



TERMS OF REFERENCE

for a National NGO/entity to co-implement the Participatory Governance Assessment for REDD+

1) GENERAL BACKGROUND

Reducing Emissions from Deforestation and Forest Degradation + (REDD+)

Reducing emissions from deforestation and forest degradation (REDD) is a mechanism designed under the United Nations Framework Convention on Climate Change (UNFCCC) to enhance the role of forests in curbing climate change (UNFCCC 2007). The UNFCCC and its bodies have expanded REDD to include forest conservation and human activities that increase carbon stocks, REDD+ (UNFCCC 2007, 2009). REDD+ has the potential to alter the incentives for deforestation and land use change and instead to encourage sustainable forest management.

REDD+ will take shape in three principal phases. During the readiness phase, countries build the institutional and policy framework. During the implementation phase, national strategies and measures are put into place. In the final stage, performance-based payments are made for carbon emission reductions that have been achieved¹.

REDD+ planning in Viet Nam

Since the 2007 Climate Change Conference in Bali recognized forest's contribution to climate change mitigation and formally agreed to incorporate the REDD+ initiative into the post-2012 negotiations, the Government of Viet Nam (GoV) has been moving rapidly to formulate and implement a REDD+ framework program for the country. Climate change as received in increasing political interest and support. In December 2008, the National Target Programme (NTP) to Respond to Climate Change was approved by the Prime Minister. The NTP aims to assess the impact of climate change on Viet Nam, identifying measures to combat climate change, strengthen the capacities of organizations involved in responding to climate change as well as lay out how Viet Nam will join the international community's efforts in fighting climate change.

The Action Plan Framework (APF) for Adaptation to Climate Change for 2008-2020 was launched by Ministry of Agricultural and Rural Development (MARD) simultaneously with the NTP. The APF included a five-year action plan and established a MARD steering group

¹ UN-REDD, www.un-redd.org

on climate change and mitigation to lead the development of a REDD+ strategy². In 2012 MARD issued Decision 3119 which states that the forestry sector will contribute to the overall 20 % reduction of Green House Gases (GHG) within the agriculture and rural development sector within 2020. 27 June 2012 the Prime Minister approved Viet Nam's REDD+ strategy, which has been labeled the National REDD+ Action Programme (NRAP)³. The NRAP outlines the institutional structure and legal frameworks to handle REDD+ activities.

Within this existing and forthcoming policy framework, the Viet Nam Administration of Forestry (VNFOREST) in the Ministry of Agriculture and Rural Development (MARD) is the lead agency with responsibility to develop and implement policies and programmes relevant to REDD+, in particular through the Viet Nam REDD+ Office. It is responsible for coordinating international assistance and developing the NRAP.

REDD+ activities in Viet Nam

Viet Nam was one of the first countries identified for country programming under the UN-REDD Global Programme, and also received approval for a Readiness Project Identification Note (R-PIN) under the World Bank's Forest Carbon Partnership Facility (FCPF) very early.

The long-term objective of the UN-REDD Viet Nam Programme is to assist the Government of Viet Nam in developing an effective REDD+ regime and to contribute to reduction of regional greenhouse gas emissions. As the first phase of the UN-REDD Viet Nam Programme ended in June 2012, a proposal for a second phase of the UN-REDD Programme is being prepared. If approved by the Prime Minister and necessary funding is secured, the proposal will look to expand piloting of REDD+ in six provinces and also start piloting delivery of positive incentives to beneficiaries for carbon sequestration activities.

Participatory Governance Assessment

The Participatory Governance Assessment (PGA) is an approach that aims to identify and develop governance indicators that are relevant to REDD+, and measurable over a period of time. The process required to establish indicators emphasizes consultation with both government and civil society as joint developers and owners of the process. The difference between a PGA and other more externally driven assessments is that it is fully initiated, implemented, and sustained by national, rather than international actors. By ensuring the inclusion and participation of all key stakeholders in the design, choice of methodology, selection of the framework to be measured, the data that is generated is likely to have more legitimacy, as well as relevance. The information that is then developed based on the analysis of the available data provides a strong input and evidence for policy-making. Information produced by the assessment reflects and addresses citizens' concerns, and at the same time, provides a baseline for planning, monitoring and evaluation. In the case of REDD+, it is expected that the key issues of

² REDD Viet Nam. <http://vietnam.redd.org/Web/Default.aspx?tab=intro&zoneid=106&lang=en-US>

³ REDD Viet Nam, <http://vietnam-redd.org/Web/Default.aspx?tab=newsdetail&zoneid=107&subzone=157&itemid=534&lang=en-US>

concern of forest dependent communities in Viet Nam will be reflected in the assessment framework. The existing discussions around the Social and Environmental Safeguards will be considered as important inputs and criteria to take into account during the establishment of indicators. The information generated by the PGA could also feed into the process of developing a safeguards information system.

