and actually implemented it makes it difficult for UN agencies and others to take the risk to transfer funds to national institutions. Similarly, at the inception phase of a program, safeguards measure could be established to improve financial management and through capacity building, regular auditing measures and reporting. This, no

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<sup>12</sup> Micro-Assessment of the Forestry Department in the Ministry of Tourism, Environment and Natural Resources: Final Report. Issued by EMM Corporate Partners (24 January 2011)

doubt creates a degree of bureaucracy but unless there is general agreement, financial transactions will always create challenges.

98. It is also critical that when the opportunity for direct cash transfer are given, that agreed deliverables and financial reporting are complied with. The ET understands that the financial reporting requirements under LoAs between FAO and 10 NFMS offices are still to be fulfilled yet the programme has since ended.
99. On the overall, the efficiency of the ZNP implementation was “**satisfactory**”.

#### 4.4 Cross cutting issues: Gender, Capacity Development, Normative Products

Table 4-4: Summary Ratings for Cross-cutting issues

Cross cutting issues	Rating
Overall rating for Cross-cutting issues	<b>MS</b>
Gender	MS
Capacity development	S
Normative Products	S

##### 4.4.1 Gender

100. The UNFCCC Cancun Agreements require developing country Parties to integrate gender considerations in the design and implementation of REDD+ national strategies and programmes. The view is that gender mainstreaming can help improve the efficiency, efficacy and long-term sustainability of the REDD+ in Zambia. At the same time, gender mainstreaming is one of the five principles of the United Nations.
101. The gender aspect was not fully considered in the preliminary ZNP design. No gender perspective was detailed in the project document. Capacity building within the ZNP occurred across a wide spectrum of Zambian society, including: i) government staff; ii) decision-makers from community to national levels; and iii) local communities in rural areas, particularly women involved in land clearing for agriculture and firewood collection. It was anticipated that through the ZNP and subsequent National REDD+ related initiatives, additional benefits will be gained by local communities such as improvement of human welfare, gender equality and protection of valuable ecosystems.
102. While gender was not fully considered in the ZNP design, on the broader scope, gender is one of the components of the UNDP Country (Zambia) Program of Action 2011 – 2015. It is noted that gender is highlighted in the NRS on the basis of advice offered by gender experts in UNDP.
103. With regard to Programme staffing, there is no quota set for women representatives or groups in the ZNP. At the stakeholder engagement level, the percentage of women participating in the decision-making remains low. This scenario is observed elsewhere in UN-REDD countries with some of the stakeholders for example in Cambodia, stating that gender mainstreaming under REDD+ is not well understood. There is still need for hands-on training with concrete tools and examples on how to mainstream gender for REDD+ and include gender-sensitive indicators.

##### 4.4.2 Capacity development

104. The ET holds the view that there are two perspectives to capacity development. First is the capacity to implement the ZNP and secondly the capacity to implement REDD+ post the ZNP. In light of these two aspects, there below is a summary outline of what generally constitute REDD+ capacity:

- a. Technical knowledge and understanding of the constituent components of REDD+ and how they fit into the national agenda at national and sub-national levels. Generally, the interviews, consultation and evaluation validation with stakeholders suggests there is increased general understanding of REDD+ as a direct result of the ZNP.
  - b. Understanding of benefits and risks associated with REDD+ at national and sub-national levels to ensure coherent implementation in future. The believes that the understand is variable with lesser understanding at sub-national level.
  - c. Staff with relevant technical knowledge and skills on REDD+, especially in key institutions responsible for REDD+ implementation.
  - d. Infrastructure, coordination and financial resources to establish national and sub-national systems for systematic land monitoring, forest inventory, GHG accounting, and establishing FREL/REL within the context of clear definition of agents and drivers of deforestation.
  - e. Public awareness and engagement in monitoring requirements and the role of different stakeholders.
  - f. Political and community champions to drive and motivate the constituency
105. The successful completion of the ZNP denotes that there is capacity for implementation at the programme but of course being cognisant of the identified challenges and areas that would need improvement in the future. Beyond the ZNP, the capacity for implementing REDD+ becomes a subject of the effectiveness and impact of the ZNP. The ET uses the Warsaw Framework to assess the effectiveness and intermediate impact as part of the review of Outcomes it impacts and offer a measure of progress towards REDD+ Readiness.
106. At the programme level, the ZNP implementation team was composed of national and international staff. A selection of national staff is well qualified and knowledgeable in REDD+, forestry, and climate change in general. Feedback from government staff is that there is a work overload and that REDD+ is very demanding and there are not enough resources.
107. The various capacity building activities are outlined under the achievements of each outcome therefore in this section the focus is on how the ZNP has addressed longer term capacity needs. The capacity of relevant national institutions and some stakeholders is stronger to some extent because of the ZNP. The ET notes a combination of methods used for training and engagement, and awareness including through UN-REDD South-to-South exchange programme, participation in UNFCCC COP side events to learn more about how other countries are implementing REDD+, knowledge management events during Policy Board meetings. However, for workshop-based training, some participants point out there is often not enough time to learn and understand basic issues about REDD+, unless there are on-going follow-up workshops and seminars and learning by doing.
108. The UN agencies capacity development strategy is imbedded in the programme design and based on the assumption that national institutions will take ownership of the process and outputs post-programme implementation. However, discussions with national staff and stakeholders point to the need for further technical support to operationalise the NRS – particularly the highly technical components. The ET's perspective is that, to increase sustainability capacity building now needs to go beyond individuals and link the leadership and systems that the individuals concerned are accountable for. But this should be the role of the



GRZ. As defined by UNDP (2008)<sup>13</sup>, capacity building should focus on functional capacities to engage with stakeholders, to assess a situation and define a vision and mandate, to formulate policies and strategies, to manage, budget and implement, and to evaluate.

109. The formulation and implementation of policies rests with the GRZ and relevant institutions – but more so, it comes down to effective mainstreaming of the climate change response strategy across sectors (agriculture, forestry, energy, transport, mining etc.). External capacity support is only effective if the GRZ takes ownership. This evaluation highlights a number of areas that still needs further work – some aspects are more fundamental and require a cultural shift, while others require transformative managerial and political commitment to enforce higher standards of governance and financial transparency recognizing that the ultimate beneficiaries are the most affected yet hold the least influence.

#### 4.4.3 *Normative products*

110. In accordance with the UN-REDD Framework Document, one of the two objectives of the UN-REDD Global Programme is to support the development of normative solutions and standardised approaches to REDD+. The UN agencies can be credited for bringing global issues to a national level and supporting the GRZ take transformative measures to mainstream climate change into national development.
111. The GRZ has at its disposal, a suite of guidance products from FAO on MRV, FRELs, NFMS and national forest inventory. The majority of this guidance was well-applied in the implementation of the ZNP and continues to be available through additional support. FAO's in-country presence through a Technical Advisor also enable a supportive day-to-day implementation and continuous knowledge transfer.
112. From UNDP, the Country Programme of Action 2011-2015 offered an approach that integrates multiple streams in line with the then Millennium Development Goals and now Sustainable Development Goals. UNDP's broader in-country presence provided a stronger day-to-day implementation relationship and the ET views this a more effective approach.

## 4.5 Sustainability and Up-scaling

Table 4-5: Ratings for Sustainability

Sustainability and Up-scaling	Rating
Overall rating for sustainability and up-scaling	L
Financial sustainability	ML
Institutional sustainability	L
Operational sustainability	ML
Up-scaling	L

<sup>13</sup> UNDP (2007) Capacity Assessment Methodology User's Guide. Capacity Development Group Bureau for Development Policy

UNDP (2008) Capacity Assessment Practice Note.

#### 4.5.1 Financial Sustainability

113. The inclusion of REDD+ in the country's climate change response strategy is an important signal of the value and contribution of the UN-REDD Programme and the ZNP. REDD+ is one of the many mechanisms that Zambia intends to use to reduce its emissions as part of the Climate Change Response Strategy and supported by national development policies in the energy, forestry, agriculture, water, and other sectors.
114. There are other existing and emerging opportunities for REDD+ implementation including from USAID, Finland GEF and other UN agencies, amongst others. Furthermore, the Forest Investment Programme (FIP) sub-committee approved funds for Zambia to develop a REDD+ Investment Plan, which is seen as part of efforts to support Zambia's REDD+ strategy implementation.
115. The continuing environmental deterioration through unsustainable resource utilisation and rampant deforestation calls for stronger political, social and financial commitment. The ZNP undertook studies to understand the value of the economic contribution of forest ecosystem services. The report found that forest ecosystem services not accounted for in Gross Domestic Product (GDP) - such as sediment retention and erosion control, ecotourism, pollination services, and carbon storage – have an economic value that is equivalent to at least 2.5% of Zambia's GDP (USD27billion) in addition to the jobs created by the sector. However, the effort to protect this resources does not match - only 0.3% of the national budget is spread across environmental management initiatives including climate change. Understandably it is difficult and challenging to put a value on natural resources, but the simple fact is that ecosystem responses to human impacts are inter-generational.
116. Discussions with multiple stakeholders in both government, civil society and private sector clearly indicate a view that climate change is not an environmental issue – just like HIV and AIDS is not just a health issue but social, economic and political requiring mainstreaming in a creative way.
117. The NRS development process indicates strong government ownership and leadership, deliberate stakeholder participation and detailed analytical work. From a sustainability point, the strategy is clear on the need to manage expectations on the benefits of REDD+ and the need to focus on practical solutions so that it brings through integrated and participatory approaches. But of course the sustainability of the outputs will largely depend on the adoption, operationalisation and impact of the ZNP outputs at the institutional and community level. It will also depend on the ability of the country to follow through with the necessary policy reforms or improvements in law enforcement and mainstreaming of REDD+ across relevant sectors (forestry, agriculture, transport, energy) as well mobilization of resources.
118. Indications of mainstreaming REDD+ are strong on the basis of the articulation of the institutional framework and anticipated coordination mechanism. The NRS indicates that REDD+ will be overseen by a National Committee of Permanent Secretaries (NCPS) from relevant ministries whose role will be to provide policy guidance, review programme progress and challenges, approve annual budgets and ensure synergy in donor support to the national climate change programme. The fact that the NCPS is an institution of the GRZ that was created to oversee financing on climate change at national level, is an important indication of national level commitment and use of existing institutional setup. The ET further notes that the Sustainable Land and Water Management Programme (Adaption to Climate Change) of the Agriculture Chapter in the Sixth National Development Plan (SNDP 2011-2015) has a number of projects linked to REDD+. This is important for the future impact of the ZNP again if it can be included in the Seventh National Development Plan.

119. However, despite these important traits, the ET is of the opinion that political and institutional commitment needs to be backed up financial commitment to operationalize the elaborate strategies.
120. The financial sustainability of the ZNP is depended upon global negotiations. Protracted international negotiations mean that there are no clear long-term financing options for REDD+ in developing countries. Funds will be disbursed through the Green Climate Fund and many countries are in the process of preparing the baseline positions and strategies to meet obligations and decisions from preceding COPs, in anticipation of receiving support for low carbon development strategies. Emerging and developing countries have preferred to adopt “Nationally Appropriate Mitigation Actions” (NAMA). Key actions include completing development of forest reference levels and reference emission levels, preparing Intended Nationally Determined Contributions (INDC). INDC are a new type of instrument under the UNFCCC through which the Parties intend to submit their commitments for the post-2020 period.

#### 4.5.2 Institutional Sustainability

121. It is noted that the issue of sustainability of the ZNP was frequently discussed with general agreement that the REDD+ Preparation Phase in Zambia would need additional time and resources. REDD+ countries may suffer from continuation gaps upon completion of ZNP
122. The institutional setup necessary for effective implementation of REDD+ in Zambia is in place but local level groundwork for subsequent participation in performance-based payments systems under REDD+ still needs further work. As already highlighted in earlier sections, being REDD+ ready requires commitment on many fronts. For instance, implementing institutions need regular and predictable financial support from central government to be able to retain REDD+ programme support staff and sustain outputs from the ZNP, and any other programmes.
123. While national forestry and environmental policies are generally in place and continue to evolve, institutional and cross-sector coherence and implementation of these policies still needs strengthening through better monitoring, reporting and enforcement of accountability at central government level to identify where potential failures are occurring. Since drivers of deforestation and forest degradation originate in agriculture, energy sector, and other economic drivers, the institutional collaboration and coordination needs enforcement through annual planning process and business plans.
124. It is noted that the government has encouraged the use of existing Institutional Arrangements to facilitate REDD+ processes and continued reformulating institutions to hopefully increase coordination. A key example is the formation of the Inter-Ministerial Climate Change Secretariat (IICCS), which aims to provide a coordination role to ensure harmonized approach to addressing climate change. The setting up of the Climate Change Secretariat is viewed as a major achievement for ensuring cross-sectoral collaboration and harmonization of policies on climate change across sectors. The technical discussions on the REDD+ Strategy and the high-level dialogue on the strategy are being facilitated through the IICCS institutional framework.

#### 4.5.3 Opportunities for Up-scaling

125. Since the ZNP Outcomes are limited to mainly national level strategic outputs and limited operational activities at subnational level, up-scaling is limited. Rather, the issue is more likely to be about mainstreaming REDD+ to sub-national levels and implementing safeguards, benefit distribution mechanisms and monitoring systems.
126. Upscaling as of necessity becomes the responsibility of the GRZ. The appetite for landscape application of REDD+ is growing rapidly mainly coming from the realisation that interventions

need to be at broader scale across sectors as opposed to traditional small scale projects. Depending on circumstance, the ET believes the opportunities for upscaling could take, the form of first sustaining existing projects beyond donor support for start and then focusing on driving private sector investment in deforestation free supply chains and low emissions land management, through a combination of say incubator/accelerators for green enterprises, improved environmental, social and governance standards and green landscapes. The focus could also be on a few selected high biodiversity and high carbon-intensive landscape under pressure from the identified drivers and agents of deforestation and forest degradation to support the Forest Policy and investment plans.

127. There is a further opportunity for impact if the outputs of the ZNP can allow for integration with existing forest and land management system such as JFM, CBNRM, CBFM as outlined in the PD and the multiple analysis that have been done during the implementation.

#### 4.6 Likelihood of Impact

128. The likelihood for impact of the ZNP is reasonably high now that the NRS is part of the NCCRS, INDC, and most probably going part of the 7<sup>th</sup> National Development. In addition, Zambia is a member of a large list of international agreements such as the CBD, CITES, and the SADC Protocol on Forestry to name a few. The global effort and especially now with the Paris Agreement taking forward achievements of the Kyoto Protocol, with the ensuing promise for financially supporting developing countries, it is likely that the outputs from the ZNP could have a far more reaching impact if the strategy options can be operationalised along with other adaptation and mitigation efforts.
129. As a potential source of finance for reducing deforestation and forest degradation, REDD+ and national programmes promise to have greater impact in principle. However, in Zambia, economic development, large-scale mining, charcoal production, agricultural expansion and practices such as *chitemene* are increasing pressure on forest land to the point where the carbon potential of forests and related financing. This could be the limitation for impact.
130. REDD+ interventions will lead to socio-economic changes that may affect peoples' lives, either positively or negatively, but the overall impact may well depend on the economic viability of REDD+ interventions (strategy options). The ZNP, by its design, is a preparatory phase towards performance-based incentives. The incentive schemes are starting to become clearer, therefore it now depends on the commitment of the GRZ to position the country for receiving performance-based finance. **The ET rate the ZNP to have significant likelihood for sustainability and impact**

## 5 FACTORS AFFECTING PERFORMANCE

Table 5-1: Ratings for Programme Management and Coordination

Programme Management and Coordination	Rating
Overall Quality of Project implementation	S
Agency coordination	S
Project Supervision	S

### 5.1 Programme Management and Coordination

131. The ZNP was jointly implemented by the GRZ and the three UN agencies (UNDP, FAO and UNEP) based on the overall log frame and annual work plans approved by the Programme Steering Committee. Coordination arrangements for the programme took time to be consolidated and this caused delays in the beginning of the Programme. The set-up of the National REDD+ Coordination Unit (RCU) was only completed in late 2012. The ZNP staffing also took a long time and the four national staff were not officially assigned until 2012 including the international Technical Advisor.
132. The ZNP formed a Technical Committee comprising civil society, the Community Based Natural Resource Management Forum (CBNRMF) various line ministries, such as the Ministry of Finance, Justice, Agriculture and Energy, and private sector representatives. It is noted that the RCU subsequently worked in close collaboration with the Technical Committee of the Interim Inter-Ministerial Climate Change committee (IICCS) formed midway through the ZNP implementation. The IICCS became the national institutional framework for coordinating climate change activities providing a coordination role to ensure harmonized approach to addressing climate change.
133. The original coordination design and allocation of technical roles is viewed as not optimal or at least did not suit the preference of the implementing government agencies. The discussion process to reach an agreement on the role of UN agency technical advisors slowed down the initiation of activities. However, the ET does not necessary view this as significantly negative or affecting the overall programme management and coordination. It reflects interest from both parties and what eventually became a reasonably successful well-coordinated coordinated programme. This view is based on noting the level and organization of stakeholders, meetings and workshops for promotion, sensitization, and awareness raising at the sub-national level and the joint collaboration within the Zambian Climate Change Network and the Community Based Natural Resource Forum.
134. With regards to adaptive management, the ZNP adjusted a number of outputs after the Strategic Review in 2013 to simplify complex design structures and respond to changing environment. Specifically, Outcome 3 was revised to focus on the development of the NRS.
135. Before the ZNP, the UN Agencies already had well established programmes in Zambia, as well as a good working relationship with government. The implementation issues outlined in this report are largely a result of institutional modalities that have been faced by many REDD+ countries. Implementation of National Programmes continues to be a learning lesson for UN-REDD due to varying country circumstances. However, at some point, the existing normative approaches will have to take an adaptive approach, taking into account lessons from the external and NP evaluation.

