

# Term of Reference

## To Conduct a Study on the Implementation of NDCs by National Governments in Ethiopia, Rwanda, and Tanzania

### 1. Background Information

Nationally Determined Contributions (NDCs) are the post-2020 climate actions, representing interventions that reduce national emissions and help adapt to the impacts of climate change. This came into being as an output of the Paris Agreement, which is a legally binding international treaty on climate change. Around 196 parties adopted the Paris Agreement, at the COP 21 in Paris, on 12 December 2015. The Paris Agreement aims to: (i) reinforce the global response to the threat of climate change, and (ii) enhance adaptive capacity, strengthen resilience and reduce vulnerability to climate change. Implementation of the Paris Agreement requires economic and social transformation, and it works on a five-year cycle of increasingly ambitious climate actions.

By 2020, countries have submitted their climate actions, known as Nationally Determined Contributions, wherein they communicated actions they will take to reduce Green House Gas (GHG) emissions, and build resilience to adapt to the effects of rising temperature. The fact that a significant number of countries across the world pledged their respective NDCs indicate the major shift in climate governance.

The NDCs developed before 2020 basically lack indicators for the water supply, sanitation, and hygiene (WASH), which is vulnerable to the effects of climate change, on the one hand, and a solution on the other. WaterAid East Africa partnered with the Pan-African Climate Alliance and other stakeholders to influence countries to integrate WASH in their respective climate actions. As a result, four East African countries, namely, Ethiopia, Kenya, Rwanda, and Tanzania have incorporated WASH indicators in their respective NDCs. The next most important step will be tracking the progress and challenges of implementing the NDCs by national governments, especially understanding the gaps in terms of implementing WASH interventions under the NDCs. This study will focus on creating an adequate understanding of the NDCs process, the status of implementation, and the gaps related to the implementation of NDCs. These gaps could be anything that hinders the appropriate NDCs processes (such as planning, financing, implementation, monitoring, evaluation, communication, and dissemination). This enables to create an understanding of the gaps related to policies and institutions, financing, implementation, and tracking the progress. There might also be gaps related to the level of awareness and knowledge about the link between WASH and NDCs, and how the WASH indicators under the NDCs could be measured overtime to contribute to the reduction of climate change impacts. This helps national governments to enhance NDC implementations and track the progress towards achieving the Paris Agreement goals.

A study<sup>1</sup> conducted on the older versions NDCs (2018) indicate that many factors affect proper implementation of NDCs, which include lack of adequate knowledge and technical skills, financial resources, institutional arrangements, and lack of local supporting institutions, low awareness, availability and suitability of technologies, cultural factors, affordability, low political will, low

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<sup>1</sup> Implementation of National Determined Contributions, Ethiopia Country Report, 2018

understanding on the economic benefits and inadequate access to information. The gaps reported here refer to the implementation of NDCs related to the agriculture and transport sectors. This study will capture the gaps in the implementation of NDCs related to the WASH sector. The focus countries for this study have recently included WASH indicators in their respective NDCs, which needs to be supported in terms of developing monitoring and evaluation framework and enhance the appropriate implementation of the NDCs (and particularly the implementation of WASH plans under the NDCs).

## **2. Study objectives**

### **General objective**

WaterAid East Africa plans to support the appropriate implementation of the NDCs in WaterAid East African countries that integrated WASH indicators in their NDCs. One dimension of the intended support will be generating credible evidence on the gaps with the national governments in terms of the NDCs processes (planning, funding/financing, implementation, tracking the progress to the goals) through research and identifying entry points for capacity building responses and policy advocacy. The overall objective of this study will be to assess the status of implementation of NDCs related to WASH in countries where WaterAid works and generate evidence on the challenges facing the national governments in the implementation of the NDCs and advocate for their enhancement. This study will assess the extent to which countries communicate adaptation efforts and use national adaptation plans (NAPs) to deliver NDC goals. It will also assess how the focus countries align NDCs with the Sustainable Development Goals (SDGs), and use the findings for policy advocacy and influencing.