2) OBJECTIVES OF THE ASSIGNMENT

The main objective of this initiative is to facilitate and implement a preparatory phase of the Participatory Governance Assessment in the context of REDD+ in Viet Nam according to a work plan that was endorsed by all stakeholders at a kick-off workshop for the PGA in Hanoi 6 March 2012. The PGA pilot will be implemented in Lam Dong Province⁴. The funding for the PGA will come from UNDP through the UN-REDD Global Programme. If regarded as successful, a further expansion of the PGA into the six pilot provinces identified in the Phase 2 proposal is an option.

A national NGO/entity will be contracted to implement the PGA in Lam Dong. Ultimately, the NGO/entity will present a research report on the perception of REDD+ governance among local stakeholders.

3) SCOPE OF WORK

The scope of work for the Contractor includes:

Stage 1 (approx. 2 months) – Institution and Context Analysis and initial awareness raising

- Lead the establishment of an Advisory Group and contract their members.
- The Advisory Group will ideally include representatives from key stakeholder groups at pilot province level, for example Provincial People's Committee, National Assembly, Civil Society Organizations, Board of Ethnicities, but also representatives from key government counterparts at national level such as VNForest, and academic experts in the field from universities and research institutes.
- Discuss with members of the National REDD Network on the composition of the Advisory Group, especially the members of the Sub-Technical Working Group on Governance and Safeguards.
- Select 1-2 districts to carry out the PGA process, in close coordination with Provincial People's Committee in the pilot province, UNDP and the PGA coordinator
- Conduct an Institution and Context Analysis in the pilot districts with the support of UNDP's Country Office and it's Asia Pacific Regional Centre to facilitate the

⁴ Approval from Lam Dong PPC is expected in August 2012

implementation of REDD+ and inform the selection of indicators for the PGA:

- Review and analyze key legal documents, regulations, and other documents that have an impact on the implementation of a PGA for REDD+. This should include looking at questions such as: What are the formal and informal rules preventing the implementation of relevant legislation and regulatory frameworks? Are there important informal institutions that are relevant to the project, and may either improve the chances of success, or block change? Is the project likely to challenge certain formal and informal institutions, whether directly or indirectly? This review should cover formal and informal practices, power relations, customary law, and historical influences in the pilot province.
- Conduct a stakeholder mapping and analysis in the pilot province through face-to-face consultations in form of interviews and, where appropriate, focus-group discussions with identified stakeholders. While the district and provincial levels are the focus of this analysis, outside influences from the national level or even supra-national actors need to be included and mapped. Wherever possible, the interviews should include key informants, such as provincial officials, private sector representatives, community and other leaders as well as a cross-section of community members. This should include examining the following type of issues: Who are the main stakeholders in the policy-making process, such as forest dependent communities, ethnic groups, women's groups, land owners, Protected Areas Management Boards (PAMBs), State Owned Enterprises (SOEs), credit institutions (formal and informal) and private actors, among others. What are their time horizons, e.g. are they in office for a short-term (elected, for example), or longer-term (civil servants, for example)? What are the main interests of all key stakeholders? Who gains from the status quo, and who stands to lose? For those with the most to gain or lose, what is their capacity (power) to act on those interests? How much formal or informal power does each stakeholder have?
- Perform these tasks in close collaboration with the UNDP Country Office and PGA Coordinator, and especially governance experts at UNDP's Asia Pacific Regional Centre
- Organize and arrange the first one day stakeholder workshop in the pilot province (for about 40 local stakeholders and members of Advisory Group) to secure understanding and interest for the PGA across stakeholders as well as agree on a set of priority REDD+ governance issues on which the indicators will be based on
- Organize and arrange a meeting with the Advisory Group to seek comments and feedback on the set of priority REDD+ governance issues identified through the first stakeholder workshop