## 5.2 Technical Backstopping and Supervision

Table 5-2: Ratings for Technical Backstopping

	Rating
Overall Quality Technical Backstopping	S

136. Both UNDP, UNEP and FAO provided technical backstopping through the headquarters and regional offices in Nairobi, Geneva, and Rome. The ET views the backstopping as adequate and notes the continued efforts by UN agencies to increase country level support.

## 5.3 Government Participation and Ownership

Table 5-3: Summary of Ratings of Government Participation

Government Participation and Ownership	Rating
Overall rating for government participation and ownership	<b>S</b>
Government participation	S
Ownership	S

137. The issue of ownership has been presented through this report. The ET also takes note of the 2013 Strategic Review of the ZNP which lists 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).
138. This terminal evaluation takes a broader view in assessing issues of ownership, capacity and involvement of stakeholders. The issue of outdated legislation needs to be viewed in the context of national development and considered as one of the reasons Zambia is embarking on multiple fronts to improve the policy framework. These are aspects that are clearly articulated in the PD, and subsequently outlined in the NRS supported by broader cross-cutting strategy options that are based on recognising the historical and present policy failures – specially to address land management and the forestry sector coordination. It is also important to acknowledge that the ZNP is not the only instrument the GRZ is embarking on.
139. The ET therefore views the GRZ to have taken ownership of the ZNP and use it as an opportunity to better understand the critical agents and drivers of deforestation and forest degradation. The coordination and inclusion of a multitude of stakeholders from different sector indicates willingness to ensure broad participation. Understandably, participation was not universal but this also comes from the ZNP design. Other REDD+ countries perhaps benefited from having pilot projects which increase sub-national level participation of the different constituencies.
140. Both government officials and UN agency staff acknowledged the challenges faced in initiating the ZNP due to the large number of activities initially proposed – but this does not constitute lack of ownership on the part of the government. The ZNP was hosted in FD including

international technical advisors. Senior government officials acknowledge the challenges of implementing the ZNP, but reiterate its importance to Zambia.

#### 5.4 Monitoring, Reporting and Evaluation

Table 5-4: Ratings for Monitoring, Reporting and Evaluation

Quality Monitoring, Reporting and Evaluation	Rating
Overall Quality Monitoring, Reporting and Evaluation	<b>S</b>
Monitoring	S
Reporting	S
Evaluation	S

141. The ZNP progress is general monitored and progress towards the indicators specified in the results framework assessed through monthly financial reporting and annual progress reports corresponding to annual work plans.
142. Funds used by the participating UN agencies are subject to internal and external audits as articulated in their applicable Financial Regulations and Rules. In addition, the Technical Secretariat will consult with the participating UN agencies on any additional specific audits or reviews that may be required, subject to the respective Financial Regulations and Rules of the Participating UN Organizations.
143. Participating UN agencies provide a summary of their internal audit key findings and recommendations for consolidation by the MDTF Office (Multi-Partner Trust Fund Office) Office and submission to the Policy Board and GRZ. The use of funds allocated to Implementing Partners is reported back to the relevant UN agency charged with responsibilities for those funds using relevant reporting mechanisms. The Participating UN Organizations are required to provide narrative reports on results achieved, lessons learned and the contributions made to the National Programme.
144. The execution of activities was in line with agreed protocols and it is noted that due process was followed to procure required services. Procurement used an open tendering process in which both parties agreed on the outcome as stated in the Annual Reports under Achievement of the Annual Targets.
145. The GRZ, and the UN agencies, jointly conducted scheduling and annual planning, and held review meetings for all activities covered in the results framework, monitoring and evaluation plan and work plans covered by the ZNP. This included an assessment of the risks and assumptions to determine whether they are still valid. The 2013 Strategic Review recommended a no-cost extension to December 2014 and this was taken on board.

## **PART 3. CONCLUSIONS, RECOMMENDATIONS AND LESSONS LEARNT**

### **6 CONCLUSIONS**

146. Given the fact that Zambia forest loss close to 300,00 hectares annually, and the agents and drivers of deforestation center around agricultural expansion, charcoal production, fuel wood collection, wood harvesting, settlements, fires, urbanization, industrialization, urban expansion and livestock grazing – it is only necessary that targeted strategies are developed making the ZNP very relevant. The GRZ can consider the ZNP as a great opportunity that enabled reconsideration of its commitments towards fighting deforestation and forest degradation benefit from the extensive analytical work done. The REDD+ programme has been particularly instrumental in bringing together stakeholders at national and to a reasonable degree at sub-national level. The ZNP implementation can best be viewed as satisfactory with highly satisfactory components with a likelihood for significant impact.
147. The implementation of the ZNP followed a collaborative and joint planning using existing government structures at both national and subnational level. The willingness of both the GRZ and the UN agencies to be flexible and take adaptive measures to ensure the programme achieves meaningful results increased the likelihood for longer term impact.
148. While this evaluation points out some gaps in the design, all 6 Outcomes are relevant and address critical components within the main REDD+ thematic areas of building institutional and stakeholder capacity to implement REDD+, developing an enabling policy environment for REDD+, developing REDD+ benefit-sharing models, and developing Monitoring, Reporting and Verification (MRV) systems for REDD+.
149. The ZNP has assisted to influence the setting up of an institutional framework for the implementation of REDD+ and simultaneously increasing awareness of current and potential roles and responsibilities among government line agencies. The ZNP has created opportunities and provides lessons. However, on its own and without the outcomes being sustained, it is unlikely that the ZNP will have an impact on reducing deforestation and forest degradation, and indeed improvement of livelihoods at the community level unless the GRZ can support upscaling and effectively incorporate it in the broader climate change response and economic development strategies.
150. On the part of the UN agencies, UN-REDD NPs have been a major catalyst in the evolution of global discourse on efforts to reduce deforestation because of the practical lessons they are providing. The extensive situation analysis and assessment of the potential intervention options outlined in the PD illustrate the attempts made by the design team to ensure alignment of outputs, indicators and the likely impact the ZNP would have in the long term.
151. With REDD+ being a relatively new concept and Zambia being among the first countries to receive support for the Quick Start Initiative, there was always going to be a risk in relation capacity and understanding of concepts to enable effective and efficient implementation. This report has highlighted the need for matching design ambition, budget and national circumstances as ingredients for successful implementation.
152. Numerous NP evaluations have raised the difficulties arising from the financial disbursement implementation modality. On the part of the GRZ, it is important to take the responsibility over institutional financial governance especially now as the global focus is on performance-based incentive payments for emission reductions. Poor accountability and non-conformance to institutional governance and transparency measures at the departmental level also reflect weakness at the higher level. Transparency, financial governance, and accountability need to



transcend all levels – political and administrative in order to build confidence among stakeholders, beneficiaries, and donor agencies. In doing so, it will make the discussions about financial disbursement modalities for donor funded projects much easier because there is no risk of corruption or mismanagement.

## 7 RECOMMENDATIONS (RECS)

### Summary Recommendations

#### *For the UN-REDD agencies with regards to programme design*

**RECOMMENDATION 1:** In designing national programmes, the Evaluation Team recommends increasing the programme period from 3 to 3.5 years considering that the 3-year period has so proved too short for most REDD+ countries. The additional 6 months should be used as an inception phase to allow for design adjustments, and recruitment of relevant staff. Constant feedback points to the complexity of REDD+ NPs. The ZNP had more than 100 individual activities in the logframe therefore substantial consolidation and re-planning was required at the beginning. Noting that NP designs will inherently have some challenges at the beginning, the purpose of the inception phase would be to formerly translate the design into implementation and make necessary adjustments if necessary.

**RECOMMENDATION 2:** Gender mainstreaming in climate change is acutely pertinent but the role of women in critical decision making is still disproportionate and the gender aspects in the design of the ZNP are somewhat subtle. The Evaluation Team recommends that future projects should include specific strategies for mainstreaming gender especially at community level where the gender problem is relatively more severe because of the relatively slow pace at which traditional and cultural practices are likely to adapt to REDD+ type interventions. **This recommendation is for both the UN agencies and the GRZ.**

**RECOMMENDATION 3:** The current arrangements of transferring resources to the project involve delays which have a high potential of negative bearing on the project implementation. In order to eliminate problems that arise from delays in the transfer of resources to the project, financial management arrangements could provide for some (limited) autonomy in financial management to the project. In line with Recommendation 1, this can entail:

- a) Timely release of budgeted funds into the project account on quarterly basis.
- b) Project management team in place, including Project Manager; Project Accountant; and Procurement Officer.
- c) Project governance structure in place in the form of Project Steering Committee.

#### *For consideration by the Government of the Republic of Zambia*

**RECOMMENDATION 4:** Social and environmental safeguards are critical for implementation of REDD+. The completion of the ZNP provides a suite of opportunities to access finance for performance-based emissions reductions. However, the current progress status of SES, SIS and benefit sharing maybe a limiting factor to the success of implementing the NRS strategic options. The Evaluation Team highly recommends treating as a priority, the design and implementation of country-led social and environmental safeguards, safeguards information system, and downstream pro-poor benefit and incentive systems that promote and motivate actions to reduce deforestation. .

**RECOMMENDATION 5:** Prioritise investment in completing a broader national MRV system including implementing the proposal presented in the ILUA exit strategy. The ILUA exit strategy essentially represents the sustainability strategy. There is a substantial risk that the ZNP and FINFAO investment in establishing GIS units at provincial level

could go to waste if the capacity (staff, equipment, data) is not maintained, updated and provided continuous support. There is a further risk that Zambia may not be able to improve the REL submitted to the UNFCCC unless data collection and analysis is sustained.

**RECOMMENDATION 6 (Note):** Noting Recommendation 3, future REDD+ implementation will entail potential and significant funds management and governance at national and sub-national level. To be effective, REDD+ incentive mechanisms will need to be supported by strong social and environmental safeguards and need to be channelled through a system that embraces the key principles of equitable, transparent, participatory, flexible and recognise all the beneficiaries. Strong accountability and institutional governance and transparency measures at the departmental level will be necessary.

## **8 LESSONS LEARNED**

- A. REDD+ NPs are proving to be more complex and challenging to design than originally envisaged. The 3-year timeframe does not seem to be sufficient for most countries because of the long time it is taking to establish implementation arrangements and commence activities. As noted in the recommendations, budgeting for an inception phase at the beginning and extending the programme timeframe to say 3.5 years could be more effective.
- B. Effectiveness and cross-sector collaboration and coordination result from inclusive stakeholder engagement of national, sub-national government, private sector and civil society.
- C. When REDD+ is implemented as part of a broader suite of interventions, there is likely to be greater impact compared to REDD+ being treated as a stand-alone mechanism. REDD+ should be viewed as complimentary to existing efforts taking advantage of the normative knowledge developed at the global level. REDD+ is not the only solution to address deforestation and forest degradation.
- D. The implementation of the ZNP coincided with the preparation of the NCCRS thus mainstreaming of the ZNP started with inclusion in this important strategy. It seems that this approach has influenced the policy reform process with intervention approaches assessed and presented in the NRS informing the National Forest Policy
- E. It is important to have national ownership in order to have stakeholder commitment and manage expectations. REDD+ has promised to deliver financial and non-financial benefits but these take a long time to materialise. Therefore, strategic options and interventions should provide a mix of short-term benefits while establishing longer term interventions that will deliver broader and high-impact benefits for local communities.

## 9 ANNEXES TO THE EVALUATION REPORT

### *Annex 1: Evaluation consultancies Terms of Reference*

**UN-REDD**  
PROGRAMME



# UN-REDD Zambia National Programme Final Evaluation Terms of Reference

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UN-REDD Programme

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March 2016

## 1. Background and Context

The UN-REDD Programme is the United Nations Joint collaborative initiative on Reducing Emissions from Deforestation and forest Degradation (REDD) in developing countries. The Programme was launched in 2008 and builds on the convening role and technical expertise of the Food and Agriculture Organization of the United Nations (FAO), the United Nations Development Programme (UNDP) and the United Nations Environment Programme (UNEP), referred to as the participating UN organizations. The UN-REDD Programme supports nationally-led REDD+ processes and promotes the informed and meaningful involvement of all stakeholders, including Indigenous Peoples and other forest-dependent communities, in national and international REDD+ implementation.

The UN-REDD Programme supports national REDD+ readiness efforts in two ways: (i) direct support to the design and implementation of UN-REDD National Programmes; and (ii) complementary support to national REDD+ action through common approaches, analyses, methodologies, tools, data and best practices developed through the UN-REDD Global Programme.

### 1.1 UN-REDD Programme – Zambia Quick Start Initiative

**Table 1: Programme information**

<b>Programme title:</b>	UN-REDD Programme – Zambia Quick Start Initiative		
<b>Programme Objectives:</b>	The Programme's objectives are: (a) to build institutional and stakeholder capacity to implement REDD+; (b) to develop an enabling policy environment for REDD+; (c) to develop REDD+ benefit-sharing model; and (d) to develop Measurement, Reporting and Verification (MRV) systems for REDD+		
<b>Approval date:</b>	18.03.2010	<b>Fund transfer date:</b>	03.11.2010
<b>Completion date:</b>	30.06.2015	<b>Non cost extension date:</b>	30.08.2013

#### 1.1.1 Objective, Expected Outcomes and Outputs

The goal of the programme is to prepare Zambian institutions and stakeholders for effective nationwide implementation of the REDD+ mechanism. The specific programme objectives are to:

- i) Build institutional and stakeholder capacity to implement REDD+
- ii) Develop an enabling policy environment for REDD+
- iii) Develop REDD+ benefit-sharing models
- iv) Develop Monitoring, Reporting and Verification (MRV) systems for REDD+

#### Outcome 1. Capacity to manage REDD+ Readiness strengthened

This outcome will build capacity support for executing the National Joint Programme (NJP) by integrating it into the national development planning process and overall climate change strategy. Communication is also a key aspect of this outcome with analysis of lessons learned and establishment of a communication framework. In addition, capacity, will be built with respect to financial and managerial support. The outputs are as follows:

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

- Output 1.2: REDD+ Readiness Process integrated into the national development planning process.
- Output 1.3: Communication and advocacy strategy as input in overall climate change strategy developed and implemented.
- Output 1.4: Mapping and gap analysis of relevant initiatives undertaken.