### **Specific objectives**

- Assess the institutional arrangements put in place by the national governments for the implementation of NDCs, and the level of clarity over the roles and responsibilities,
- Explore the availability of NDC implementation plans (including activities, indicators, roles, timeline, tracking progress/monitoring framework), and examine the effort put by national governments to engage all relevant sectors including the private sector in all the processes including planning, financing, implementation and tracking the progress towards the goals,
- Analyze financial resources allocation to NDC implementation, particularly for the implementation of WASH interventions under the NDCs by sources (government, donors, public-private partnerships, etc.),
- Analyze the level of awareness and knowledge about NDCs (and WASH indicators in the NDCs) and other climate adaptation and mitigation policies/plans among the key stakeholders at national, regional and local levels,
- Identify capacity gaps of national governments, related to the implementation of the NDCs (including knowledge, financing, institutional arrangements/structural, human resources, etc.), and
- Forward recommendations to fill the capacity gaps related to the implementation of NDCs, especially tracking WASH indicators under the NDCs

### 3. Focus of the study

This study will focus on the analysis of the progress and challenges associated with the implementation of NDCs by national governments in Ethiopia, Rwanda and Tanzania. These three East African countries have incorporated WASH indicators in their respective NDCs, and international organizations like WaterAid needs to support in terms of tracking the progress and challenges towards achieving the Paris Agreement goals and other national goals. The following issues form the major areas for this study.

- Are there clear systems and structures put in place to implement NDCs? Or are there specific institutional arrangements for the implementation of NDCs? Which government ministry is leading on the implementation of NDCs? Who are the main stakeholders for the implementation of the NDCs? How does the NDC development process align with existing national and regional policy processes, as well as the SDGs? How the process involves the participation of key sectors? What are the major challenges related to the institutional arrangements for the appropriate implementation of NDCs?
- What is the level of knowledge and awareness related to NDCs among these stakeholders (at national, regional, and local levels)? To what extent NDCs are differentiated from existing climate adaptation and mitigation strategies and programs put in place by national governments at different times?
- To what extent are the NDCs prioritized by political leaders in these countries? (indicators include in NDCs translated into projects, investments and actions; there is implementation plans)
- What is the minimum capacity required to implement the NDCs? What is the minimum finance required for the appropriate implementation of NDCs in general and WASH indicators under NDCs in particular? What are the minimum institutional arrangements required for the proper implementation of NDCs? What minimum level of knowledge and awareness is required? What are the minimum technological/technical skills required to implement NDCs? What are the gaps with these capacities related to the implementation of NDCs, especially in terms of implementing WASH interventions under NDCs?
- Is there clarity over the roles and responsibilities of key stakeholders to implement the NDCs? (consider the national, sub-national and community levels)? Are the relevant institutions have adequate knowledge and understanding on their respective roles and responsibilities in the NDCs processes (planning, implementation, monitoring and evaluation of NDCs)? Are these roles and responsibilities clear at all levels (national, sub-national levels)? What are the gaps related to clarity over the roles vertically and horizontally?
- Is there NDC financing plan showing the funding sources and how they will be used to implement the NDCs, and spending tracked overtime? What is the gaps related with the adequacy, utilization and tracking of spending of funds allocated to NDCs?
- How the government plans to engage with and incentivize private sector support in the implementation of NDCs? What is the challenge related to engaging private sectors in the NDCs processes?

- How the implementation of NDCs are differentiated/aligned with the existing climate adaptation and mitigation plans? How the impacts of these climate adaptation and mitigation plans are impacting on sustainability of the WASH systems? How these impacts are measured overtime to achieve the goals (Paris Agreement Goals / national goals)?
- Generally, what are the challenges and support needs of national governments, as they are preparing to implement NDCs? Track progress towards Paris Agreement Goals and national goals?

#### **4. Approaches and Detail Methodology**

##### **Study design**

This assessment will use a cross-sectional study design. A qualitative approach will be employed to collect data on the status of the NDCs processes, including the planning, financing, implementations, and a framework for tracking progress towards achieving the Paris Agreement Goals. Besides, secondary sources will be reviewed to understand the extent to which countries communicate adaptation and mitigation plans to deliver NDCs goals, and how national governments align the NDCs goals with the Sustainable Development Goals (SDGs).