Stage 2 (approx. 4 months) – Drafting indicator and data collection

- Participate in a training workshop on designing indicators and data collection methods, and assist with the organization of the workshop as appropriate.
- Develop a research methodology Concept Note to collect data on the set of priority REDD+ governance issues agreed at the first stakeholder workshop and with the Advisory Group, in coordination with government agency
- Map existing data sources relevant to the set of priority REDD+ governance issues
- Draft indicators and an indicator and data collection framework for the set of priority REDD+ governance issues
- Seek comments and feedback from UNDP, FAO and the Advisory Group on the draft indicator & data collection framework and revise the framework accordingly
- Organize the second one day stakeholder workshop in the pilot province to present the indicator & data collection framework and the indicator set
- Present the indicator & data collection framework at the Sub-technical working group on Governance and Sub-technical working group on Safeguards under the National REDD Network
- Finalize the framework as per the feedback received from the stakeholder consultations held at both local as well as national level
- Organize and conduct the collection of primary data through selected data collection methods, as laid out in the Concept Note, including the identification, and briefing as appropriate, of data collectors
- Attend and assist in facilitating a PGA South-South exchange visit from other PGA piloting countries

Stage 3 (approx. 2 months) – Process data, analyze findings and present recommendations for replicability

- Agree with UNDP, FAO and the PGA Coordinator on a detailed outline for the final report
- Draft a PGA research report that includes data collection, data analysis and recommendations based on the findings
- Seek comments and feedback from UNDP, FAO and the Advisory Group on the draft PGA research report and revise the report accordingly
- Organize a third one day stakeholder workshop at the pilot province to present the findings
- Present the findings at the Sub-technical working group on Governance and Sub-technical working group on Safeguards at national level
- Finalize the report as per the feedback received from the stakeholder consultations held at both local as well as national level

The implementation of the pilot will show the feasibility for replicating the exercise in other provinces in support of REDD+.

4) DURATION OF ASSIGNMENT, DUTY STATION AND EXPECTED PLACES OF TRAVE

Duration of assignment: September 2012 – April 2013

Duty station: Ha Noi and field work in Lam Dong⁵ province.

5) DELIVERABLES

Stage 1 (approx. 2 months) – Institution and Context Analysis and initial awareness raising

1. Submit a detailed work-plan and time line for the tasks of the contract, both activities in the pilot province as well as at national level, including an interview schedule for semi-structured interviews (questionnaire), a list of potential interviewees and a brief methodology and approach to analyzing the interview data for the Institutional and Context Analysis.
2. Draft a report that presents the Institution and Context Analysis. The report should contain, but is not limited to:
 - Introduction to the objective of the analysis
 - Brief description of the methodology (e.g. document review, interviews, focus groups)
 - Contextual background which includes governance related studies in the forestry sector in the pilot province, focusing specifically on the topics highlighted at the kick-off workshop, and also the context of land ownership, private actors, ethnic groups, Protected Areas Management Boards (PAMBs) and State Owned Enterprises. The issue of land ownership could specifically be addressed and examined.
 - Analysis of the institutional set-up (strengths, weaknesses, opportunities, informal and formal rules of the game etc.)
 - Analysis and mapping of the stakeholders at the district and provincial level (interest in the objective of the PGA and REDD+, reasons for interest or disinterest in the PGA, level of influence on decision-making processes etc.)

⁵ Approval from Lam Dong PPC is expected in August 2012

- Recommendations based on the analysis with regard to expected bottlenecks, opportunities and entry points as well as options for engagement with different stakeholders, i.e. identify a proposed institutional set-up for REDD+ and potential risks that could negatively influence the PGA.
 - The report should be between 20-30 pages, excluding annexes (mapping of institutions, and stakeholders, list of questions asked, documents reviewed etc.). The report should be available in English and Vietnamese.
3. Submit a list of contracted Advisory Group members
 4. Organize and arrange a first stakeholder workshop in the pilot province to
 - Secure understanding and interest for the PGA across stakeholder groups, also by presenting findings from the report on “Stakeholder mapping, Governance baseline and institutional analysis”
 - Reach a consensus on critical issues to be assessed in the PGA, given the thematic scope already agreed on at the national kick-off workshop in Hanoi

The workshop will attract about 40 participants including the members of the Advisory Group. Translation must be provided.