## **Outcome 2. Broad-based stakeholder support for REDD+ established**

This outcome requires the involvement of a wide range of stakeholders, ranging from local community groups and the general public to government departments and international donors. It is therefore of critical importance that an effective means of stakeholder participation is established to ensure the timely implementation of REDD+ in Zambia. The outputs are as follows:

- Output 2.1: Stakeholders engagement process functioning. REDD+ requires commitment and involvement from affected stakeholders and it is therefore necessary to develop a stakeholder engagement framework. A key element of this framework is to promote a continuous and proactive engagement process within REDD+ in Zambia. Support of ongoing REDD+ initiatives undertaken by NGOs, the private sector and bilateral partners will be made possible through this output.
- Output 2.2: Conflict resolution and redress mechanism reviewed.

## **Outcome 3. National governance framework and institutional capacities for the implementation of REDD+ strengthened**

This outcome builds the capacity for Zambia to effectively execute REDD+ nationally. It will develop the institutional, legal and financial mechanisms for supporting REDD+ related initiatives. The outputs are as follows:

- Output 3.1: Institutional capacity to implement REDD+ framework developed.
- Output 3.2: National REDD+ Strategy process integrated into the national development planning process.
- Output 3.3: Legislative framework to facilitate implementation of REDD+ strengthened.
- Output 3.4: Mechanism to administrate and channel REDD+ finance established.
- Output 3.5: Benefit sharing model approved.

## **Outcome 4. National REDD+ strategies identified**

Community-based REDD+ strategies need to be developed to counteract the drivers of deforestation. These need to be socially and economically viable alternatives to deforestation to prevent losses being incurred by stakeholders. If any economic loss is incurred by communities, or the benefits are not transparent, sufficient or tangible, rates of deforestation and forest degradation are unlikely to be effectively reduced. The outputs are as follows:

- Output 4.1: Drivers of deforestation and forest degradation assessed.
- Output 4.2: Candidate activities for REDD+ identified.

### **Outcome 5. MRV capacity to implement REDD+ strengthened**

This outcome will use existing methodologies to establish an effective Monitoring, Reporting and Verification (MRV) System for REDD+. The expected outputs are as follows:

- Output 5.1: REDD+ integrated with forestry inventory system (ILUA) opportunities.
- Output 5.2: Operational Land Monitoring System established and institutionalized.
- Output 5.3: GHG emissions and removals from forest lands estimated and reported.

### **Outcome 6. Assessment of Reference emission level (REL) and Reference level (RL) undertaken**

The objective of this outcome is to support Zambia in its ability to report on emission reductions through REDD+ related activities. The expected outputs are as follows:

- Output 6.1: Historical rates of forest area and carbon stock changes reviewed.
- Output 6.2: National circumstances assessed.

#### **1.1.2 Executing Arrangements**

The Zambia REDD+ readiness programme was nationally executed. It was implemented by the REDD+ Coordination Unit (RCU). The RCU comprised the National REDD+ coordinator and three other staff who were attached to the programme from the Government. In addition, the Forestry Department provided overall technical and human resource support to various aspects of the REDD+ readiness process throughout programme implementation. Two International Technical Advisors were recruited to provide technical and strategic advisory support to the Government in the implementation of the NP.

Overall, implementation of the NP was done in close collaboration with other Ministries, key stakeholder and the Interim Inter-Ministerial Climate Change Secretariat (IICCS). The IICCS is the national institutional framework for coordinating climate change activities. It is worth mentioning that, at national level, the government encouraged the use of existing Institutional Arrangements to facilitate REDD+ processes. Notably, for example, the IICCS, aims to provide a coordination role to ensure harmonized approach to addressing climate change. The setting up of the IICCS was to ensure cross-sectoral collaboration and harmonization of policies on climate change. It equally provides a framework for integrating REDD+ issues across various sectors. In that sense, the REDD+ National Coordinator was institutionally relocated to this climate-change secretariat, to foster linkages between the REDD+ process and the overall climate change agenda.

The Coordination unit worked with all the key stakeholders and partners across various Ministries through stakeholder engagement, strategic partnership building including with civil society, and facilitated mainstreaming into key national policy and development processes.

In addition, the UN-REDD National Programme has been fully integrated into the United Nations Development Assistance Framework (UNDAF) 2010-2015 now transiting to Sustainable Development Framework which coordinates all UN activities in Zambia. The UN-REDD programme in Zambia is also integrated into the United Nations Joint Programme on Climate Change.

### 1.1.3 Cost and Financing

The total amount transferred to the UN-REDD Programme – Zambia Quick Start Initiative is US\$ 4.49 million as shown in Table 2.

**Table 2: Programme Financing (US\$)**

Participating UN Organization	Amount allocated	Amount Transferred from the UN-REDD Multi-Partner Trust Fund
FAO	2,180,0002,180,0002,180,0002,180,000	2,180,0002,180,0002,180,0002,180,000
UNDP	1,995,0001,995,0001,995,0001,995,000	1,995,0001,995,0001,995,0001,995,000
UNEP	315,001315,001315,001315,001	315,001315,001315,001315,001
<b>Total:</b>	293,738293,738293,738293,738	293,738293,738293,738293,738
	<b>4,490,0004,490,0004,490,0004,490,000</b>	<b>4,490,0004,490,0004,490,0004,490,000</b>

### 1.1.4 Programme Implementation Status

The UN-REDD programme has been implementing outputs and outcomes in the National Programme (NP) in line with the Warsaw Framework. The National Programme was finalised officially on 31<sup>st</sup> December 2014. It is important to mention that, the reporting on the programme implementation status has been clustered and organized around the Warsaw Framework for ease of reporting and in line with the re-orientation of the national programme that took place in 2013. The following notable achievements have been made in Zambia:

1. **Strategy Development:** Zambia has developed a draft REDD+ Strategy, anchored on widespread stakeholder consultations, communication and knowledge management at national and provincial levels. The draft REDD+ strategy provides the overall vision, measures and actions to address deforestation and forest degradation in Zambia. It demonstrates the country's global and national commitments to promote REDD+. Its vision is to realize a prosperous climate change resilient economy by 2030, anchored upon sustainable management and utilization of Zambia's natural resources towards improved livelihoods.

Its goal is to contribute to national reductions in greenhouse gas emissions by improving forest and land management, and to ensure equitable sharing of both carbon and non-carbon benefits among stakeholders. The strategy is guided by seven core principles: effectiveness, efficiency, fairness, transparency, accountability, inclusiveness and sustainability. The strategy provides the framework to facilitate stakeholder consultations, ensure buy-in of the strategy as well as consensus building on how to address drivers of deforestation. Underpinning the strategy development are key studies including the drivers of deforestation, economic context of REDD+, the economic valuation of forests and ecosystem services, finance, incentives and benefit sharing opportunities for REDD+, amongst other (see annex 1 for full details).

Implementation of the national REDD+ strategy will focus on tackling different drivers of deforestation in both the forestry and other identified key sectors such as agriculture,



energy, mining and land-use. The strategy will be implemented through a landscape approach at the watershed level and through national-level policy reforms. It will take into account all land uses in a holistic way (including water and wildlife) and will work to lessen the competition for natural resources among different sectors. The approach ensures that the best possible balance is achieved among a range of different development objectives, including climate change mitigation and adaptation, environmental and biodiversity conservation, enhanced economic productivity, and improved livelihoods. It also offers opportunities for Zambia to be supported in the implementation of its policies and measures as outlined in the draft national REDD+ strategy and consistent with national development priorities.

2. **Measurement, Reporting and Verification System (MRV):** The Government has also developed a Web Portal which incorporates the National Forest Monitoring System (NFMS) and a REDD+ Wiki/Database. The idea of bringing the NFMS and the REDD+ Wiki together is novelty. Amongst others, it will enrich and enhance stakeholder engagement and insights on REDD+, and potentially offering a gateway for including information on governance, REDD+ activities, and overall social & environmental safeguards on REDD+. Zambia's work in the area of MRV for REDD+ has focused on the development of a decentralized national forest monitoring system. This has required extensive in-country capacity building and infrastructure development. Ten provincial forest monitoring laboratories have been established and equipped with tools for forest monitoring such as computers with Geographic Information System (GIS) software, Geographical Positioning System (GPS) units for forest monitoring field activities and printers and plotters for field map production. These provincial laboratories are manned by a group of trained cross-sectoral technicians from forestry, agriculture and planning sectors providing a decentralized hub of MRV expertise. The laboratories will provide near real-time spatial data on deforestation and forest degradation which can be relayed to the central national forest monitoring laboratory in Lusaka to inform national reporting. This innovative approach is in-line with the decentralization policy of the Government of the Republic of Zambia.
3. **FREL/FRL:** Zambia has completed its land cover mapping for 1990, 2000, 2010 as well as Forest Inventories in all the 10 Provinces as a basis for FREL/FRL development. A roadmap for FREL/FREL construction has been developed. Importantly, Zambia has also integrated in its strategy Approach to FREL/FRL integrated into draft REDD+ strategy based on national circumstances and in line with UNFCCC guidance. The FREL/FRL are an important component of the REDD+ readiness since performance based payment system will depend on reliable data especially the land cover and forest inventory. The work on land cover mapping is going through refinement with all key stakeholders involved including public and private sectors.
4. **Country Approach to Safeguards:** A country approach to safeguards is also outlined in the strategy. As part of this, a Technical report on the assessment of Policies, Legal and Regulatory Frameworks for REDD+ implementation was commissioned. Amongst others, the report identifies existing REDD+ safeguards, gaps and proposes recommendations that will inform the development of the REDD+ strategy and its subsequent implementation.

Furthermore, a comprehensive assessment on how to develop SIS was conducted based on an Issues and Options report and strong stakeholder consultations in all the 10 provinces. SIS may build on already established REDD+ Wiki linked to NFMS and web portal. The approach for SIS is outlined in the draft strategy and will be rooted in Zambia's existing legal framework (national policies, laws and regulations that define and regulate the effective implementation and compliance of the safeguards), the country's institutional framework (existing procedures for implementing and enforcing the legal framework), and an outline of the compliance framework (with a monitoring and information system; grievance and redress mechanisms; and noncompliance mechanisms).

In addition to the above-mentioned, the NP provided support to policy and legal processes including the draft Forest Policy, which was approved by Cabinet in December 2014. The policy makes explicit reference to the REDD+ objectives notably, "Zambia is expected to contribute to minimizing the impact of greenhouse gas emissions and conserving biodiversity through the achievement of these policy objectives related to socio-economic and ecologically sustainable forest management, maintaining and increasing the total natural forest cover and by increasing the percentage of land under plantation." [Forest Policy 2014]. The policy embraces social and environmental safeguards and recognizes carbon as a forest product like timber and others. The policy provides guidance on broad forestry related issues including institutional and governance mechanisms.

Furthermore, Zambia Forest Bill legislative process benefitted from the National REDD+ Readiness process in particular the REDD+ strategy development process, which provided support to policy and legal processes such as mainstreaming of REDD+ into the Forest Bill. This was premised on the cross-cutting nature of REDD+, the need to create an enabling condition for REDD+ implementation and as well address the drivers of deforestation in national policy and planning processes. The Forest Bill has been approved by cabinet and now passed as an Act of Parliament.

Furthermore, the Government, with the support of UN-REDD has established a partnership platform on REDD+ comprising Cooperating partners supporting environment and climate change issues. This platform will ensure coordination as well as leverage future mobilization and investment opportunities for REDD+. It is worth noting that the country is now benefitting from financial resources and investments from the World Bank's BioCarbon Fund Initiative for Sustainable Forest Lands (ISFL). The ISFL provides great impetus for the strategy implementation as well as a lever for additional financial resources and investments for REDD+ in Zambia. There are other existing and emerging opportunities for REDD+ implementation including from USAID, Finland GEF and other UN agencies, amongst others. Furthermore, the Forest Investment Programme (FIP) sub-committee approved funds for Zambia to develop a REDD+ Investment Plan, which is seen as part of efforts to support Zambia's REDD+ strategy implementation.

Additional information on the implementation of the Zambia UN-REDD National Programme can be found in the Annual and Semi-Annual Programme Reports. Further updates on implementation in 2015 will be provided at the beginning of the evaluation. The Strategic Review of the Zambia UN-REDD National Programme and the associated management response, action plan and revised work plan and budget are important documents for understanding the changes or revisions that were made to programme objectives and expected results. The Final Evaluation should build on the

Strategic Review where possible, and in particular, verify the extent to which the Strategic Review recommendations have been implemented including on stakeholder engagement.

## **2. Evaluation Objective and Scope**

The scope of the evaluation is the Zambia UN-REDD National Programme. The evaluation will be based on data available at the time of evaluation and discuss outputs delivered by the programme from the time of inception, August 2010, until the time of closure in June 2015. It will also assess the likelihood of future outcomes and impact that may not have been achieved yet by the end of June 2015.

The evaluation of the UN-REDD National Programme is undertaken to assess (i) programme performance in terms of relevance, effectiveness (outputs and outcomes) and efficiency, (ii) sustainability and up-scaling of results, and (iii) actual and potential impact stemming from the programme. The evaluation has the following objectives:

- To provide evidence of results to meet accountability requirements.
- To assess the status of REDD+ readiness in Zambia, gaps and challenges that need to be addressed to achieve REDD+ readiness and the UN-REDD Programme's future role in the REDD+ process in the country.
- To propose recommendations on how existing and potential financing and investment opportunities can be leveraged and better coordinated for the implementation of the national REDD+ strategy.
- To review the proposed institutional arrangements for REDD+ in the national REDD+ strategy and make recommendations on how to better implement REDD+ within these institutional arrangements.
- To promote learning, feedback and knowledge sharing through results and lessons learned among the participating partners and stakeholders including the Government and UN Organizations and other partners. The evaluation will identify lessons of operational and technical relevance for future programme formulation and implementation in the country, especially future UN-REDD Programmes, and/or for the UN-REDD Programme as a whole.

The primary audience for the evaluation will be the Government of Zambia, the three participating UN Organizations of the UN-REDD Programme and the programme resource partners. The secondary audience for the evaluation will be the national REDD+ stakeholders and the UN-REDD Policy Board. The evaluation will also be made available to the public through the UN-REDD Programme website ([www.un-redd.org](http://www.un-redd.org)).

### **2.1 Evaluation Criteria**

To focus the evaluation objectives, by defining the standards against which the initiative will be assessed, the following five evaluation criteria will be applied:

- i) **Relevance**, concerns the extent to which the National Programme and its intended outcomes or outputs are consistent with national and local policies and priorities and the needs of the intended beneficiaries. Relevance also considers the extent to which the initiative is aligned with the UN-REDD Programme Strategy 2011-2015<sup>14</sup> (or the UN-REDD Programme Framework Document<sup>15</sup> for Programmes approved before November 2010) and the corporate plans of the three participating UN Organizations. Relevance vis-a-vis other REDD+ or REDD+-related programmes implemented in the country should also be examined, in terms of synergies, complementarities and absence of duplication of efforts.
- ii) **Effectiveness**, measures the extent to which the National Programme's intended results (outputs and outcomes) have been achieved or the extent to which progress towards outputs and outcomes has been achieved. To explain why certain outputs and outcomes have been achieved better or more than others, the evaluation will review:
  - a) **Processes that affected the attainment of project results** – which looks at examination of preparation and readiness of the project, country ownership, stakeholder involvement, financial planning, performance of national and local implementing agencies and designated supervision agency, coordination mechanism with other relevant donors' projects/programmes, and reasons for any bottlenecks and delays in delivery of project outputs, outcomes and the attainment of sustainability.
  - b) **Implementation approach** - including an analysis of the project's result framework, performance indicators, adaptive management to changing conditions, overall project management and mechanisms applied in project management in delivering project outcomes and outputs.
- iii) **Efficiency**, measures how economically resources or inputs (such as funds, expertise and time) are converted to achieving stipulated outcomes and outputs.
- iv) **Sustainability**, analyse the likelihood of sustainable outcomes at programme termination, with attention to sustainability of financial resources, the socio-political environment, catalytic or replication effects of the project, institutional and governance factors, and environmental risks.
- v) **Impact**, measures to what extent the National Programme has contributed to, or is likely to contribute to intermediate states towards impact, such as changes in the governance systems and stakeholder behaviour, and to impact on people's lives and the environment. The evaluation will assess the likelihood of impact by critically reviewing the programmes intervention strategy (Theory of Change) and the presence of the required drivers and assumptions for outcomes to lead to intermediate states and impact.

