



MINISTRY OF ENVIRONMENT, GREEN  
DEVELOPMENT AND TOURISM

UN-REDD  
PROGRAMME



UN COLLABORATIVE PROGRAMME ON REDUCING EMISSIONS FROM DEFORESTATION AND  
FOREST DEGRADATION IN DEVELOPING COUNTRIES

NATIONAL PROGRAMME DOCUMENT

COVER PAGE

Country: **Mongolia**  
 Programme Title: **UN-REDD Mongolia National Programme**  
 National Programme Goal: **Support the Government of Mongolia in designing and implementing its National REDD+ Strategy and in meeting the requirements under the UNFCCC Warsaw Framework to receive REDD+ results-based payments.**

Programme Duration: **36 months**

Anticipated start/end dates:  
**09/2015 – 08/2018**

Fund Management Option(s): Pass-through

Managing or Administrative Agent:  
UNDP MPTF Office

Total estimated budget\*: **US\$ 3,996,450**

Out of which:

1. Funded Budget: **US\$ 3,996,450**
2. Unfunded budget: **0**

*This is the UN-REDD Programme funding, supporting the implementation of the National REDD+ Readiness Roadmap. Estimated cost of National REDD+ Readiness Roadmap: **US\$ 9,740,000***

\* Total estimated budget includes both programme costs and indirect support costs.

Sources of funded budget:


Government:	US\$ 2,000,000 (for the Roadmap implementation)
UN-REDD MPTF:	US\$ 3,996,450
Other:	US\$ 500,000 (UN-REDD TS)
Other:	US\$ 1,400,000 (GIZ)
Other:	US\$ 900,000 (GEF/FAO)

**BEATE Trankmann**

UN Resident Coordinator in Mongolia

Signature:

Date:

  
18 Sept 2015

**BATTSEREG Namdag**


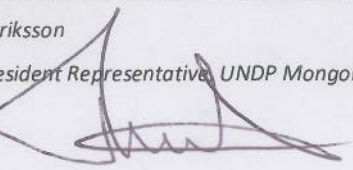
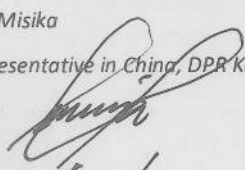
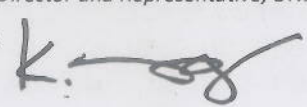
Minister for Environment, Green Development  
and Tourism (MEGDT)

Signature:

Date:

  
2015-09-18

**Names and signatures of national counterparts and participating UN organizations**

UN organizations	National Coordinating Authorities
<p>Beate Trankmann                      UN Resident Coordinator in Mongolia                      Signature                      Date</p>	<p>Ts. Tsengel                       State Secretary                      Ministry of Environment and Green Development and Tourism (MEGDT)                      Signature                      Date</p>
<p>Thomas Eriksson                      Deputy Resident Representative, UNDP Mongolia                      Signature                       Date 2015, Sept 11</p>	
<p>Percy W. Misika                      FAO Representative in China, DPR Korea and Mongolia                      Signature                       Date 2015/09/04</p>	
<p>Kaveh Zahedi                      Regional Director and Representative, UNEP - ROAP                      Signature                       Date 02.09.2015</p>	

## 1. Executive Summary

As a signatory to both the UN Framework Convention on Climate Change (UNFCCC, in 1992) and the Kyoto Protocol (1997), Mongolia is fully aware of the causes and potential impacts of climate change. Mongolia is therefore striving to reduce its greenhouse gas (GHG) emissions while maintaining its path of economic development.

The Conference of the Parties (COP) to the UNFCCC has taken a number of decisions to encourage developing country Parties to take climate change mitigation actions related to the forestry sector. These measures relate to 'policy approaches and positive incentives on issues relating to reducing emissions from deforestation and forest degradation in developing countries, and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries', known as "REDD+". The COP decisions set out a process by which the voluntary actions of developing country Parties may be rewarded through results-based payments.

Although still largely a poor country, Mongolia has recently experienced rapid rates of economic growth due to advances in the exploitation of mineral resources. However, there is a risk that the benefits of this boom will be unequally distributed among Mongolia's people. Moreover, unless astutely managed, the growth may have negative impacts on the environment and the natural resource base. Compounding this, climate change threatens to reverse socio-economic advances. Recognizing these inter-related challenges, the Government of Mongolia has recently committed to a green development path, notably through the creation of the Ministry of Environment, Green Development and Tourism (MEGDT), and the preparation and approval of the Green Development Policy and Mid-Term Programme. REDD+ has the potential to contribute to green development by protecting global environmental resources (forest carbon stocks and biodiversity), helping to reverse land degradation, promoting the improvement of rural livelihoods and aiding adaptation to climate change.