5. Submit a first workshop report highlighting critical issues to be assessed in the PGA as discussed and agreed in the workshop

Stage 2 (approx. 4 months) – Drafting indicator and data collection

1. Submit a research methodology Concept Note including data collection approaches that will ensure evidence-based approach to research, based on quality and reliability
2. Submit a draft indicator and data collection framework for the set of priority REDD+ governance issues
3. Submit a report made by the Advisory Group that includes written comments on the Concept Note and on the draft indicator and data collection framework
4. Organize a second stakeholder workshop in the pilot province to present the indicator & data collection framework. The workshop will attract about 40 participants including the members of the Advisory Group. Translation need to be ensured.
5. Submit a report summarizing comments/feedback from the second local stakeholder workshop and the Sub-technical working group on Governance and Safeguard on the draft indicator and data collection framework

6. Submit a final indicator and data collection framework for the set of priority REDD+ governance issues
7. Field report on the data collection summarizing:
 - Advantages and difficulties during the data collecting period
 - Information on the type of data collected
 - Lessons learned from the monitoring process/field-work

Stage 3 (approx. 2 months) - Report (data processing), analysis of findings, and recommendations for replicability

1. Develop and submit a draft report that, at least, includes:
 - Presentation of raw data & data analysis
 - Data collection activities (from the field report), data collection report against each indicator and verifiers (measurement items) for respective indicator, providing a base line
 - Technical aspects, expenses and overall evaluation of the research
 - Recommendations about replicability in other provinces, based on lessons learned.
 - Annex: Mapping of existing data sources
2. Submit a report made by the Advisory Group that includes written comments on the draft report
3. Organize and arrange a third consultation workshop with local stakeholder to present the findings. The workshop will attract about 40 participants including the members of the Advisory Group, and translation need to be ensured.
4. Develop and submit the final report, in which a summary of comments/feedback from the second local stakeholder workshop and the Sub-technical working group on Governance and Safeguard on the draft report is annexed.

6) PROVISION OF MONITORING AND PROGRESS CONTROLS

The selected contractor will perform the tasks as required under the overall supervision of UNDP Viet Nam, and will be subjected to report on the progress of the assignment following the items in the Scope of Work (section 3) and whenever else required by UNDP.

After the signing of the contract, the selected contractor, the UNDP Viet Nam focal point and the PGA coordinator will have a meeting to determine and agree on how the work should be implemented as per the proposed work plan, with specific reference to the timing of the various activities identified in the Scope of Work.

Thereafter it will be expected that the contractor through its assigned lead senior

advisor/focal point, will be obliged to meet with the PGA Coordinator twice weekly to report on the progress of the assignment and discuss needed adjustments.

7) DEGREE OF EXPERTISE AND QUALIFICATIONS

Qualification:

Please refer to the required qualifications from the NGO/entity in the evaluation criteria form 1.

Composition of the team

Interested bidders shall suggest the composition of the team to ensure sufficient personnel competencies to carry out the research project. Interested bidders that have limited resources to develop a comprehensive data collection methodology as well as conduct the data sampling, are recommended to team up with independent consultants/companies/organizations with such experience and resources to complete the scope of work in the TOR.

It is stressed, however, that members of the core research team (which includes, but is not limited to: one lead senior expert, one senior expert and one mid-level or junior researcher) who should meet the requirements as required in the evaluation criteria under personnel competencies in form 3. It is up to bidders to propose a required team composition.

8) ADMIN SUPPORT AND REFERENCE DOCUMENTS

Provision of Support Services:

Office space	No
Equipment (laptop etc)	No
Secretarial Services	No

Assistance from PGA coordinator/UNDP CO:

- Substantive inputs to and quality control of deliverables
- When requested, arrangement of introduction letters and/or requests for meetings/interviews;
- Any other support where deemed appropriate

Below are some of the documents that are relevant to the assignment:

- [PGA kick off workshop report](#)
- [Forest Governance Monitoring in Viet Nam: background paper](#)
- [Report workshop: Forest Governance Monitoring in Viet Nam](#)
- [PGA for REDD+ Global Fast Facts](#)

- [PGA for REDD+ Global Planning 2011 - 2015](#)
- [FAO's "Framework for assessing and monitoring forest governance"](#)
- [WFI's "The Governance of Forests Toolkit"](#)

9) REVIEW TIME REQUIRED AND PAYMENT TERM

The payment will be paid in accordance with the following schedule:

No.	Reports, Document and deliverables	Expected Due date	Payment
1	Upon submission and acceptance of deliverable 1 under Stage 1	TBD	15% of total contract value
2	Upon submission and acceptance of all remaining deliverables under Stage 1	TBD	30% of total contract value
3	Upon submission of deliverables 1-6 under Stage 2	TBD	45% of total contract value
4	Upon submission and acceptance of deliverable 7 under Stage 2 and all deliverables under Stage 3	TBD	10% of total contract value

Note:

1. Every document completed as per deliverables above should be certified by the UNDP
2. Payment will be made upon submission of request for payment, accepted reports and invoices