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<sup>14</sup> The UN-REDD Programme Strategy 2011-2015 is available on:

[http://www.unredd.net/index.php?option=com\\_docman&task=doc\\_download&gid=4598&Itemid=53](http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=4598&Itemid=53)

<sup>15</sup> The UN-REDD Programme Framework Document is available on:

[http://www.unredd.net/index.php?option=com\\_docman&task=doc\\_download&gid=4&Itemid=53](http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=4&Itemid=53)

## 2.2 Evaluation Questions

The following list includes standard questions and issues that the UN-REDD National Programme evaluation should address. It is based on the internationally accepted evaluation criteria mentioned above, i.e. relevance, efficiency, effectiveness, impact and sustainability, as well as an additional category of questions regarding factors affecting programme performance. The evaluation will assess the Zambia UN-REDD National Programme as follows:

### i) Relevance

- a) The National Programme's relevance to:
  - Country needs;
  - National development priorities as expressed in national policies and plans as well as in sector development frameworks;
  - UN Country Programme or other donor assistance framework approved by the government;
  - The UNDAF and the UN Joint Programme on Climate Change;
  - The UN-REDD Programme Framework Document<sup>16</sup>;
  - Other REDD+ related programmes in the country, in particular the National REDD+ Strategy;
- b) Robustness and realism of the theory of change underpinning the National Programme, including logic of causal relationship between inputs, activities, expected outputs, outcomes and impacts against the specific and development objectives and validity of indicators, assumptions and risks.
- c) Quality and realism of the National Programme design, including:
  - Duration;
  - Stakeholder and beneficiary identification;
  - Institutional set-up and management arrangements;
  - Overall programme results' framework
  - Approach and methodology.
- d) Evolution of National Programme objectives since programme formulation.

### ii) Effectiveness

- e) Extent to which the expected outputs have been produced, their quality and timeliness.
- f) Extent to which the expected outcomes have been achieved.
- g) Assessment of gender mainstreaming in the National Programme. This will cover:
  - Analysis of how gender issues were reflected in Programme objectives, design, identification of beneficiaries and implementation;
  - Analysis of how gender relations and equality are likely to be affected by the initiative;
  - Extent to which gender issues were taken into account in Programme management.
  - Assessment of likely distribution of benefits and costs between stakeholders.
- h) Use made by the National Programme of the UN-REDD Programme's normative products, guidelines and safeguards, e.g. the UN-REDD Programme Guidelines on Free, Prior and Informed Consent (FPIC), and the UN-REDD / FCPF Guidelines on Stakeholder Engagement in

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<sup>16</sup> The UN-REDD Programme Framework Document is available on: [http://www.unredd.net/index.php?option=com\\_docman&task=doc\\_download&gid=4&Itemid=53](http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=4&Itemid=53)

REDD+ Readiness, and the extent of which they have contributed towards national safeguards<sup>17</sup>.

- i) Actual and potential contribution of the National Programme to the normative work of the three participating UN Organizations, e.g. contribution towards the “Delivering as One” initiative and lessons learned incorporated into broader organizational strategies.

**iii) Efficiency**

- j) Cost and timeliness of key outputs delivered compared to national and regional benchmarks
- k) Administrative costs (including costs for supervision and coordination between participating UN agencies) compared to operational costs
- l) Any time and cost-saving measures taken by the programme
- m) Any significant delays or cost-overruns incurred, reason why and appropriateness of any remedial measures taken

**iv) Sustainability**

- n) Major factors influencing the achievement or non-achievement of sustainability of the programme.
- o) The prospects for sustaining and up-scaling the National Programme’s results by the beneficiaries after the termination of the initiative. The assessment of sustainability will include, as appropriate:
  - Institutional, technical, economic and social sustainability of proposed technologies, innovations and/or processes;
  - Perspectives for institutional uptake, support and mainstreaming of the newly acquired capacities, or diffusion beyond the beneficiaries or the National Programme.

**v) Impact**

- p) Extent to which the initiative has attained, or is expected to attain, its social and environmental objectives; this will also include the identification of actual and potential positive and negative impacts produced by the initiative, directly or indirectly, intended or unintended
- q) Presence of the required drivers and assumptions for outcomes to lead to intermediate states and impact.

**vi) Factors affecting performance**

- r) The evaluation will assess factors and processes that affected project results with particular attention to preparation and readiness of the project, country ownership, and stakeholder involvement, effectiveness of national and local implementing agencies, financial planning and management and coordination mechanisms.
- s) Management and implementation of the National Programme, including:
  - Quality and realism of work plans;
  - Quality of operational management;
  - Performance of coordination and steering bodies;
  - Quality and quantity of administrative and technical support by the three participating UN Organizations; and

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<sup>17</sup> None of the guidelines referred to were available during most of the period of programme implementation.

- Timeliness, quality and quantity of inputs and support by the Government and partners.
- t) Financial resources management of the National Programme, including:
  - Adequacy of budget allocations to achieve outputs;
  - Coherence and soundness of budget revisions in matching implementation needs and programme objectives;
  - Rate of delivery and budget balance at the time of the evaluation.
  - Efficiency of fund-management arrangements.
- u) Assessment of coordination mechanisms:
  - Between the three participating UN organizations to ensure joint delivery.
  - Between the Government and the three participating UN organizations to ensure programme outcomes are achieved.
  - Within and between Government ministries in order to ensure programme outcomes is achieved.
  - Between the National Programme and other bilateral and multilateral REDD+ initiatives.

In addition, the evaluation will review the following crucial questions:

- What is the status of REDD+ readiness in the country, looking at the typical REDD+ readiness components, and to which extent the programme contributed to each?
- What are the prospects for follow-up and scaling-up REDD+ in Zambia, providing suggestions for potential UN-REDD engagement (if pertinent)?

### **3. Evaluation Methodology**

The UN-REDD National Programme final evaluation will adhere to the UNEG Norms & Standards<sup>18</sup>. It will be conducted by two independent consultants under the overall responsibility and management of the three participating UN Organizations' Evaluation Departments through their participation in the Evaluation Management Group, in consultation with relevant headquarter, regional and country staff of the participating UN Organizations.

Evaluation findings and judgements should be based on sound evidence and analysis, clearly documented in the evaluation report. Information will be triangulated (i.e. verified from different sources) to the extent possible, and when verification is not possible, the single source will be mentioned<sup>19</sup>. Analysis leading to evaluative judgements should always be clearly spelled out. The limitations of the methodological framework should also be spelled out in the evaluation reports.

The evaluation will assess the programme with respect to a minimum set of evaluation criteria using the table for rating performance in Annex 6.

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<sup>18</sup>UNEG Norms & Standards: <http://uneval.org/normsandstandards>

<sup>19</sup> Individuals should not be mentioned by name if anonymity needs to be preserved. In such cases sources can be expressed in generic term (Government, NGO, donor etc.).

In attempting to attribute any outcomes and impacts to the programme, the evaluators should consider the difference between what has happened with and what would have happened without the programme. This implies that there should be consideration of the baseline conditions and trends in relation to the intended programme outcomes and impacts. This also means that there should be plausible evidence to attribute such outcomes and impacts to the actions of the project. Sometimes, adequate information on baseline conditions and trends is lacking. In such cases this should be clearly highlighted by the evaluators, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about project performance.

As this is a final evaluation, particular attention should be given to learning from the experience. Therefore, the “why?” question should be at the front of the consultants’ minds throughout the evaluation exercise. This means that the consultants need to go beyond the assessment of “what” the programme performance was, and make a serious effort to provide a deeper understanding of “why” the performance turned out the way it did, i.e. of processes affecting attainment of programme results. This should provide the basis for the lessons that can be drawn from the programme. In fact, the usefulness of the evaluation will be determined to a large extent by the capacity of the consultant to explain “why things happened” as they happened and are likely to evolve in this or that direction, which goes well beyond the mere assessment of “where things stand” today. The consultant could also provide recommendations for the way forward.

#### **4.0 Tools**

The Zambia UN-REDD National Programme final evaluation will make use of the following tools:

- a) A desk review of project documents including, but not limited to:
  - Relevant background documentation, including the UN-REDD Programme Framework Document<sup>20</sup>;
  - Relevant reports, such as National Programme Annual, Semi-Annual and quarterly Reports, publications, external evaluations by donors, partners etc.;
  - Project design documents, such as the National Programme Document, annual work plans and budgets, revisions to the logical framework and project financing;
  - Documentation related to National Programme outputs and relevant materials published on the Programme website, reports from workshops or consultations etc.;
  - The final report of the Strategic Review of the Zambia UN-REDD National Programme;
  - Other relevant documents, such as possible new national policy documents, sector plans and available evaluations bearing relevance for UN-REDD.
- b) Semi-structured interviews<sup>21</sup> with key informants, stakeholders and participants, including:
  - Government counterparts;
  - Government stakeholders including all ministries participating from coordinating bodies or steering committees;
  - Civil Society Organizations;

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<sup>20</sup> The UN-REDD Programme Framework Document is available on: [http://www.unredd.net/index.php?option=com\\_docman&task=doc\\_download&gid=4&Itemid=53](http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=4&Itemid=53)

<sup>21</sup> Face-to-face or through any other appropriate means of communications



- Country, regional and headquarter personnel from the three UN-Agencies involved in the National Programme, e.g. the Programme Management Unit, Resident Coordination and Regional Technical Advisers;
  - Representatives from other bi-lateral or multi-lateral initiatives co-financing the NP if applicable.
- c) The Theory of Change and subsequent application of ROTl approach on progress towards impact<sup>22</sup>.
- d) In addition, the UN-REDD programme has started to include a scorecard in the evaluations, requesting evaluators to reconstruct a baseline to the extent possible and to assess end of the National Programme status. This intended to better understand what is expected of the evaluation. The scorecard is attached as (see separate attachment)

A list of key stakeholders and other individuals who should be consulted would be included in Annex 5.

#### **4 Consultation process**

While fully independent in its judgements, the Evaluation Team will adopt a consultative and transparent approach with internal and external stakeholders. Throughout the process the evaluation team will maintain close liaison with: The Evaluation Management Group (Consisting of representatives of the evaluation departments of the three participating UN Organizations and the UN-REDD Secretariat), the REDD+ Coordination Unit, UN headquarters, regional, sub-regional and country level staff members, and other key stakeholders. Although the team is free to discuss with the authorities concerned anything relevant to its assignment, it is not authorized to make any commitments on behalf of the Government, the donor or the participating UN Organizations.

The draft evaluation report will be circulated among the three participating UN Organizations, including the Evaluation Management Group, REDD+ Coordination Unit and other key stakeholders, including civil society, for comment before finalisation; suggestions will be incorporated as deemed appropriate by the evaluation team.

#### **5 The Evaluation Team**

The Evaluation Team should consist of two evaluators, including one team leader. The evaluation team should comprise the best available mix of skills that are required to assess the Zambia UN-REDD National Programme. Knowledge of the country in question, good technical understanding of the REDD+ field, as well as competence and skills in evaluation will be required. To the extent possible the Evaluation Team will be balanced in terms of geographical and gender representation to ensure diversity and complementarity of perspectives.

The Evaluation Team members will have had no previous involvement in the formulation, implementation or backstopping of the initiative, and have no future engagement with the UN-REDD programme or the operational units, in Zambia or within the participating UN agencies, involved in

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<sup>22</sup> GEF Evaluation Office, (OPS4) Progress towards Impacts: The ROTl Handbook: Towards enhancing the impacts of environmental projects – Methodological paper 2.

UN-REDD. All members of the Evaluation Team will sign the Evaluation Consultant Code of Conduct<sup>23</sup> Agreement Form (Annex 3).

The Evaluation Team is responsible for conducting the evaluation as set out in these TORs and applying the approach and methods proposed in the inception report they will prepare. All team members, including the Team Leader, will participate in briefing and debriefing meetings, discussions, field visits, and will contribute to the evaluation with written inputs.

## **6 Evaluation Team Deliverables**

### **6.2 Inception Report**

Before going into data collection the Evaluation Team shall prepare an *inception report* containing a thorough review of the project design quality and the evaluation framework. The *inception report* should detail the evaluators' understanding of what is being evaluated and why, showing how the evaluation questions can be answered by way of: proposed methods and sources of data, as well as data collection procedures. The *inception report* will also present a draft, desk review-based Theory of Change of the National Programme, identifying outcomes, intermediate states towards impact, drivers and assumptions for evaluation. The *inception report* should also include a proposed schedule of tasks, activities and deliverables, as well as a desk based Theory of Change of the programme<sup>24</sup>. The evaluation framework should summarize the information available from programme documentation against each of the main evaluation parameters. Any gaps in information should be identified and methods for additional data collection, verification and analysis should be specified. The evaluation framework will present in further detail the evaluation questions under each criterion with their respective indicators and data sources. This will allow the three participating UN Organizations to verify that there is a shared understanding about the evaluation and clarify any misunderstandings at the outset. A list of important documents and web pages that the evaluators should read at the outset of the evaluation and before finalizing the evaluation design and the inception report is included in Annex 4. The Inception Report will be shared with the three participating UN Organizations and other relevant stakeholders and reviewed by the Evaluation Management Group.

### **6.3 Evaluation Reporting**

At the end of the field mission, the consultants will prepare a *preliminary findings report* (mission Aide memoire) and present their first findings to stakeholders in Lusaka at a debriefing session. The *preliminary findings report* should be shared with stakeholders invited to the debriefing session in advance of the meeting.

The reviewers shall prepare a *draft evaluation report* within three weeks after the field mission. The Team Leader bears responsibility for submitting the draft report to the UN-REDD Secretariat within three weeks from the conclusion of the mission, and the Secretariat will immediately transmit the

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<sup>23</sup> UNEG Code of Conduct for Evaluation in the UN system: [www.unevaluation.org/uneqcodeofconduct](http://www.unevaluation.org/uneqcodeofconduct)

<sup>24</sup> GEF Evaluation Office, (OPS4) Progress towards Impacts: The ROTI Handbook: Towards enhancing the impacts of environmental projects – Methodological paper 2.

draft report to the evaluation departments of the three participating UN Organizations. The evaluation departments will verify that the draft report meets their evaluation quality standards and may request a revision of the draft report by the consultants before it is shared with a wider audience. The draft evaluation report will then be circulated among the three participating UN Organizations, including the Evaluation Management Group, and other key stakeholders for comments. Comments will be incorporated as deemed appropriate by the Evaluation Team. The consultants will prepare a *response to comments* in the form of a table listing all comments partially or entirely rejected by the evaluation team with an explanation why, which will be shared with stakeholders to ensure transparency. Confidential comments on the report will not be shared.

The *final evaluation report* will illustrate the evidence found that responds to the evaluation issues, questions and criteria listed in the Terms of Reference. The length of the final evaluation report should be 15-18,000 words, excluding executive summary and annexes. Supporting data and analysis should be annexed to the report when considered important to complement the main report. The recommendations will be addressed to the different stakeholders and prioritized: they will be evidence-based, relevant, focused, clearly formulated and actionable. Lessons learned will be based on programme experience and will specify the scope of their applicability beyond the programme.

The Evaluation Team shall propose the outline of the report in the inception report, based on the template provided in Annex 2 of this Terms of Reference. The report shall be prepared in English, and translated into French and Spanish.

Annexes to the evaluation report will include, though not limited to, the following as relevant:

- Terms of reference for the evaluation;
- Additional methodology-related documentation;
- Profile of team members;
- List of documents reviewed;
- List of institutions and stakeholders interviewed by the evaluation team;
- List of programme outputs/Programme results framework;
- Evaluation tools.

The Evaluation Team is fully responsible for its independent report which may not necessarily reflect the views of the Government or the three participating UN Organizations. An evaluation report is not subject to technical clearance by the evaluation departments of the three participating UN Organizations, but has to meet the quality standards for evaluation of the three Organizations. The final report will be published on the UN-REDD Programme web site ([www.un-redd.org](http://www.un-redd.org)).

The Evaluation Team will be invited to present the findings, recommendations and lessons learned from the evaluation to a relevant event bringing (UN-)REDD stakeholders together in Zambia, to promote the dissemination and ownership of evaluation results. The inception report should suggest at which appropriate event(s) this could be done. The Team may, after completion of the evaluation process, also be invited by one or more participating UN agencies to present the evaluation at regional office or headquarters level.