The sources for the primary data will be the lead institutions for the NDCs processes, which among others include climate change focal institutions that report to the United Nations Framework Convention for Climate Change (UNFCCC), WASH players (water, health, education), financing institutions (ministry of finance; funding agencies), private sector and non-government organizations (supporting WASH, climate change, environment/natural resources, food security, etc.), and priority sectors for NDCs. These institutions are also the sources for the secondary data required for this study.

The lead institutions for climate change and WASH programs in each country will be consulted at the national level to understand the NDCs processes, communication of adaptation plans, alignment of the NDCs with the SDGs and other national climate adaptation plans, the status of implementation, mechanism for tracking the progress towards NDCs goals, the challenges and gaps with the implementation of NDCs. Samples of the sub-national structures will be consulted to understand their level of awareness and knowledge about NDCs and other climate adaptation plans, the planning processes, and financing of the NDCs (especially the WASH interventions under the NDCs), implementation, monitoring and key challenges, and the reporting mechanisms. Based on availability, relevant policies, strategies, and programs will be reviewed in line with the objectives and the focus of the study.

##### **Methods**

As described above, this study will use participatory qualitative methods, including reviews of secondary sources, interviews, focus group discussions, and consultative meetings to collect the data required to meet the objectives. Local consultants will be hired in each of the target countries to conduct data collection under the close supervision of the WaterAid Country Program Advocacy Team and with the technical support from the regional policy and research consultant. The local consultant will collect data, analyze it and write country report, which will be reviewed by the WaterAid Country Program Advocacy Team and the Regional Team. The regional policy and

research consultant will then produce synthesis report and the policy brief, which will be used for wider dissemination and advocacy.

This assessment also involves tracking the financial allocation and spending on WASH interventions under the NDCs, the NDCs as a whole, and the climate actions under the WASH programs at national and sub-national levels. As the WASH indicators in NDCs happened in 2021, the financial allocations to the implementation plans of NDCs will be captured in this study, while for the NDCs implementation, the last five years will be considered to analyze the trends of financial allocations and spending on the NDCs from different sources. This will involve an analysis of the gaps in the financial allocation and utilization of the NDCs by national governments, and how this could influence the achievement of the Paris Agreement Goals.

The local consultant will be identified, hired, oriented on the purpose and the methodology proposed for the study and deployed in each of the focus country. Table below presents the summary of the methods proposed for this assessment

| Methods                         | Purpose   | Remarks  |
|---------------------------------|---|--|
| <b>Review of documents</b>      | The local consultant will collect relevant documents (NDCs, other climate adaptation, and mitigation programs/actions, WASH policy documents, etc.) and conduct reviews in line with the objectives of the study. The purpose of the review will be to generate credible evidence on the policy provisions and policy gaps related to the NDCs processes (planning, financing, implementation, monitoring, and evaluation of NDCs), especially WASH interventions under the NDCs. This also involves tracking the funds allocated to NDCs implementations, clarity over the roles, and the mechanisms put in place to measure the progress of implementing the NDCs.  | WaterAid CPs will provide support in linking the consultant with the government ministries at national and sub-national levels                   |
| <b>Key informant interviews</b> | The local consultant will map the institutions responsible to lead the NDCs processes, have roles in the NDCs processes, and conduct interviews to understand the current practices and challenges related to planning, funding, implementation, and monitoring of the progress of NDCs (from the national to local levels). This also involves the identification of the non-government organizations or consortium or networks working on NDCs and WASH, and conduct interviews to understand their roles, level of engagement in the NDCs processes and the challenges associated with the implementation of NDCs. The local consultant will also identify key donor/funding agencies and conduct interviews to understand their interest/plans to funding NDCs implementation (especially funding WASH plans under NDCs), and how they track funds allocated and spent in the NDCs, and the challenges associated with funding NDCs. The consultant will also identify private sectors and conduct interviews to generate evidence on their roles in the NDCs processes and the status and challenges related to their engagement so far. | WaterAid CPs will provide support in linking the consultant with the key persons in the ministries and their line bureaus at sub national levels |
| <b>Focus group discussions</b>  | The local consultant will identify two to three local communities and conduct 4 focus group discussions per district, separately with men and women, boys and girls, to understand the role of communities (disaggregated by gender and age) in the implementation of NDCs, and the current level of awareness about the NDCs, climate change   | WaterAid operating districts and communities will be targeted  |