Mongolia's vast land area includes approximately 13 million hectares of forest – an area roughly the size of Nepal. These forests can be categorised into two broad zones: northern boreal forests and southern Saxaul forests. The northern boreal forests cover approximately 10.9 million hectares, and are being lost at an annual rate of 0.74%, or just over 80,000 hectares. The southern Saxaul forests cover 1.9 million hectares, and are estimated to be lost at the alarming rate of 6.5% per year. In May 2015, the Government of Mongolia approved its renewed policy on forest resources until 2030, which aims at increasing the country's forest cover and sustainable use and protection of forest resources by maintaining ecological and socio-economic benefits of forests and promoting, among others, increased financing to the sector, improved forest governance, and concessional arrangements for better forest resources management.

Mongolia is the first country with significant boreal forest cover to become a partner country of the United Nations collaborative initiative on Reducing Emissions from Deforestation and forest Degradation in developing countries (UN-REDD Programme). Mongolia has significant potential to reduce its forest carbon emissions, and enhance and sustainably manage its forest carbon stocks, through the implementation of REDD+ activities.

Mongolia became a partner country of the UN-REDD Programme in June 2011 and has quickly taken steps to start implementing REDD+ readiness activities. A Roadmap sets out how Mongolia will implement its REDD+ Readiness activities and develop a comprehensive National REDD+ Strategy in Phase 1 of REDD+. The Roadmap has four main outcomes, as follows:

1. National REDD+ management arrangements established while ensuring improved stakeholder awareness and effective stakeholder engagement;
2. National REDD+ strategy prepared;
3. Forest reference emissions levels and forest reference levels developed; and
4. National forest monitoring system and safeguards information system developed.

This National Programme Document (NPD) describes how the UN-REDD Mongolia National Programme (here onwards called 'National Programme') will contribute to the objectives of Mongolia's National REDD+ Readiness Roadmap. The overall goal of the National Programme is to support the Government of Mongolia in designing and implementing its National REDD+ Strategy and in meeting the requirements under the UNFCCC Warsaw Framework to receive REDD+ results-based payments.

The National Programme also counts on key national counterpart institutions and development partners to play active roles and take on specific responsibilities in maintaining the momentum in the REDD+ management processes and prioritizing and implementing those strategic options identified through the Programme. Effective risk management and coordination with key national and development partners throughout the life of the Programme will therefore be critical (see Chapter 6. Risk Management).

The National Programme will contribute to the implementation of the National REDD+ Readiness Roadmap outcomes in the following ways.

Under Outcome One of the Roadmap, the National Programme will support the establishment of Mongolia's REDD+ Readiness management structure to oversee the delivery of the key results described in the Roadmap, and to prepare its National REDD+ Strategy. The National Programme will also support Mongolia in engaging a broad range of non-government stakeholders, including the private sector actors, in the REDD+ implementation process. To achieve this, a Civil Society Organisation/Local Community Forum will be established to ensure effective and meaningful consultation and engagement both within the non-government sector, and between the non-government sector and government. The National Programme will also prepare and implement a consultation and participation plan, as well as a public awareness-raising plan. Related to these plans, the development of national guidelines on free, prior and informed consent (FPIC) together with a REDD+ grievance mechanism linked to existing systems will be supported by the National Programme.

Under Outcome Two of the Roadmap, the National Programme will support the preparation of Mongolia's National REDD+ Strategy through which key drivers of deforestation and forest degradation in Mongolia will be analysed through detailed studies, and specific policies and measures to address those key drivers will be identified. At the same time, the National Programme will support Mongolia in establishing suitable institutional arrangements and undertake institutional capacity development activities in order to implement the Strategy. As part of this effort, the National Programme will also support the establishment of REDD+ fund management and benefit distribution mechanisms together with a social and environmental safeguards policy framework and procedures.

Under Outcome Three of the Roadmap, the National Programme will support the establishment of national forest Reference Emission Level and/or forest Reference Level (REL/RL), with sub-national forest RELs/RLs as potential interim measures. The emphasis of this Component will be the collection of data on historical land use and the analysis of relevant national circumstances, as well as the development of specific capacities to further develop, pilot and implement RELs/RLs under a full National REDD+ Strategy.

Under Outcome Four of the Roadmap, the National Programme will support the development of a national forest monitoring system, comprising a monitoring function and a Measurement, Reporting and Verification (MRV) function. The monitoring function will serve to assess the implementation and impact of the specific policies, measures and actions under the National REDD+ Strategy, while the MRV function will be used to assess and report on the mitigation performance of REDD+ activities to the UNFCCC. The National Programme will also assist Mongolia in establishing its national safeguards information system in order to make available information on how the UNFCCC REDD+ safeguards have been respected and addressed.