## **8. Evaluation timetable and budget**

Table 3 outlines the tentative timetable and responsibility of the evaluation process. The timetable will be adjusted according to the availability of the selected consultant.

**Table 3: UN-REDD National Programme Evaluation Timeline**

Date:	Activity	Responsibility
May -August 2015	Draft National Programme Final Evaluation Terms of Reference (draft to be based on the “National Programme Final Evaluation Template”)	The UN three participating UN Organizations prepare the first draft of the TORs. The National Programme staff ensures the draft Terms of Reference is shared with the Government counterpart and other relevant key stakeholders, including civil society, for information and their comments.
September - October 2015	Review National Programme Final Evaluation Terms of Reference	Evaluation Management Group (Evaluation Departments of the three participating UN Organizations and the UN-REDD Secretariat)
December 2015-March 2016	Recruit consultants	National Programme Evaluation budget holder in consultation with the Evaluation Management Group (Evaluation departments of the three participating UN Organizations and the UN-REDD Secretariat)
March 2016	Preparation of Inception Report	Evaluation Team (consultants)  Logistical support provided by the participating UN Organizations National Programme staff
April 2016	Review inception report	The three participating UN Organizations and the Evaluation Management Group (Evaluation departments of the three participating UN Organizations and the UN-REDD Secretariat)
April 2016	Evaluation Mission, including preparation of <i>preliminary findings report</i>	Evaluation Team (consultants)  Logistical support provided by the participating UN Organizations’ National Programme staff. Also, a one-day debriefing workshop with stakeholders will be held at the end of the Evaluation Mission. At this workshop the <i>preliminary findings report</i> will be presented.
May 2016	Preparation of draft evaluation report and submission to UNREDD Secretariat.	The draft evaluation report will be submitted to the UN-REDD Secretariat at the latest 3 weeks after the mission has been completed.
May 2016	Review Draft Evaluation Report by the evaluation departments of the participating UN Organizations	The Evaluation Management Group (Evaluation departments of the three participating UN Organizations and the UN-REDD Secretariat) reviews the draft from the point of view of its evaluation quality and make comments to the Evaluation Team in that respect. If need be, the evaluation team will revise the draft report. The latter will be then circulated to other stakeholders for comment.
June 2016	Review Draft Evaluation Report by the participating UN Organisations, Government Counterpart, UN Country Offices and	The National Programme staff should ensure the Draft Evaluation Report is shared with the Government Counterpart and other relevant key stakeholders, including civil society, for information and their comments.

	other stakeholders	
June 2016	Final Report	Evaluation Team (consultants) Logistical support provided by the participating UN Organizations National Programme staff
June –2016	Presentation of evaluation results in Zambia	Evaluation Team (consultants)
July 2016	Management response from the Participating UN Organizations	Participating UN Organizations
July 2016	Management response from the Government Counterpart	Government Counterpart
(TBC)	Dissemination of the report	The UN country offices on the national level and the UN-REDD Programme Secretariat on the global level (e.g. PB).

## **Annex 1: Evaluation consultancies Terms of Reference**

The Evaluation Team should consist of two evaluators, including one team leader. The Team Leader must have sound evaluation experience. The Team Leader will lead, organize, and supervise the work of the evaluation team, ensuring a division of labour 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 evaluation report, and is ultimately accountable for its quality. The evaluation team should comprise the best available mix of skills that are required to assess the Zambia UN-REDD National Programme, and ideally include in-depth knowledge of the National Programme country, good technical understanding of REDD+, as well as competence and skills in evaluation. To the extent possible the Evaluation Team will be balanced in terms of geographical and gender representation to ensure diversity and complementarity of perspectives.

The Evaluation Team members shall have had no previous direct involvement in the formulation, implementation or backstopping of the National Programme, and have no future engagement with the UN-REDD programme or the operational units, in Zambia or within the participating UN agencies, involved in UN-REDD. All members of the Evaluation Team will sign the Evaluation Consultant Code of Conduct<sup>25</sup> Agreement Form (Annex 3).

The Evaluation Team is responsible for conducting the evaluation as described in the overall TORs of the evaluation, and applying the approach and methods they will propose in the inception report. All team members, including the Team Leader, will participate in briefing and debriefing meetings, discussions, field visits, and will contribute to the evaluation with written inputs and oral presentations. The Evaluation Team shall collaborate on a single document for each of the three main deliverables (inception report, preliminary findings report and main report), while the Team Leader is responsible for coordinating the inputs and ensuring all deadlines are met.

### Competencies:

- Independent from the UN-REDD Programme and the participating UN Organizations, FAO, UNDP and UNEP.
- The evaluation team should comprise the best available mix of skills that are required to assess the National Programme, including:
  - 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;
  - Good technical understanding of REDD+; Preferably in-depth knowledge of Zambia and how REDD+ fits in with that;
  -

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<sup>25</sup> UNEG Code of Conduct for Evaluation in the UN system: [www.unevaluation.org/uneqcodeofconduct](http://www.unevaluation.org/uneqcodeofconduct)

- Demonstrate experience from evaluations of similar types of programmes, using a Theory of Change approach to evaluation or demonstrated strong knowledge of Monitoring and Review methods for development projects.
- Excellent writing and editing skills.
- Attention to detail and respect for timelines.

Qualification requirements for both consultants:

- Advanced university degree in social science, development studies, forestry, environment and natural resources or relevant field.
- Minimum 12 (team leader)/7 (team member) years of professional experience is required, longer professional experience is an advantage, including proven experience from developing countries.
- Fluency in English language, both written and spoken is a requirement. Knowledge of local language would be a distinctive advantage. Familiarity with project implementation in complex multi donor-funded projects.

Deliverables:

- An inception reports prepared;
- A preliminary findings report prepared and presented it at the end of the mission to programme stakeholders;
- A consolidated draft report that meets the quality requirements of the evaluation departments of the three participating UN agencies produced. The team leader is responsible for consolidating the report;
- A response to comments received from stakeholders on the draft report prepared;
- A consolidated final report produced. The team leader is responsible for consolidating the report.

Application:

Total days: 65 days

The work shall be completed in accordance with the below time schedule:

Activity	Consultant One (Team Leader)	Consultant Two	Dates
Preparation of inception report outlining consultants understanding of key tasks as well as a work plan for the implementation of activities	3 days	3 days	By 31 <sup>st</sup> March
Desk review, evaluation mission, stakeholder meetings, draft evaluation report	20 days	22days	By May 2016
Draft final report, which has been approved and accepted	9 days	7 days	By July 2016
Total	32 days	32 days	

Schedule of Payment:

Deliverables	Percentage payment to Consultant One (Team leader):	Percentage payment to Consultant Two:
An acceptable and satisfactory inception report	20%	20%
A draft evaluation report	30%	30%
Submission and approval of the final evaluation report, which incorporates comments and recommendations from Government, UN and key stakeholders	50%	50%



## **Annex 2: Annotated UN-REDD National Programme evaluation report outline**

The Evaluation Team can modify the structure of the report outline below, as long as the key contents are maintained in the report and the flow of information and analysis is coherent and clear. The length of the UN-REDD National Programme final evaluation report should be 15-18,000 words, excluding executive summary and annexes.

### **Acknowledgements**

Insert acknowledgements.

### **Composition of the Evaluation Team**

Insert description of the composition of the Evaluation Team.

### **Table of Contents**

Insert Table of Contents.

### **Acronyms**

When an abbreviation is used for the first time in the text, it should be explained in full; it will be included in the list of acronyms when it is used repeatedly within the report.

### **Executive Summary**

The Executive Summary should:

- Be in length approximately 10-15% of the main report, excluding annexes;
- Provide key information on the evaluation process and methodology;
- Illustrate key findings and conclusions;
- List all recommendations: this will facilitate the drafting of the Management Response to the evaluation.

## **1. Introduction**

### **1.1 Background and purposes of the evaluation**

This section will include:

- The purpose of the evaluation, as stated in the Terms of Reference;
- National Programme title, starting and closing dates, initial and current total budget;
- Dates of implementation of the evaluation.

It will also mention that Annex I of the evaluation report is the evaluation Terms of Reference.

### **1.2 Methodology of the evaluation**

This section will comprise a description of the methodology and tools used and evaluation criteria that were applied by the evaluation. This should also note any limitations incurred in applying the methodology by the evaluation team.

## **2. Context of the National Programme**

This section will include a description of the developmental context relevant to the National Programme including major challenges in the area of the intervention, political and legislative issues, etc. It will also describe the process by which the programme was identified and developed and cite other related and bilateral interventions if relevant.

### **3. Concept and relevance**

#### **3.1 Design**

National Programmes are built on assumptions on how and why they are supposed to achieve the agreed objectives through the selected strategy; this set of assumptions constitutes the programme theory or 'theory of change' and can be explicit (e.g. in a logical framework matrix) or implicit in a programme document.

This section will include a diagram and short description of the programme theory of change, including its results chains from outputs to impact, impact drivers and assumptions and will analyse critically:

- The appropriateness of stated development goals and outcomes (immediate objectives);
- The causal relationship between outputs, outcomes (immediate objectives) and impact (development objectives);
- The extent to which drivers for change have been recognized and supported by the programme;
- The relevance and appropriateness of indicators;
- The validity of assumptions and risks.

This section will also critically assess:

- The programme's institutional set-up and management arrangements;
- The adequacy of the time-frame for implementation;
- The adequacy of resources from all parties and appropriateness of budget allocations to achieve intended results;
- The adequacy of the methodology of implementation to achieve intended results;
- The quality of the stakeholders' and beneficiaries' identification.

#### **3.2 Relevance**

This section will analyse the extent to which the National Programme's objectives and strategy were consistent with country's expressed requirements and policies, with beneficiaries' needs, and other programmes, at the time of approval and at the time of the evaluation.

There will also be an analysis of the degree to which the programme corresponds to priorities in the UN-REDD Programme Strategy.

### **4. Results and contribution to stated objectives**

#### **4.1 Outputs and outcomes**

This section will critically analyse the National Programme outputs: ideally, the evaluation team should directly assess all of these, but this is not always feasible due to time and resources constraints. Thus, the detailed analysis should be done on a representative sample of outputs that were assessed directly, while a complete list of outputs prepared by the programme team

should be included as annex. If appropriate, the section will also include an analysis of gaps and delays and their causes and consequences.

Further, the section will critically analyse to what extent expected outcomes (specific/immediate objectives) were achieved. It will also identify and analyse the main factors influencing their achievement and the contributions of the various stakeholders to them.

#### **4.2 Gender issues**

This section will analyse if and how the programme mainstreamed gender issues. The assessment will cover:

- Analysis of how gender issues were reflected in objectives, design, identification of beneficiaries and implementation;
- Analysis of how gender relations and equality and processes of women's inclusion were and are likely to be affected by the initiative;
- Extent to which gender issues were taken into account in programme management.

#### **4.3 Capacity development**

The evaluation will assess:

- The extent and quality of programme work in capacity development of beneficiaries;
- The perspectives for institutional uptake and mainstreaming of the newly acquired capacities, or diffusion beyond the beneficiaries or the programme.

#### **4.4 Sustainability**

This section will assess the prospects for long-term use of outputs and outcomes, from an institutional, social, technical and economic perspective. If applicable, there will also be an analysis of environmental sustainability (maintenance and/or regeneration of the natural resource base).

#### **4.5 Impact**

This section will assess the current and foreseeable positive and negative impacts produced as a result of the programme, directly or indirectly, intended or unintended. It will assess the actual or potential contribution of the programme to the planned development objective and to UN-REDD strategic objectives, described in the UN-REDD Programme Strategy 2011-2015.

### **5. Implementation**

#### **5.1 Budget and Expenditure**

This section will contain the analysis of the National Programme financial resources and management, including:

- Efficiency in production of outputs;
- Coherence and soundness of Budget Revisions in matching implementation needs and programme objectives; and
- Assessment of rate of delivery and budget balance at the time of the evaluation, compared to the initial plan.

#### **5.2 Programme Management**

This section will analyse the performance of the management function, including:

- Efficiency and effectiveness of operations management, both within the programme and by the participating UN Organizations, including timeliness, quality, reasons for delays and assessment of remedial measures taken if any;
- Effectiveness of strategic decision-making by programme management;
- Realism of annual work-plans;
- Efficiency and effectiveness of monitoring system and internal evaluation processes;
- Elaboration and implementation of an exit strategy;
- Role and effectiveness of institutional set-up, including steering bodies;

### **5.3 Technical Backstopping**

This section will analyse the extent, timeliness and quality of technical backstopping the programme received from involved units in the participating UN Organizations, at all levels (headquarter, regional, sub-regional and country offices).

### **5.4 Government's participation**

This section will analyse government's commitment and support to the programme, in particular:

- Financial and human resources made available for programme operations;
- Uptake of outputs and outcomes through policy or investment for up-scaling.

## **6. Conclusions and Recommendations**

Conclusions need to be substantiated by findings consistent with data collected and methodology, and represent insights into identification and/or solutions of important problems or issues. They may address specific evaluation questions raised in the Terms of Reference and should provide a clear basis for the recommendations which follow.

The Conclusions will synthesise the main findings from the preceding sections: main achievements, major weaknesses and gaps in implementation, factors affecting strengths and weaknesses, prospects for follow-up, any emerging issues. It will consolidate the assessment of various aspects to judge the extent to which the programme has attained, or is expected to attain, its intermediate/specific objectives. Considerations about relevance, costs, implementation strategy and quantity and quality of outputs and outcomes should be brought to bear on the aggregate final assessment.

The section will include an assessment of the three participating UN Organizations role as implementing organizations and the quality of the feedback loop between the programme and the organizations' normative role, namely:

- Actual use by the programme of relevant participating UN Organizations' normative products (databases, publications, methodologies, etc.);
- Actual and potential contribution of programme outputs and outcomes to the participating UN Organizations normative work.

Recommendations should be firmly based on evidence and analysis, be relevant and realistic, with priorities for action made clear. They can tackle strategic, thematic or operational issues. Recommendations concerned with on-going activities should be presented separately from those relating to follow-up once the National Programme is terminated. Each recommendation should each be introduced by the rationale for it; alternatively, it should be referenced to the paragraphs in the report to which it is linked.

Each recommendation should be clearly addressed to the appropriate party(ies), i.e. the Government and the Participating UN Organizations at different levels (headquarter, regional, and national). Responsibilities and the time frame for their implementation should be stated, to the extent possible. Although it is not possible to identify a 'correct' number of recommendations in an evaluation report, the evaluation team should consider that each recommendation must receive a response.

## **7. Lessons Learned**

The evaluation will identify lessons and good practices on substantive, methodological or procedural issues, which could be relevant to the design, implementation and evaluation of similar projects or programmes, especially future UN-REDD activities and programmes in Zambia. Such lessons/practices must have been innovative, demonstrated success, had an impact, and be replicable.

### **Annexes to the evaluation report**

#### **I. Evaluation Terms of Reference**

#### **II. Brief profile of evaluation team members**

#### **III. List of documents reviewed**

#### **IV. List of institutions and stakeholders met during the evaluation process**

The team will decide whether to report the full name and/or the function of the people who were interviewed in this list.

#### **V. List of programme outputs**

This includes training events, meetings, reports/publications, initiatives supported through the programme. It should be prepared by the programme staff, in a format decided by the evaluation team, when details cannot be provided in the main text because too cumbersome.

#### **VI. Evaluation tools**

### Annex 3: Evaluation Consultant Code of Conduct<sup>26</sup> Agreement Form

The form is to be completed by all consultants and included as an annex in the final report.