| Methods                    | Purpose  | Remarks   |
|----------------------------|--|---|
|                            | adaptation plans and the practices related to community participation in climate change decision-making process, especially meaningful participation of women in decision-making processes related to WASH and NDCs.   |   |
| <b>Validation meetings</b> | The consultants will produce the country reports on the implementation of NDCs and present the findings to the virtual meeting to be organized by WaterAid East Africa. This aims at validating the findings with key stakeholders, before producing synthesis report and policy briefs, which will be used for wider dissemination and policy advocacy. | WaterAid East Africa will organize a virtual meeting to validate the findings |

**Implementation arrangements**

This assessment will be implemented in collaboration with WaterAid East Africa Regional and Country Program Advocacy Teams. The regional team will hire a consultant to lead data collection, analysis, and report writing for each country, under the close follow-up of the country programs. The regional team in collaboration with the country programs will organize the consultative meeting to verify the findings. The regional team will then produce synthesis report and policy briefs for wider dissemination.

The findings from this study will be used to inform policy advocacy and influencing works at regional and national levels, with respect to how countries establish strong institutional arrangements, clarity over the roles, ways of working/operation procedures for NDCs processes (planning, financing, implementation, monitoring, and evaluation) and improve NDCs governance and leadership at national levels.

The consultant will produce a comprehensive assessment report on the status of NDCs processes (planning, financing, implementation, monitoring, and evaluation) in the region, specifically in the three target countries in East Africa that have already submitted NDCs integrating the WASH indicators. The lessons from these countries will inform the NDCs processes in the remaining two countries, namely, Kenya and Uganda.

**5. Scope and Timeline**

**Scope of the study**

Geographically this study will be conducted in Ethiopia, Rwanda, and Tanzania, as they have integrated WASH indicators in their respective NDCs, and there is an urgent need to support the NDC processes so that the achievement of the Paris Agreement Goals will be accelerated. The study focuses on understanding the status of implementing NDCs (especially the implementation of WASH interventions under the NDCs) by national governments and uses the findings to inform capacity-building responses, policy advocacy, and influencing works at regional and national levels. The consultant is expected to:

- Conduct field data collection in three focus countries (one/two consultants per country) in July 2022

- Produce draft comprehensive assessment report on the status of NDCs processes in the focus country, and share with WaterAid East Africa by the end of July 2022
- Prepare power point and present the findings to the virtual workshop to be organized by WaterAid East Africa
- Incorporate comments and produce the final country report and submit it to WaterAid East Africa by mid-August 2022

## **Timeline**

This study will be completed by end of August 2022, which means that data collection, analysis, and report writing should be completed by end of July. The consultant will be on board by the 10<sup>th</sup> of July. The regional team will work on the synthesis report and policy briefs up to the middle of September 2022.

## **6. Required Qualifications and Experience**

National and sub-national level data will be collected by a local consultant. It is expected that the local consultant will have the following qualifications and experience.

- At least 10 years of work experience in research and development related to WASH and climate change adaptations in East African countries
- At least BA/BSC Degree in natural resources, climate change, health sciences, water, and environmental management, etc.
- Knowledge of Nationally Determined Contributions (NDCs), and other climate adaptation and mitigation plans is an advantage
- Excellent knowledge and skills in the application of qualitative data collection methods and tools
- Excellent facilitation skills (for consultative meetings, and focus group discussions)
- Knowledge of the national policies, strategies, and programs related to WASH and climate change will be a plus

## **7. Application Procedure**

Local consultants satisfying the above criteria can send their updated CV along with the understanding of the task, work schedule, and financial proposal to the email [EArecruitments@wateraid.org](mailto:EArecruitments@wateraid.org) by the 30<sup>th</sup> of June 2022.