

**Terms of Reference for the Consultants for the  
UNFF's "Independent Assessment of the International Arrangement on Forests"**

***I. Background***

1. According to the multi-year programme adopted in 2007, the overall theme of the eleventh session of the United Nations Forum on Forests (UNFF11) in 2015 will be "Forests: progress, challenges and the way forward for the international arrangement on forests". At this session, the Forum will convene a high-level segment to review the effectiveness of the international arrangement on forests (IAF).
2. In preparation for the review of the IAF at UNFF11 in 2015 and as a part of intersessional activities on this matter leading up to UNFF11, Member States through Resolution 2 of UNFF10 decided to conduct an "Independent Assessment of the IAF".<sup>1</sup>
3. The present text includes the scope and framework for the Independent Assessment of the IAF (see annex), its objectives, the deliverables, timelines and a substantive context for the consultants who will carry out this work. This text is developed and finalized by the UNFF secretariat, in consultation with the UNFF11 Bureau, in response to paragraph (b) (ii) (2) of Annex to Resolution 2 of UNFF10.

***II. Elements of the review of the IAF***

4. Based on the resolutions E/2000/35, E/2007/42, E/2006/49, and resolution 2 of UNFF10, the review of the effectiveness of the IAF should include the review of the following:
  - a) Consideration of a full range of options, including a legally binding instrument on all types of forests, strengthening of the current arrangement, continuation of the current arrangement and other options;<sup>2</sup>
  - b) Past performance of the UNFF, its processes and multi-year programme of work (MYPOW), including ad hoc expert groups and country-led initiatives, as well as future options for the UNFF; (UNFF10 res.);
  - c) Progress towards implementation of the non-legally binding instrument on all types of forests (forest instrument) and achievement of the four Global Objectives on Forests (GOFs), including a review of the relationship of the forest instrument with the international conventions and Intergovernmental Organizations (IGOs) that have a bearing on the Forum's mandate; (UNFF10);
  - d) Effectiveness of the forest instrument (E/2007/42, para 22);
  - e) The contribution of forests and the IAF, including the forest instrument, to the internationally agreed development goals (E/2007/42), para 23.
  - f) The Forum's Secretariat;

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<sup>1</sup> OP6 of Resolution 2 of UNFF10

<sup>2</sup> Chapeau of OP5 of UNFF10 resolution 2

- g) The Collaborative Partnership on Forests (CPF) and its contributions to the work of the Forum, and related activities by individual CPF member organisations in support of the Forum's Resolutions;
- h) Means of Implementation for the forest instrument and relevant subsequent resolutions, and the Facilitative Process;
- i) The UNFF within the context of the UN sustainable development framework, including the outcomes from the United Nations Conference on Sustainable Development and the United Nations development agenda beyond 2015.

### **III. Objectives of the Independent Assessment of the IAF**

- 5. The IAF is an informal title given to the actors which constitute the UNFF's "membership". The first and primary are Member States and countries who are members of the Forum; acting individually and working together as the Forum. The second component is the UNFF Secretariat. The third is the voluntary partnership of the CPF and other relevant IGOs in contributing to the work of the UNFF individually and collectively, including implementation of the Resolutions of the Forum. The fourth are regional organizations and their processes, and Major Groups who take part in the Forum's sessions.
- 6. The centrepiece of the IAF is to promote conservation and sustainable management of all types of forests through implementation of the forest instrument and achievement of its four shared global objectives on forests and subsequent Resolutions of the Forum, as well as the contribution of forests to the internationally agreed development goals including the Millennium Development Goals (MDGs). The primary focus is on implementation of policies in these areas.
- 7. The objective of the Independent Assessment of the IAF is to assist and inform the AHEG on the IAF in preparing for UNFF11. The assessment will analyze the achievements, relevance, efficiency and effectiveness of the IAF since 2000. It will assess the impact of UNFF's work and the sustainability of actions and make recommendations to AHEG for a future arrangement.<sup>3</sup>

### **IV. Working Modalities**

- 8. To conduct the Independent Assessment of the IAF, the UNFF11 Bureau will identify a list of experts, taking into consideration competencies, including evaluation methodology expertise, as well as regional balance.<sup>4</sup> The UNFF Secretariat will hire five independent experts (consultants) from the longer list of candidates which is provided by the UNFF11 Bureau. The consultants will be hired on an individual basis. However, each of the consultants shall write a report from the perspective of their regions focused on the components of the Independent Assessment of the IAF, as outlined in these ToRs and in particular, in section V of these ToRs.
- 9. In addition, the Bureau of UNFF11 will appoint two Co-Facilitators, one from the North and one from the South, to act on its behalf to facilitate the consultants in their submission of a single consolidated report to the AHEGs on the IAF. The Co-Facilitators will facilitate the