<p style="text-align: center;"><b>Evaluation Consultant Agreement Form</b></p> <p>Agreement to abide by the Code of Conduct for Evaluation in the UN System</p> <p>Name of Consultant: _____</p> <p><b>I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.</b></p> <p>Signed at (place) on (date)</p> <p>Signature: _____</p>
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### Annex 4: Documents to be consulted

The following list of documents should be consulted by the evaluators at the outset of the evaluation and before finalizing the evaluation design and the inception report:

- UN-REDD Programme Strategy:  
[http://www.unredd.net/index.php?option=com\\_docman&task=doc\\_download&gid=4598&Itemid=53](http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=4598&Itemid=53)
- Zambia Final UN-REDD National Joint Programme
- Final Report of the Strategic Review of the UN-REDD Programme-Zambia Quick-Start Initiative
- Annual and quarterly work plans
- Minutes of the meetings of the Technical Committee meeting and Programme Steering Committee (PSC)
- National REDD+ Strategy of Zambia
- Issues and options report for REDD+ Strategy Development and Implementation
- 
- Technical Paper on the Adequacy of Policy, Legal and Regulatory Instruments for REDD+ Implementation in Zambia
- Technical Paper for Agriculture and NRM Issues and Options for REDD+ Strategy Development and Implementation
- Assessment of previous, ongoing and planned forest management activities with potential for REDD+

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<sup>26</sup> Code of Conduct for Evaluation in the UN System: [www.unevaluation.org/unegcodeofconduct](http://www.unevaluation.org/unegcodeofconduct)

- Assessment of Financing, Incentives and Benefit Sharing Options and Considerations for REDD+
- Engaging Private Sector in REDD+ implementation in Zambia
- Assessment of Institutional Capacities and Capacity Building Needs for REDD+ in Zambia
- Stakeholder Assessment and Engagement Plan
- Communication strategy for REDD+ in Zambia
- Guiding technical document on Zambia's Forest Reference Levels
- Preliminary study of drivers of deforestation in Zambia
- Economic Valuation of forests and ecosystem services
- Detailed study of drivers of deforestation and degradation
- Study of alternative livelihoods and opportunity cost of REDD+ in Zambia
- Forest Management Practices with potential for REDD+ in Zambia
- 
- Legal preparedness for REDD+ in Zambia
- IPCC compliant GHG reporting methodology for Forest Lands in ZambiaDraft web portal and wiki
- Workshop and training reports

## Annex 5: Key stakeholders and partners

The following list of key stakeholders and other individuals should be consulted:

Name	Title / Organisation	Contact information
<b>Zambian Government</b>		
Mr. Ignatius Makumba	Director of Forestry Department	Ignatius Makumba <inmakumba@gmail.com
Mr. David Kaluba	Coordinator, Interim Climate Change Climate Change Secretariat	
Mr. Deutoronomy Kasaro	National REDD+ focal point/Mitigation Specialist	deutkas@yahoo.co.uk
Mr. Davies Kashole	UN-REDD Project Officer, Forestry Department	dkashole@gmail.com
Ms. Maureen Mwale	UN-REDD Project Officer, Forestry Department	<a href="mailto:mwalecm@yahoo.com">mwalecm@yahoo.com</a>
Mr. Abel Siampale	Technical expert from the Forestry Department	abel.m.siampale@gmail.com
Mr. Moses Kaumba	UN-REDD Project Officer	kaumbam@ymail.com
<b>Participating UN Organizations</b>		
Ms. Janet Rogan	UNDP Resident Representative and UN Resident Coordinator	Janet.rogan@one.un.org
Mr. Martim Maya	UNDP Country Director	Martim.maya@undp.org
Winnie Musonda	Assistant Resident Representative and Environment Advisor	Winnie.musonda@undp.org
Elsie G. Attafuah	Senior Regional Technical Advisor, UNDP/UN-REDD and former Technical Advisor for Zambia	Elsie.atafuah@undp.org
Andsone Nsune	M and E Advisor, UNDP	Andsone.nsune@undp.org
Velice Nangavo	Project Officer	Velice.nangavo@undp.org
Mazuba Mwambazi	UN-REDD Administrative Assistant	Mazuba.mwambazi@undp.org
Daniel Pouakouyou	Regional Technical Advisor	Daniel.pouakouyou@unep.org
Thais Narciso	Associate Programme Officer	Thais.narciso@unep.org
Mr. Julian Fox	Former UN-REDD expert and ILUA II CTA in Zambia	Julian.fox@fao.org
Ms. Celestina Lwatula	FAO Programme Assistant	Lwatula, Celestina (FAOZM) <celestina.lwatula@fao.org>
Mr. Philippe Crete	UN-REDD regional advisor for Africa	<a href="mailto:Philippe.crete@fao.org">Philippe.crete@fao.org</a>
Mr. Georges Okech	FAO representative in Zambia	george.okech@fao.org
Ms. Rebecca Tavani	FAO NFI expert supporting ILUA II	Rebecca.Tavani@fao.org
<b>Donor/Bilateral Organizations</b>		



Hans Peter Melby	Head of Co-operation, Royal Norwegian Embassy in Zambia	Hans.peter.melby@mfa.no
Government of Finland	Elizabeth Ndhlovu, Environment Advisor	Elizabeth.ndhlovu@formin.fi
Indira Janaki Ekanayake	Senior Agriculture Economist, Agriculture Global Practice (GFADR), World Bank	iekanayake@worldbank.org
Anna Toness	Office Director, Economic Development, Anna Toness,  And Catherine Tembo, Forest and Climate Change Officer	atoness@usaid.gov  ctembo@usaid.gov
<b>Non-Governmental Organizations/Private Sector</b>		
Zambian Climate Change Network (ZCCN)		
Community Based Natural Resource Management Forum		
Zambian Institute of Environmental Management		
Hassan Sachedina	BioCarbon Partners	hassan@biocarbonpartners.com
Dale Lewis	COMACO	
Misael Kokwe	Natural Resource Consultative Forum/Technical Coordinator of Climate Smart Agriculture Project	<a href="mailto:Misael.kokwe@gmail.com">Misael.kokwe@gmail.com</a>
<b>Research Institutes</b>		
Centre for International Forestry Research (CIFOR)	Dr. Davidson Gumbo, Head of CIFOR, Zambia	d.gumbo@cgiar.org
University of Zambia	Dr. Mick Mwala, Dean of Agriculture, University of Zambia	<a href="mailto:mmwala@yahoo.com">mmwala@yahoo.com</a> ; mmwala@unzaa.zm
Copperbelt University	Dr. Royd Vinya, School of Natural Resources	royd.vinya@gmail.com/ royd.vinya@cbru.ac.zm
Forest Research, Kitwe		
- Centre for Environmental Research, Education and Development (CERED)	Prof. Patrick Matakala	ceredc@gmail.com

## Annex 6: Rating Programme Performance

Criteria		Comments
<b>Agency Coordination and implementation:</b> Highly Satisfactory (HS), Satisfactory (S) Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)		
Overall Quality of Project Implementation	(rate 6 pt. scale)(rate 6 pt. scale)(rate 6 pt. scale)(rate 6 pt. scale)	
<i>Agency coordination</i>	(rate 6 pt. scale)(rate 6 pt. scale)(rate 6 pt. scale)(rate 6 pt. scale)	
<i>Project Supervision</i>	(rate 6 pt. scale)(rate 6 pt. scale)(rate 6 pt. scale)(rate 6 pt. scale)	
<b>Outcomes:</b> Highly Satisfactory (HS), Satisfactory (S) Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)		
Overall Quality of Project Outcomes	(rate 6 pt. scale)(rate 6 pt. scale)(rate 6 pt. scale)(rate 6 pt. scale)	
<i>Relevance:</i> relevant (R) or not relevant (NR)	(rate 2pt. scale)	
<i>Effectiveness</i>	(rate 6 pt. scale)(rate 6 pt. scale)(rate 6 pt. scale)(rate 6 pt. scale)	
<i>Efficiency</i>	(rate 6 pt. scale)(rate 6 pt. scale)(rate 6 pt. scale)(rate 6 pt. scale)	
<b>Sustainability:</b> Likely (L); Moderately Likely (ML); Moderately Unlikely (MU); Unlikely (U).		
Overall likelihood of risks to Sustainability:	(rate 4pt. scale)(rate 4pt. scale)(rate 4pt. scale)(rate 4pt. scale)	
<i>Financial resources</i>	(rate 4pt. scale)	

	scale)(rate 4pt. scale)(rate 4pt. scale)(rate 4pt. scale)	
<i>Socio-economic</i>	(rate 4pt. scale)(rate 4pt. scale)(rate 4pt. scale)(rate 4pt. scale)	
<i>Institutional framework and governance</i>	(rate 4pt. scale)(rate 4pt. scale)(rate 4pt. scale)(rate 4pt. scale)	
<i>Environmental</i>	(rate 4pt. scale)(rate 4pt. scale)(rate 4pt. scale)(rate 4pt. scale)	
<b>Impact:</b> Significant (S), Minimal (M), Negligible (N)		
Environmental Status Improvement	(rate 3 pt. scale)	
Environmental Stress Reduction	(rate 3 pt. scale)	
Progress towards stress/status change	(rate 3 pt. scale)	
<b>Overall Programme Results</b>	(rate 6 pt. scale)	

<b>Ratings for Outcomes, Effectiveness, Efficiency, project implementation:</b> 6: Highly Satisfactory (HS): no shortcomings 5: Satisfactory (S): minor shortcomings 4: Moderately Satisfactory (MS) 3: Moderately Unsatisfactory (MU): significant shortcomings 2: Unsatisfactory (U): major problems 1: Highly Unsatisfactory (HU): severe problems	<b>Sustainability ratings:</b> 4. Likely (L): negligible risks to sustainability 3. Moderately Likely (ML): moderate risks 2. Moderately Unlikely (MU): significant risks 1. Unlikely (U): severe risks	<b>Relevance ratings</b> 2. Relevant (R) 1. Not relevant (NR)  <b>Impact Ratings:</b> 3. Significant (S) 2. Minimal (M) 1. Negligible (N)
<b>Additional ratings where relevant:</b> Not Applicable (N/A) ; Unable to Assess (U/A)		

## Annex 7:

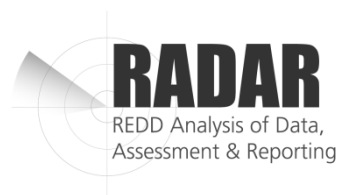
**UN-REDD**  
PROGRAMME



Food and Agriculture  
Organization of the  
United Nations



Empowered lives.  
Resilient nations.



## **Warsaw Framework for REDD+ and Associated UNFCCC Decisions**

### **RAPID ASSESMENT of [COUNTRY]**

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UN-REDD Programme

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October 2015

In accordance with the decision of the Policy Board, hard copies of this document will not be printed to minimize the environmental impact of the UN-REDD Programme processes and contribute to climate neutrality. The UN-REDD Programme's meeting documents are available on the internet at: [www.unredd.net](http://www.unredd.net) or [www.un-redd.org](http://www.un-redd.org).

## Warsaw Framework for REDD+ and Associated UNFCCC Decisions

Following the adoption of the Warsaw Framework for REDD+ (Warsaw Framework) at the UNFCCC COP 19, the UN-REDD Programme has started to align its support to these decisions and has begun tracking country progress in achieving the elements of the Warsaw Framework. This rapid assessment aims to provide insight and to support a thought process into how countries are progressing against the Warsaw Framework elements, namely: 1) a National REDD+ Strategy or Action Plan; 2) a National Forest Reference Emission Level/National Forest Reference Level; 3) a National Forest Monitoring System and 4) Safeguards and Safeguards Information Systems.

Only complete the sections that apply to the priorities identified for the country and mark as N/A any criteria or indicator that does not apply to the context of the country.

1. National REDD+ Strategy / Action Plans				
Supported by (tick as many as applicable) : <input type="checkbox"/> National Programme; <input type="checkbox"/> Targeted Support; <input type="checkbox"/> Other Source (Specify); <input type="checkbox"/> Not Applicable				
Please provide a brief description of the progress being made, if possible separating overall progress from the progress being made with support of the National Programme (100 words): <input type="text"/>				
Indicator		Baseline (Start of NP)	Current Status (End of NP)	Notes
Process	1. Does the country have a National Strategy or Action Plan to achieve REDD+?	Choose an item.	Choose an item.	
Robustness	1.1 The drivers of deforestation and forest degradation and barriers to REDD and REDD+ activities (if relevant) have been established?	Choose an item.	Choose an item.	
	1.2 The underlying drivers (and agents of DD and barriers if relevant) have been analysed in depth for each direct driver?	Choose an item.	Choose an item.	
	1.3 Has the process of establishing drivers and prioritizing them benefited from inputs from civil society and indigenous peoples groups?	Choose an item.	Choose an item.	
	1.4 Has the process of establishing and sequencing drivers benefited from inputs from other sectors (i.e. private sector engagement)?	Choose an item.	Choose an item.	
	1.5 Is the National REDD+ strategy is country driven?	Choose an item.	Choose an item.	
	1.6 Inclusion of land-use planning, land-tenure policy and/or territorial rights issues in the definition of the PAMs have been taken into account?	Choose an item.	Choose an item.	
	1.7 A country approach to safeguards, including Safeguard Information System design, has been developed and is being	Choose an item.	Choose an item.	

	implemented as an integral part of the overall NS/AP process?			
	1.8 Forest governance issues have been taken into account (or are part of the NS).	Choose an item.	Choose an item.	
	1.9 The NS/AP is informed by identified social and environmental benefits and risks of planned REDD+ PAM?	Choose an item.	Choose an item.	
	1.10 Gender considerations have been taken into account?	Choose an item.	Choose an item.	
	1.11 A National Focal Point or National REDD+ entity has been appointed?	Choose an item.	Choose an item.	
	1.12 Regular multi-stakeholder meetings/workshops held?	Choose an item.	Choose an item.	
	1.13 Free, Prior and Informed Consent (FPIC) advanced?	Choose an item.	Choose an item.	
	1.14 Strategic REDD+ options and/or REDD+ activities have been identified?	Choose an item.	Choose an item.	
	1.15 Policies and measures (PAMs) have been clearly identified, and address the priority direct & related underlying drivers?	Choose an item.	Choose an item.	
	1.16 Stakeholder involvement in identifying REDD+ options, policies and measures?	Choose an item.	Choose an item.	
	1.17 Institutional arrangements to plan and implement REDD+ activities established?	Choose an item.	Choose an item.	
	1.18 REDD+ investment options and resource-mobilization strategies developed?	Choose an item.	Choose an item.	
	1.19 A robust and transparent financial mechanism for REDD+ implementation (including RBPs) is in place?	Choose an item.	Choose an item.	
	1.20 The complementary roles of the various levels of government (National, Subnational, Local) and related PAMs have been defined, regardless of decision on scale?	Choose an item.	Choose an item.	
	1.21 A robust Monitoring and Evaluation (M&E) of REDD+ implementation is functional	Choose an item.	Choose an item.	

## 2. Forest Reference Emission Levels (FREL) / Forest Reference Levels (FRL)

Supported by (tick as many as applicable) : ☐ National Programme; ☐ Targeted Support; ☐ Other Source (Specify); ☐ Not Applicable

Please provide a brief description of the progress being made, if possible separating overall progress from the progress being made with support of the National Programme (100 words): [\[input text\]](#)

Indicator		Baseline (Start of NP)	Current Status (End of NP)	Notes
Process	2. Has the country established a FREL/FRL <sup>27</sup> ?	Choose an item.	Choose an item.	
Robustness	2.1 A national forest definition for REDD+ adopted (consistent with GHG-I)	Choose an item.	Choose an item.	
	2.2. Scope of the FREL/FRL defined (one or more of the five REDD+ activities: reducing emissions from deforestation, reducing emissions from forest degradation, conservation of forest carbon stocks, sustainable management of forest, enhancement of forest carbon stocks).	Choose an item.	Choose an item.	
	2.3 Scope of the FREL/FRL defined (one or more of IPCC's five carbon pools: aboveground biomass, belowground biomass, deadwood, litter, soil)?	Choose an item.	Choose an item.	
	2.4 The scale of the FREL/FRL defined (national/subnational)?	Choose an item.	Choose an item.	
	2.5 Time period of the FREL/FRL defined (historic reference point chosen)?	Choose an item.	Choose an item.	
	2.6 FREL/FRL data has been compiled (emission factors and historical activity data)?	Choose an item.	Choose an item.	
	2.7 A methodology for establishing FREL/FRL has been identified?	Choose an item.	Choose an item.	
	2.8 A timeline for submission to the UNFCCC has been established?	Choose an item.	Choose an item.	
	2.9 A plan has been established to update the FREL/FRL periodically?	Choose an item.	Choose an item.	

### 3. National Forest Monitoring Systems (NFMS)

<sup>27</sup> FREL/FRL elements defined or at an advanced stage (scope, scale, forest definition, methodology and data compilation).

Supported by (tick as many as applicable) : ☐ National Programme; ☐ Targeted Support; ☐ Other Source (Specify); ☐ Not Applicable

Please provide a brief description of the progress being made, if possible separating overall progress from the progress being made with support of the National Programme (100 words): [\[input text\]](#)

Indicator		Baseline (Start of NP)	Current Status (End of NP)	Notes
Process	3. Does the country have an NFMS <sup>28</sup> ?	Choose an item.	Choose an item.	
Robustness	3.1 A Land Monitoring System in place to assess activity data?	Choose an item.	Choose an item.	
	3.2 Ground-based information to determine Emission Factors available?	Choose an item.	Choose an item.	
	3.3 National GHG Inventory in place (in particular for LULUCF sector)?	Choose an item.	Choose an item.	
	3.4 Information produced by the NFMS transparent and made available to stakeholders?	Choose an item.	Choose an item.	
	3.5 The NFMS is supported by institutional arrangements at national level?	Choose an item.	Choose an item.	

#### 4. Safeguards and the Safeguard Information System

Supported by (tick as many as applicable) : ☐ National Programme; ☐ Targeted Support; ☐ Other Source (Specify); ☐ Not Applicable

Please provide a brief description of the progress being made, if possible separating overall progress from the progress being made with support of the National Programme (100 words): [\[input text\]](#)

Indicator		Baseline (Start of NP)	Current Status (End of NP)	Notes
Process	4. Does the country have a Safeguard Information System that provides information on how the Cancun safeguards are being addressed <i>and</i> respected throughout implementation of REDD+ actions?	Choose an item.	Choose an item.	

<sup>28</sup> NFMS elements at an advanced stage (satellite land monitoring system, national forest inventory, greenhouse gas inventory).



Robustness	4.1 Each safeguard is clarified in accordance with national circumstances	Choose an item.	Choose an item.	
	4.2 Institutional arrangements for each identified function of the Safeguard Information System have been determined and agreed?	Choose an item.	Choose an item.	
	4.3 The Safeguard Information System provides transparent and consistent information that is accessible by all relevant stakeholders?	Choose an item.	Choose an item.	
	4.4 The Safeguard Information System is flexible enough to allow for improvements over time?	Choose an item.	Choose an item.	

The Evaluation Team should consist of two evaluators, including one team leader. The Team Leader must have sound evaluation experience. The Team Leader will lead, organize, and supervise the work of the evaluation team, ensuring a division of labour 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 evaluation report, and is ultimately accountable for its quality. The evaluation team should comprise the best available mix of skills that are required to assess the Zambia UN-REDD National Programme, and ideally include in-depth knowledge of the National Programme country, good technical understanding of REDD+, as well as competence and skills in evaluation. To the extent possible the Evaluation Team will be balanced in terms of geographical and gender representation to ensure diversity and complementarity of perspectives.

The Evaluation Team members shall have had no previous direct involvement in the formulation, implementation or backstopping of the National Programme, and have no future engagement with the UN-REDD programme or the operational units, in Zambia or within the participating UN agencies, involved in UN-REDD. All members of the Evaluation Team will sign the Evaluation Consultant Code of Conduct<sup>29</sup> Agreement Form (Annex 3).

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<sup>29</sup> UNEG Code of Conduct for Evaluation in the UN system: [www.unevaluation.org/unegecodeofconduct](http://www.unevaluation.org/unegecodeofconduct)

The Evaluation Team is responsible for conducting the evaluation as described in the overall TORs of the evaluation, and applying the approach and methods they will propose in the inception report. All team members, including the Team Leader, will participate in briefing and debriefing meetings, discussions, field visits, and will contribute to the evaluation with written inputs and oral presentations. The Evaluation Team shall collaborate on a single document for each of the three main deliverables (inception report, preliminary findings report and main report), while the Team Leader is responsible for coordinating the inputs and ensuring all deadlines are met.

Competencies:

- Independent from the UN-REDD Programme and the participating UN Organizations, FAO, UNDP and UNEP.
- The evaluation team should comprise the best available mix of skills that are required to assess the National Programme, including:
  - 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;
  - Good technical understanding of REDD+; Preferably in-depth knowledge of Zambia and how REDD+ fits in with that;
  -
- Demonstrate experience from evaluations of similar types of programmes, using a Theory of Change approach to evaluation or demonstrated strong knowledge of Monitoring and Review methods for development projects.
- Excellent writing and editing skills.
- Attention to detail and respect for timelines.

Qualification requirements for both consultants:

- Advanced university degree in social science, development studies, forestry, environment and natural resources or relevant field.
- Minimum 12 (team leader)/7 (team member) years of professional experience is required, longer professional experience is an advantage, including proven experience from developing countries.
- Fluency in English language, both written and spoken is a requirement. Knowledge of local language would be a distinctive advantage. Familiarity with project implementation in complex multi donor-funded projects.

Deliverables:

- An inception report prepared;
- A preliminary findings report prepared and presented it at the end of the mission to programme stakeholders;
- A consolidated draft report that meets the quality requirements of the evaluation departments of the three participating UN agencies produced. The team leader is responsible for consolidating the report;
- A response to comments received from stakeholders on the draft report prepared;
- A consolidated final report produced. The team leader is responsible for consolidating the report.

Application:

Total days: 65 days

The work shall be completed in accordance with the below time schedule:

Activity	Consultant One (Team Leader)	Consultant Two	Dates
Preparation of inception report outlining consultants understanding of key tasks as well as a work plan for the implementation of activities	3 days	3 days	By 31 <sup>st</sup> March
Desk review, evaluation mission, stakeholder meetings, draft evaluation report	20 days	22days	By May 2016
Draft final report, which has been approved and accepted	9 days	7 days	By July 2016
Total	32 days	32 days	

Schedule of Payment:

Deliverables	Percentage payment to Consultant One (Team leader):	Percentage payment to Consultant Two:
An acceptable and satisfactory inception report	20%	20%
A draft evaluation report	30%	30%
Submission and approval of the final evaluation report, which incorporates comments and recommendations from Government, UN and key stakeholders	50%	50%

## *Annex 2: Annotated UN-REDD National Programme evaluation report outline*

The Evaluation Team can modify the structure of the report outline below, as long as the key contents are maintained in the report and the flow of information and analysis is coherent and clear. The length of the UN-REDD National Programme final evaluation report should be 15-18,000 words, excluding executive summary and annexes.

### **Acknowledgements**

Insert acknowledgements.

### **Composition of the Evaluation Team**

Insert description of the composition of the Evaluation Team.

### **Table of Contents**

Insert Table of Contents.

### **Acronyms**

When an abbreviation is used for the first time in the text, it should be explained in full; it will be included in the list of acronyms when it is used repeatedly within the report.

### **Executive Summary**

The Executive Summary should:

- Be in length approximately 10-15% of the main report, excluding annexes;
- Provide key information on the evaluation process and methodology;
- Illustrate key findings and conclusions;
- List all recommendations: this will facilitate the drafting of the Management Response to the evaluation.

## **1. Introduction**

### **1.1 Background and purposes of the evaluation**

This section will include:

- The purpose of the evaluation, as stated in the Terms of Reference;
- National Programme title, starting and closing dates, initial and current total budget;
- Dates of implementation of the evaluation.

It will also mention that Annex I of the evaluation report is the evaluation Terms of Reference.

### **1.2 Methodology of the evaluation**

This section will comprise a description of the methodology and tools used and evaluation criteria that were applied by the evaluation. This should also note any limitations incurred in applying the methodology by the evaluation team.

## **2. Context of the National Programme**

This section will include a description of the developmental context relevant to the National Programme including major challenges in the area of the intervention, political and legislative issues, etc. It will also describe the process by which the programme was identified and developed and cite other related and bilateral interventions if relevant.

### **3. Concept and relevance**

#### **3.1 Design**

National Programmes are built on assumptions on how and why they are supposed to achieve the agreed objectives through the selected strategy; this set of assumptions constitutes the programme theory or 'theory of change' and can be explicit (e.g. in a logical framework matrix) or implicit in a programme document.

This section will include a diagram and short description of the programme theory of change, including its results chains from outputs to impact, impact drivers and assumptions and will analyse critically:

- The appropriateness of stated development goals and outcomes (immediate objectives);
- The causal relationship between outputs, outcomes (immediate objectives) and impact (development objectives);
- The extent to which drivers for change have been recognized and supported by the programme;
- The relevance and appropriateness of indicators;
- The validity of assumptions and risks.

This section will also critically assess:

- The programme's institutional set-up and management arrangements;
- The adequacy of the time-frame for implementation;
- The adequacy of resources from all parties and appropriateness of budget allocations to achieve intended results;
- The adequacy of the methodology of implementation to achieve intended results;
- The quality of the stakeholders' and beneficiaries identification.

#### **3.2 Relevance**

This section will analyse the extent to which the National Programme's objectives and strategy were consistent with country's expressed requirements and policies, with beneficiaries' needs, and other programmes, at the time of approval and at the time of the evaluation.

There will also be an analysis of the degree to which the programme corresponds to priorities in the UN-REDD Programme Strategy.

### **4. Results and contribution to stated objectives**

#### **4.1 Outputs and outcomes**

This section will critically analyse the National Programme outputs: ideally, the evaluation team should directly assess all of these, but this is not always feasible due to time and resources constraints. Thus, the detailed analysis should be done on a representative sample of outputs that were assessed directly, while a complete list of outputs prepared by the programme team

should be included as annex. If appropriate, the section will also include an analysis of gaps and delays and their causes and consequences.

Further, the section will critically analyse to what extent expected outcomes (specific/immediate objectives) were achieved. It will also identify and analyse the main factors influencing their achievement and the contributions of the various stakeholders to them.

#### **4.2 Gender issues**

This section will analyse if and how the programme mainstreamed gender issues. The assessment will cover:

- Analysis of how gender issues were reflected in objectives, design, identification of beneficiaries and implementation;
- Analysis of how gender relations and equality and processes of women's inclusion were and are likely to be affected by the initiative;
- Extent to which gender issues were taken into account in programme management.

#### **4.3 Capacity development**

The evaluation will assess:

- The extent and quality of programme work in capacity development of beneficiaries;
- The perspectives for institutional uptake and mainstreaming of the newly acquired capacities, or diffusion beyond the beneficiaries or the programme.

#### **4.4 Sustainability**

This section will assess the prospects for long-term use of outputs and outcomes, from an institutional, social, technical and economic perspective. If applicable, there will also be an analysis of environmental sustainability (maintenance and/or regeneration of the natural resource base).

#### **4.5 Impact**

This section will assess the current and foreseeable positive and negative impacts produced as a result of the programme, directly or indirectly, intended or unintended. It will assess the actual or potential contribution of the programme to the planned development objective and to UN-REDD strategic objectives, described in the UN-REDD Programme Strategy 2011-2015.

### **5. Implementation**

#### **5.1 Budget and Expenditure**

This section will contain the analysis of the National Programme financial resources and management, including:

- Efficiency in production of outputs;
- Coherence and soundness of Budget Revisions in matching implementation needs and programme objectives; and
- Assessment of rate of delivery and budget balance at the time of the evaluation, compared to the initial plan.

#### **5.2 Programme Management**

This section will analyse the performance of the management function, including:

- Efficiency and effectiveness of operations management, both within the programme and by the participating UN Organizations, including timeliness, quality, reasons for delays and assessment of remedial measures taken if any;
- Effectiveness of strategic decision-making by programme management;
- Realism of annual work-plans;
- Efficiency and effectiveness of monitoring system and internal evaluation processes;
- Elaboration and implementation of an exit strategy;
- Role and effectiveness of institutional set-up, including steering bodies;

### **5.3 Technical Backstopping**

This section will analyse the extent, timeliness and quality of technical backstopping the programme received from involved units in the participating UN Organizations, at all levels (headquarter, regional, sub-regional and country offices).

### **5.4 Government's participation**

This section will analyse government's commitment and support to the programme, in particular:

- Financial and human resources made available for programme operations;
- Uptake of outputs and outcomes through policy or investment for up-scaling.

## **6. Conclusions and Recommendations**

Conclusions need to be substantiated by findings consistent with data collected and methodology, and represent insights into identification and/or solutions of important problems or issues. They may address specific evaluation questions raised in the Terms of Reference and should provide a clear basis for the recommendations which follow.

The Conclusions will synthesise the main findings from the preceding sections: main achievements, major weaknesses and gaps in implementation, factors affecting strengths and weaknesses, prospects for follow-up, any emerging issues. It will consolidate the assessment of various aspects to judge the extent to which the programme has attained, or is expected to attain, its intermediate/specific objectives. Considerations about relevance, costs, implementation strategy and quantity and quality of outputs and outcomes should be brought to bear on the aggregate final assessment.

The section will include an assessment of the three participating UN Organizations role as implementing organizations and the quality of the feedback loop between the programme and the organizations' normative role, namely:

- Actual use by the programme of relevant participating UN Organizations' normative products (databases, publications, methodologies, etc.);
- Actual and potential contribution of programme outputs and outcomes to the participating UN Organizations normative work.

Recommendations should be firmly based on evidence and analysis, be relevant and realistic, with priorities for action made clear. They can tackle strategic, thematic or operational issues. Recommendations concerned with on-going activities should be presented separately from those relating to follow-up once the National Programme is terminated. Each recommendation should each be introduced by the rationale for it; alternatively, it should be referenced to the paragraphs in the report to which it is linked.

Each recommendation should be clearly addressed to the appropriate party(ies), i.e. the Government and the Participating UN Organizations at different levels (headquarter, regional, and national). Responsibilities and the time frame for their implementation should be stated, to the extent possible. Although it is not possible to identify a 'correct' number of recommendations in an evaluation report, the evaluation team should consider that each recommendation must receive a response.

## **7. Lessons Learned**

The evaluation will identify lessons and good practices on substantive, methodological or procedural issues, which could be relevant to the design, implementation and evaluation of similar projects or programmes, especially future UN-REDD activities and programmes in Zambia. Such lessons/practices must have been innovative, demonstrated success, had an impact, and be replicable.

### **Annexes to the evaluation report**

#### **I. Evaluation Terms of Reference**

#### **II. Brief profile of evaluation team members**

#### **III. List of documents reviewed**

#### **IV. List of institutions and stakeholders met during the evaluation process**

The team will decide whether to report the full name and/or the function of the people who were interviewed in this list.

#### **V. List of programme outputs**

This includes training events, meetings, reports/publications, initiatives supported through the programme. It should be prepared by the programme staff, in a format decided by the evaluation team, when details cannot be provided in the main text because too cumbersome.

#### **VI. Evaluation tools**



### *Annex 3: Evaluation Consultant Code of Conduct Agreement Form*

The form is to be completed by all consultants and included as an annex in the final report.

Evaluation Consultant Agreement Form

Agreement to abide by the Code of Conduct for Evaluation in the UN System

Name of Consultant: \_\_\_\_\_

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed at (place) on (date)

Signature: \_\_\_\_\_

### *Annex 4: Basic documents to be consulted*

The following list of basic documents should, as a minimum, be consulted by the evaluators at the outset of the evaluation and before finalizing the evaluation design and the inception report:

- UN-REDD Programme Strategy:  
[http://www.unredd.net/index.php?option=com\\_docman&task=doc\\_download&gid=4598&Itemid=53](http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=4598&Itemid=53)
- Zambia Final UN-REDD National Joint Programme
- Final report of the Mid-Term Review of the Zambia UN-REDD National Programme
- Annual and quarterly work plans
- Minutes of the meetings of the Programme Executive Board Meetings
- Minutes of the REDD+ Taskforce, Consultation Group, and Gender Group meetings
- UN-REDD Roadmap
- UN-REDD Inception Report
- Annual Reports 2011 to 2014

## Annex 5: Key stakeholders and partners

[To be completed]

## Annex 6: Rating Programme Performance

The evaluation will provide individual ratings for the evaluation criteria described in section 2.C of these TOR.

All criteria will be rated on a six-point scale as follows: Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU). Sustainability is rated from Highly Likely (HL) down to Highly Unlikely (HU).