<sup>3</sup> Paragraph (b) (i) of Annex of Resolution 2 of UNFF10

<sup>4</sup> Ibid. Paragraph (b) (ii) (1)

consultants to work together as a team to collate the various regional perspectives into one complete, consolidated Independent Assessment of high quality, as the final output for these ToRs. To this end, the Co-Facilitators will convene a first meeting with the consultants immediately following their appointments, and between the meetings of the AHEGs on the IAF to develop the consolidated output to AHEG2 on the IAF.

#### *V. Assignment*

10. The consultants shall compile and analyse information and provide views and recommendations on:

- a) Consideration of a full range of options, including a legally binding instrument on all types of forests, strengthening of the current arrangement, continuation of the current arrangement and other options;<sup>5</sup>
- b) The past performance of the UNFF and its processes since 2000, including ad hoc expert groups, regional and country-led initiatives, as well as future options for the UNFF's role, including:
  - i. Identifying the key achievements or failures of UNFF in implementing its main functions (ten functions).
  - ii. Reviewing the UNFF structure and the sufficiency of its current biennial session in reaching intergovernmental agreement on necessary actions to be taken and in providing policy advice and guidance on all issues related to all types of forests and at all levels.
  - iii. Reviewing the role and impact of awareness-raising activities such as the International Year of Forests, and the International Day of Forests in promoting greater awareness and strengthening political and public commitment for forests.
  - iv. Reviewing the role and impact of Country-Led Initiatives (CLIs) and ad hoc expert groups (AHEG) in the work of the UNFF.
  - v. Reviewing the engagement of stakeholders, including major groups in the work of the Forum, with the view to making suggestions for their meaningful participation and involvement in the UNFF work.
- c) Review of the forest instrument and other options referenced in the aforementioned ECOSOC resolutions, including progress towards achieving the four GOFs. This should include a review of the relationship of the forest instrument with international conventions that have a bearing on the Forum's mandate, including:
  - i. Assessing the progress made in implementing the forest instrument and the GOFs, including assessing the trends reported from member states and the FAO's Forest Resource Assessment (FRA).

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<sup>5</sup> Chapeau of OP5 of UNFF10 Resolution 2

- ii. Making suggestion on further strengthening the functions of the UNFF and other components of the IAF to address data gaps and related capacity development needs of countries.
  - iii. Assessing the contributions made by forests and trees to the MDGs.
  - iv. Reviewing the relevancy of the forest instrument in the context of the emerging Sustainable Development Goals (SDGs) and UN post-2015 development agenda.
- d) Review of the Forum's Secretariat, including:
- i. The "compact and efficient" UNFF Secretariat composed of 8 regular UN posts and voluntary Trust Fund supported positions.
  - ii. A comparative analysis of the structure, management, human and financial resources of the Secretariat with the mandates of similar types of secretariats.
  - iii. The experience with secondments from CPF member organizations.
  - iv. The percentage of time and resources spent on supporting CPF work, by the Secretariat, both as a member and as its secretariat.
  - v. Constraints faced by the Secretariat.
  - vi. Suggestions on strengthening the Secretariat of the Forum to enable it to fulfill its functions more effectively (para 17 of E/2006/49).
- e) Review of the CPF as a group of member organizations, working collectively as a whole to support the implementation of the Resolutions of the UNFF, as well as individually as independent IGO's, including:
- i. Criteria for CPF priority setting
  - ii. Programs and actions taken by different CPF members in implementing resolutions and supporting the work of UNFF since its inception
  - iii. Public understanding of the CPF "brand", and when a product should be branded as a CPF product
  - iv. Funding or absence of funding for CPF activities
  - v. Impact of CPF work
  - vi. Consideration of how the CPF can further contribute to the work of the UNFF