An aggregated rating (on a six-point scale) will be provided for Concept and relevance, Results and Contribution to stated objectives, and Overall Project Performance. These ratings are not the average of the ratings of sub-criteria but should be based on sound weighting of the sub-criteria by the Evaluation Team. All ratings should use letters (not numbers).

In the conclusions section of the report, ratings will be presented together in a table, with a brief justification cross-referenced to the findings in the main body of the report.

Criterion	Rating	Summary assessment
<b>Concept and relevance of the NP</b>		
Design		
Relevance		
<b>Results and contribution to stated objectives</b>		
Delivery of Outputs		
Effectiveness		
Efficiency		
Cross-cutting issues:		
Gender		
Capacity Development		
Normative Products		
Sustainability		
Up-scaling		
Likelihood of Impact		
<b>Factors affecting performance</b>		
Programme Management and Coordination		
Human and Financial Resources Administration		
Technical Backstopping and Supervision		
Government participation and ownership		
Monitoring, reporting and evaluation		
<b>Overall Programme Performance</b>		



## *Annex 7: Rating Programme Performance*

**Mr Nelson Gapare (International Consultant/Team Leader).** Nelson holds an M.B.A. from Massey University, New Zealand (2006), a Postgraduate Diploma in Resource Studies from Lincoln University, New Zealand (1999) and a Diploma in Forestry Management from the Zimbabwe College of Forestry (1993).

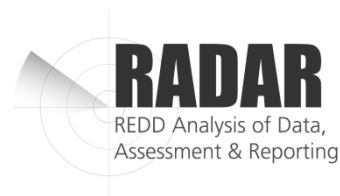
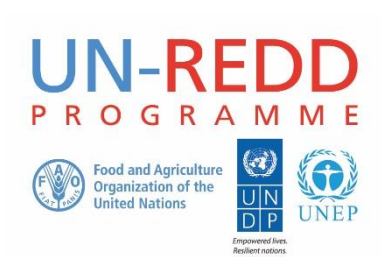
Nelson has worked in the Climate Change, Environmental Management, mapping and Geospatial Technology industry since 1991. His background includes 5 years in Forestry Research in Africa; six years with a State Owned Enterprise in New Zealand focusing on Forestry, Biosecurity, and Climate change; four years with the New Zealand Ministry for the Environment and five years with Indufor working with international governments and private sector on forestry, climate change, REDD+ and MRV design projects. With SNV Laos, Nelson is responsible for the oversight of multiple international REDD+ projects in South East Asia including LEAF, ENRICH, MBREDD, ADB Capacity Building for REDD+.

Nelson had broad experience in climate change, greenhouse gas inventory reporting for the LULUCF sector, environmental management policy, and geospatial technology supplemented by a broad understanding of the UNFCCC and international negotiations and opportunities for REDD+. Nelson has extensive experience in national REDD+ Programs with experience in Laos, Vietnam, Zambia, Tanzania, Guyana, and Zimbabwe.

Previously, Nelson was involved in the development of the Vegetation Resource Information System during his 5 years with the Forestry Commission of Zimbabwe. He has also undertaken forestry projects in DR Congo, South Africa, Tanzania, Kenya, and Zimbabwe. Nelson has also worked in management roles for two central government agencies that lead New Zealand's climate change response strategy - The Ministry of Primary Industry and Ministry for the Environment where he led the design and implementation of the New Zealand Land Use and Carbon Analysis System

**Mr Chiselebwe Ng'andwe (Local Consultant).** Mr Ng'andwe is

## *Annex 8: Warsaw Framework*



## **Warsaw Framework for REDD+ and Associated UNFCCC Decisions**

## **RAPID ASSESMENT of Zambia**

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UN-REDD Programme

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September 2016

## Warsaw Framework for REDD+ and Associated UNFCCC Decisions

For the purpose of this evaluation, this section aims to provide insights and to support a thought process into how Zambia progressing against the framework of the convention, namely: 1) a National REDD+ Strategy or Action Plan; 2) a Safeguards and Safeguards Information System; 3) a National Forest Reference Emission Level/National Forest Reference Level; and 4) a National Forest Monitoring System. This section does not constitute a legal and formal assessment under any international agreement but rather gives an indication for assessing gaps towards REDD+ readiness and opportunity for prioritization.

### National Strategy or Action Plan

Supported by (select all that apply and provide name of other source): <input checked="" type="checkbox"/> National Programme; <input type="checkbox"/> Targeted Support; <input type="checkbox"/> Other Source; <input type="checkbox"/> Not Applicable
Please provide a brief description of the progress being made in developing a National REDD+ Strategy or Action Plan (NS/AP) as well as the source of the support provided in this regard (100 words): REDD+ strategy provides the overall vision, measures and actions to address deforestation and forest degradation in Zambia, thereby demonstrating Zambia's global and national commitments to promote REDD+. The strategy seeks to realize a prosperous climate change resilient economy by 2030, anchored upon sustainable management and utilization of Zambia's natural resources towards improved livelihoods. Its goal is to contribute to national reductions in greenhouse gas emissions by improving forest and land management, and ensure equitable sharing of both carbon and non-carbon benefits among stakeholders. The strategy is guided by seven core principles: effectiveness, efficiency, fairness, transparency, accountability, inclusiveness and sustainability

Indicator	✓	Qualifier (select all that apply)	Please provide a short narrative describing the reason for selection as well as means/source of verification
Does the country have a National Strategy or Action Plan (NS/AP) to achieve REDD+?		Not yet initiated	<p>The REDD+ Strategy is completed noted that poverty and population increase were two principal underlying causes of deforestation and forest degradation in Zambia as the rural population rely heavily on forests for their sustenance and informal economic activities such as charcoal production and sale.</p> <p>The NRS outlines 10 Strategic Objectives and a suite of indicators. Plans for preparing a REDD+ Action Plan is underway</p>
		Under design	
		Drafted, under deliberation	
	✓	Adopted	
		Link to the NS/AP provided on the UNFCCC REDD+ Web Platform Info Hub	
		Implementation in early stages	

		Full implementation of NS/AP	
Degree of completeness of national REDD+ strategies and/or action plans.	✓	The NS/AP identifies, assesses and prioritizes the direct and underlying drivers of deforestation and forest degradation, as well as the barriers to the "plus" (+) <sup>30</sup> activities on the basis of robust analyses.	Yes, comprehensive and detailed studies of underlying agents and driver of deforestation (i.e. economic, social, governance, political, fiscal, and technological)
		The NS/AP proposes a coherent and coordinated set of policies and measures (PAMs) for REDD+ that are proportionate to the drivers & barriers, results-oriented and feasible.	
		The NS/AP relates to the scope and scale of the FREL/FRL, taking into account national circumstances.	
	✓	The NS/AP defines the institutional arrangements for REDD+ implementation, including governance measures, participatory oversight and inter-sectoral coordination.	Considers multi-sectoral approach in the relevant institutions and organisations. The REDD+ programme has brought stakeholders both at national and sub-national level on one platform. Collaborative and joint planning has been endeavoured and the use of existing government structures such as the Provincial Development Coordinating Committee (PDCCs) and the District Development Coordinating Committee (DDCCs). A conducive environment for the implementation of REDD+ has been created through the supportive forestry legislation (Approved Forestry Policy and Bill). Therefore, the participation of the stakeholders has been widened
Degree to which the NS/AP incorporates principles of social inclusion and gender equality.		The NS/AP is developed through a multi-stakeholder, gender-responsive and participatory consultation and dialogue process.	
	✓	The proposed policies and measures for REDD+ integrate gender-responsive actions.	The NRS does highlight the critical importance of gender sensitive policies with particular respect to REDD+.
		The proposed policies and measures for REDD+ consider the realization of land and resource tenure rights (when relevant), as well as the development priorities of indigenous peoples and local communities as well as their development priorities.	

<sup>30</sup> Plus (+) activities within the context of REDD+ refer to conservation of forest carbon stocks, sustainable management of forests and enhancement of forest carbon stocks



Degree of anchoring of the NS/AP in the national development policy and institutional fabric.		There is effective inter-ministerial coordination for REDD+ action.	
	✓	Endorsement of the NS/AP has been obtained at a high political level, beyond the agency or ministry that led the REDD+ readiness process.	The NRS has received high-level political support following broad consultation on the under the leadership of the Vice-President. It is noted that the government has encouraged the use of existing Institutional Arrangements to facilitate REDD+ processes and continued reformulating institutions to hopefully increase coordination. A key example is the formation of the Inter-Ministerial Climate Change Secretariat (IICCS), which aims to provide a coordination role to ensure harmonized approach to addressing climate change. The setting up of the Climate Change Secretariat is viewed as a major achievement for ensuring cross-sectoral collaboration and harmonization of policies on climate change across sectors. The technical discussions on the REDD+ Strategy and the high-level dialogue on the strategy are being facilitated through the IICCS institutional framework. Thi is likely to result in the inclusion of significant climate change response actions (both adaptation, mitigation, REDD+ in the 7th National Development Plan.
		REDD+ actions or targets are embedded in the national plan or policy for sustainable development.	
		There is evidence that ministries/agencies outside the forest and environment sectors are committed to implementing REDD+ policies and measures.	
		Financing arrangements to start implementing the NS/AP (or to channel results-based finance) are designed.	

## Social and Environmental Safeguards and Safeguards Information System

Supported by (select all that apply and provide name of other source): <input checked="" type="checkbox"/> National Programme; <input type="checkbox"/> Targeted Support; <input type="checkbox"/> Other Source; <input type="checkbox"/> Not Applicable
Please provide a brief description of the progress being made in developing a Safeguard Information System (SIS) as well as the source of the support provided in this regard (100 words):

Indicator	✓	Descriptor (select all that apply)	Please provide a short narrative describing the reason for selection as well as means/source of verification.
Does the country have a Safeguard Information System (SIS) that provides information on how the Cancun safeguards are being addressed and respected throughout implementation of REDD+ actions?		No	A country approach to safeguards is outlined in the NRS. As part of this, a technical report on the assessment of Policies, Legal and Regulatory Frameworks for REDD+ implementation was commissioned. The approach for SIS is outlined in NRS and expected to be rooted in Zambia's existing legal framework (national policies, laws and regulations that define and regulate the effective implementation of the safeguards), the country's institutional framework (existing procedures for implementing and enforcing the legal framework), and a framework for assessing progress against the implementation of the safeguards.
	✓	SIS objectives determined	
	✓	Safeguard information needs and structure determined.	
		Existing information systems and sources assessed.	
		The SIS is designed, building on existing, together with any novel, information systems and sources clearly articulated in a national government-endorsed document.	
		The SIS is functional, building on existing, together with any novel, information systems and sources that are clearly articulated in a national government-endorsed document.	
		Summary of information on REDD+ safeguards, informed by the SIS, has been submitted to UNFCCC.	
Degree of completeness of the design of a country approach to address the social and environmental safeguards for REDD+		Aligns with the NS/AP, covering the social and environmental benefits and risks of the policies & measures for REDD+ being considered by the countries.	
		Defines specific policies, laws and regulations (PLRs), as well as other measures, to address the identified benefits and risks.	
		Have institutional arrangements and/or capacities to implement those PLRs and to monitor the REDD+ safeguards.	
		Transparently provides information on how safeguards are respected and addressed.	

## Forest Reference Emission Level / Forest Reference Level

Supported by (select all that apply and provide name of other source): <input checked="" type="checkbox"/> National Programme; <input type="checkbox"/> Targeted Support; <input type="checkbox"/> Other Source; <input type="checkbox"/> Not Applicable
Please provide a brief description of the progress being made in developing a Forest Reference Emission Level / Forest Reference Level (FREL/FRL) as well as the source of the support provided in this regard (100 words): Zambia has submitted a REL to the UNFCCC based on adopting a "stepwise" approach to the development of its FREL, according to Decision 12/CP.17, and intends to make improvements over time by incorporating enhanced information, improved methodologies and additional carbon pools and activities.

Indicator	✓	Descriptor (select all that apply)	Please provide a short narrative describing the reason for selection as well as means/source of verification
Has the country established a FREL/FRL?		Not yet initiated	Zambia submitted its FREL to the UNFCC in January 2016
		Capacity building phase	
		Preliminary construction phase	
		Advanced <sup>31</sup> construction phase	
		Submission drafted	
	✓	Submitted to the UNFCCC	
Robustness of FREL/FRL submissions		Submission is transparent, complete, consistent and as much as possible accurate and allows reconstruction of the submitted FREL/FRL.	
		Includes pools and gases, and REDD+ activities (Scope) and justification for omitting significant pools and/or activities.	
	✓	Justifies where the submission is inconsistent with previous versions of GHG inventory.	Zambia's FREL includes gross deforestation only, above ground biomass (ABG), below ground biomass (BGB), and standing/lying dead wood (DW). These pools are selected because quality data have been collected on through ground surveys as part of the National Forest Inventory (NFI) and, importantly,

<sup>31</sup> FREL/FRL elements defined or at an advanced stage (scope, scale, forest definition, methodology and data compilation).

			they are considered to represent the most significant pools
		Includes details of the forest definition used and national circumstances.	
		Defines the geographic area covered by FREL/FRL (scale).	Yes

## National Forest Monitoring System

Supported by (select all that apply and provide name of other source): <input checked="" type="checkbox"/> National Programme; <input type="checkbox"/> Targeted Support; <input type="checkbox"/> Other Source; <input type="checkbox"/> Not Applicable
Please provide a brief description of the progress being made in developing a National Forest Monitoring System (NFMS) as well as the source of the support provided in this regard (100 words): The GRZ has made progress in establishing its NFMS with significant work already completed on the Integrated Land Use Assessment phase II (ILUA II) as well as forest inventory measurements in all 10 provinces.

Indicator	✓	Descriptor (select all that apply)	Please provide a short narrative describing the reason for selection as well as means of verification
Has the country established a NFMS?		No	The development of the NFMS in Zambia is closely aligned with the Zambian National Forest Inventory (NFI), the Integrated Land Use Assessment phase II (ILUA II). ILUA II is implemented through the Forestry Department
		NFMS capacity building phase	
		Preliminary construction phase	
	✓	Advanced <sup>32</sup> construction phase	
		NFMS generating preliminary information for monitoring and MRV	
		NFMS institutionalized and generating REDD+ monitoring and MRV (satellite land monitoring system, national forest inventory, greenhouse gas inventory)	
Degree of completeness of the NFMS in UN-REDD supported countries	✓	NFMS includes a Satellite Land Monitoring System (SLMS)	<p>The GRZ has developed a Web Portal which incorporates the NFMS and a REDD+ Wiki/Database. Work continues in developing a decentralized NFMS with 10 provincial forest monitoring laboratories established with some geospatial infrastructure to support forest monitoring field activities and mapping.</p> <p>Land cover mapping for 1990, 2000, 2010 was completed as well as Forest Inventories in all the 10 Provinces and form the basis for FREL/FRL submitted to the UNFCCC in early 2016. A roadmap for FREL/FREL construction was been developed. A continuous</p>

<sup>32</sup> NFMS elements at an advanced stage (satellite land monitoring system, national forest inventory, greenhouse gas inventory).

			improvement process is in place for the land use and land cover maps.
		NFMS includes a National Forest Inventory (NFI)	
		NFMS includes a National GHG Inventory (GHGi)	
		The NFMS is suitable for estimating anthropogenic forest-related greenhouse gas emissions by sources, and removals by sinks, forest carbon stocks, and forest-area changes resulting from the implementation of REDD+ activities;	
		The NFMS is consistent with Intergovernmental Panel on Climate Change (IPCC) guidance and guidelines;	
		The NFMS enables the assessment of different types of forest in the country, including natural forest.	

## Annex 9: Consultants Evaluation Agreements

Evaluation Consultant Agreement Form

Agreement to abide by the Code of Conduct for Evaluation in the UN System

Name of Consultant:     **Nelson Gapare**    

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed at (Madrid) on (05/09/2016)

Signature:         

Evaluation Consultant Agreement Form

Agreement to abide by the Code of Conduct for Evaluation in the UN System

Name of Consultant:     **Chiselebwe Ng'andwe**    

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed at (Lusaka) on (05/09/2016)

Signature:     C. Ng'andwe