- f) Review of financing for implementing the forest instrument at national, regional and international levels and all relevant resolutions, and the Facilitative Process in this regard, including reviewing and analyzing:
- i. The adequacy of resources for implementation of the forest instrument.
  - ii. All relevant resolutions and their implementation or lack thereof since 2000.
  - iii. The impacts of the resolutions of the UNFF9 Special Session and UNFF9 on advancing means of implementation for the forest instrument.
  - iv. The role and impacts of the Facilitative Process in helping countries to catalyze financing for implementation of the forest instrument.
  - v. Additional steps required by UNFF to advance financing for implementation of the forest instrument.
- g) A full range of financing options and strategies, including the establishment of a voluntary global forest fund, in order to mobilize resources from all sources in support of sustainable forest management for all types of forests and trees outside forests;<sup>6</sup> including:
- i. Identifying detailed financing options that can generate resources from all sources for all types of forests and trees outside forests.
  - ii. Concrete steps that UNFF, CPF members and other organisations should undertake to develop forest financing options.
  - iii. The option for the creation of a voluntary Global Forest Fund.
- h) The UNFF, within the context of the UN Sustainable Development framework, including the outcomes from the United Nations Conference on Sustainable Development (Rio+20), including SDGs, the MDGs and the UN post-2015 development agenda and taking into account the impact of UNFF in all social, economic and environmental aspects and the related services of forests and trees outside of forests within the UN system and the specific roles for UNFF in implementing the UN post 2015 development agenda and the SDGs.

## ***VI. Expected output***

11. The consultants, facilitated by the Co-Facilitators, will provide one consolidated report with the results of their work on the elements referred to in Section V on Assignment. The Co-Facilitators will work with the consultants to submit an interim report for the consideration of the first meeting of the AHEG for IAF 2015, followed by the final report, which will be required prior to and for submission to the second meeting of the AHEG on the IAF.<sup>7</sup>

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<sup>6</sup> Resolution 2 of UNFF10-OP21

<sup>7</sup> Ibid.Paragraph (b) (ii) 5 of Annex

## ***VII. Methodology***

12. The Independent Assessment of the IAF, as one part of the overall review of the effectiveness of the IAF, needs to be forward-looking and informative, using evidence-based analysis of the strengths and shortcomings of working modalities and outcomes of to utilize various methods of work including interviews, surveys, and consultations with leaders, experts and stakeholders.

## ***VIII. Duration and Remuneration***

13. The team will consist of five consultants, one from each of the UN regions. The assignment will begin no earlier than 1 August 2013 and conclude no later than 1 October 2014 for a total of 60 working days for each consultant. In order to attract consultants with the required high level of experience, we recommend a fee of US\$500 per day, per consultant. The total remuneration for this assignment is approximately US\$30,000 per consultant, a total of US\$150,000 for the five consultants. The tentative payment schedule is as follows:
  - a. 15 November 2013 – 20% of total fee, upon receipt of the first substantive progress report to the UNFF11 Bureau
  - b. 15 February 2014 – 30% of total fee, upon receipt of the second substantive progress report to the UNFF11 Bureau and to AHEG1
  - c. 15 June 2014 – 30% of total fee, upon receipt of the draft output,
  - d. 15 September 2014 – 20% of total fee, upon satisfactory completion of the work and submission of the final output

## ***IX. Travel***

14. In view of the consultative nature of the assignment, the consultants will be required to travel to the first and second meeting of the AHEG on the IAF and to UNFF11 Bureau meetings. Meetings with the Co-Facilitators will occur on the margins of UNFF11 Bureau meetings. Travel will also be required to assigned regions for not more than 20 days per consultant during the course of the contract. The consultant will be issued a round-trip economy ticket and a daily subsistence allowance in accordance with UN regulations.

## ***X. Budget***

15. The work of the consultants to conduct this independent assessment of the IAF under this consultancy is dependent on the provision of voluntary funding to the UNFF Trust Fund. The budget for the independent assessment of the IAF is estimated at US\$500,000 for direct costs during the entire process, plus \$250,000 for additional UNFF Secretariat staff support<sup>8</sup>.

## ***XI. Performance Indicators***

16. The consultants' performance will be assessed against the following indicators:
  - a) Timely deliverable of outputs in accordance with the given timeline;
  - b) A draft which provides a cogent articulation of the key issues, a deep analysis, taking into account regional perspectives;

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<sup>8</sup> The estimation of Secretariat staff support costs is indicative.

- c) The final output to be adhered to these ToRs.

### ***XII. Competencies and qualifications***

17. Each consultant shall have the following competencies and qualifications:

- a) A thorough knowledge of international forest policies and multilateral institutions and policy processes related to forests, trees outside of forests, the Rio Conventions, and with expertise in more than one of the economic, social and environmental aspects of sustainable forest management;
- b) At least 20 years of experience in areas directly related to sustainable forest management and international cooperation, with broad knowledge of the interrelated nature of natural resource management and the cross-sectoral and inter-institutional nature of forests;
- c) Experience in governments, intergovernmental negotiations which create policies and laws and oversee enforcement of more than two areas of economic, social and environmental matters related to forests and trees;
- d) Excellent policy, analytical, technical, interpersonal and drafting skills, including experience in conducting independent assessments;
- e) No conflicts of interest;
- f) Oral and written fluency in English;
- g) Participation in UNFF activities is an advantage;
- h) Willingness to work collaboratively on a team.

### ***XIII. Supervising and reporting modality***

18. The consultants will work under the overall guidance of the UNFF11 Bureau, coordinated by the Co-Facilitators and will report regularly on the progress of their work to the UNFF11 Bureau through the Director of the UNFF Secretariat. The Director of the UNFF Secretariat will manage the on-going work of the consultants, having been guided by the Bureau.

*Annex: Scope and Framework for the Review of the Effectiveness of the IAF*

1. ECOSOC resolutions 2000/35, 2006/49 and 2007/42, and Resolution 2 of UNFF10 provide the framework for the independent assessment of the IAF.

ECOSOC Resolution 2000/35

2. The ECOSOC, in its resolution 2000/35, laid the foundation for the IAF, including establishing the United Nations Forum on Forests as an intergovernmental body on sustainable forest management within the United Nations. The Forum addresses forests and trees outside of forests and issues which impacts on forests. The Forum has the following principal functions:
  - (a) To promote the sustainable management of all types of forests and to strengthen long-term political commitment;
  - (b) To promote the implementation of internationally agreed actions on forests at the national, regional and global levels;
  - (c) To provide a coherent, transparent and participatory global framework for policy implementation, coordination and development;
  - (d) To provide a forum for continued policy development among Governments, international organizations and other interested parties to foster a common understanding on sustainable forest management and to address forest-related issues and emerging areas of priority concern in a holistic, comprehensive and integrated manner;
  - (e) To enhance cooperation as well as policy and programme coordination on forest-related issues among relevant international and regional organizations, institutions and instruments, as well as to contribute to synergies among them, including coordination among donors;
  - (f) To foster international cooperation, including North-South and public-private partnerships, as well as cross-sectoral cooperation at the national, regional and global levels;
  - (g) To monitor and assess progress at the national, regional and global levels through reporting by Governments, as well as by international and regional organizations, institutions and instruments, and on this basis consider future actions needed.

ECOSOC Resolution 2006/49

3. In 2006, the Economic and Social Council, in its resolution 2006/49, strengthened the IAF by agreeing on three additional principal functions for the Forum. Those functions are the following:
  - (a) To enhance the contribution of forests to the achievement of the internationally agreed development goals, including the MDGs, in particular with respect to poverty eradication and environmental sustainability; and to the implementation of the Plan of Implementation of the World Summit on Sustainable Development, bearing in

mind the Monterrey Consensus of the International Conference on Financing for Development;

- (b) To encourage and assist countries to maintain and improve their forest resources with a view to enhancing the benefits of forests to meet present and future needs, in particular the needs of indigenous peoples and local communities whose livelihoods depend on forests;
- (c) To strengthen interaction with relevant regional and sub-regional forest-related mechanisms, institutions and instruments, organizations and processes, to facilitate enhanced cooperation and effective implementation of sustainable forest management.

ECOSOC Resolution 2007/42

- 4. Through Resolution 2007/42, the Council adopted the forest instrument and agreed with the Forum's recommended multi-year programme of work (MYPOW) for the period 2007-2015. According to the MYPOW, the overall theme of UNFF11 in 2015 will be "Forests: Progress, Challenges and the Way Forward for the International Arrangement on Forests". At UNFF11 the Forum will convene a high-level segment to review the effectiveness of the IAF.

Resolution 2 of UNFF10

- 5. Taking into account the above-mentioned ECOSOC resolutions and the MYPOW, Member States, through Resolution 2 of UNFF10, further elaborated the elements of the review of the effectiveness of the IAF and designed a road map for intersessional activities on this matter, leading up to UNFF11.<sup>9</sup>

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<sup>9</sup> OP5 to OP10 of Resolution 2 of UNFF10 and its Annex