The following co-financing initiatives will directly contribute to the implementation of Mongolia's National REDD+ Readiness Roadmap:

- GIZ - support to the preparation of a REDD+ Compatible Forest Inventory. This support is to Outcome 4, and mostly to Output 4.a.3 of the Roadmap;
- UNDP (UN-REDD Targeted Support) - support to key activities under Outcomes 1 and 2, as determined jointly with government;
- UNEP (UN-REDD Targeted Support) - support to key activities under Outcomes 3 and 4, as determined jointly with government;
- FAO (UN-REDD Targeted Support) - support to key activities under Outcomes 3 and 4, as determined jointly with government; and
- FAO/GEF project, "Mainstreaming biodiversity conservation, SFM and carbon sink enhancement into Mongolia's productive forest landscapes" - support to key activities under Outcome 3 and 4, as determined jointly with government.

## **2. Results Framework**

The NPD includes four Outcomes, with associated Outputs as follows:

### **OUTCOME 1: NATIONAL REDD+ MANAGEMENT ARRANGEMENTS ESTABLISHED and IMPROVED STAKEHOLDER AWARENESS AND EFFECTIVE STAKEHOLDER ENGAGEMENT**

- Output 1: A broad-based, multi-stakeholder National REDD+ Taskforce established
- Output 2: UN-REDD Programme Management Unit (PMU) established
- Output 3: CSO/LC forum established
- Output 4: Public awareness raised
- Output 5: Consultation and participation plan developed
- Output 6: National FPIC guidelines developed

### **OUTCOME 2: NATIONAL REDD+ STRATEGY PREPARED**

- Output 7: Barriers to REDD+ identified through:
  - 1) analysis of drivers of deforestation and forest degradation; and
  - 2) assessment of legal and policy alignment needs
- Output 8: REDD+ policies and measures identified and prioritised through:
  - 1) identification of strategies to address barriers to REDD+; and
  - 2) demonstration activities to test identified strategies for REDD+
- Output 9: National fund management and mechanism for distribution of positive incentives designed
- Output 10: Capacity-building action plan developed
- Output 11: Gender analysis undertaken
- Output 12: REDD+ social and environmental safeguard policy framework developed
- Output 13: National REDD+ Strategy prepared through the collation of technical outputs from Outcomes 1-4

### **OUTCOME 3: FOREST REFERENCE EMISSIONS LEVELS AND FOREST REFERENCE LEVELS DEVELOPED**

- Output 14: Capacity built for the development of FRELs/FRLs
- Output 15: FRELs/FRLs methodologies developed and tested

### **OUTCOME 4: NATIONAL FOREST MONITORING SYSTEM AND SAFEGUARDS INFORMATION SYSTEM DEVELOPED**

- Output 16: NFMS and Forest Information System (FIS) development process managed
- Output 17: REDD+ MRV System developed
- Output 18: Safeguards Information system (SIS) established

The full suite of outputs and activities to achieve REDD+ readiness are further elaborated in Table 1 together with indicators and participating UN organization contribution.

The UN Country Team (UNCT) works with the Government of Mongolia to implement the MDGs-based Comprehensive National Development Strategy (NDS). In 2010, the UNCT prepared the United Nations Development Assistance Framework for Mongolia (UNDAF), in partnership with the Government of Mongolia. This sets out the UNCT work plan for the period 2012-2016.

The UNDAF identifies four Strategic Priorities for cooperation between the Government of Mongolia and the UNCT:

1. Economic development is inclusive and equitable contributing towards poverty alleviation;
2. Equitable access to, and utilization of, quality basic social services and sustainable social protection;
3. Improved sustainability of natural resources management and resilience of ecosystems and vulnerable populations to the changing climate; and
4. Strengthened governance for protection of human rights and reduction of disparities.

While the National Programme can help to address Strategies Priorities 1 and 4, it is particularly relevant to Strategic Priority 3, which lists as an Outcome (No. 7) “Increased sector capacity for sustainable resources management with the participation of primary resource users.”

Therefore, the National Programme will support establishing policies, programmes and capacities at national, sub-national and community levels to ensure environmental sustainability, address climate change and reduce disaster risks; empower communities and strengthen institutions to support local governance, access to justice, social integration, and gender equality; and to monitor, promote and protect human rights in alignment with international treaties and obligations.

**Table 1. National Programme Results Framework**

<p><b>UN-REDD National Programme Goal :</b></p> <p><b>Baseline:</b> National REDD+ Readiness Roadmap not under full implementation yet.</p> <p><b>Means of verification:</b> mid-term and final evaluations</p>	<p><b>Support the Government of Mongolia in designing and implementing its National REDD+ Strategy and in meeting the requirements under the UNFCCC Warsaw Framework to receive REDD+ results-based payments.</b></p> <p><b>Indicator:</b> Full scale implementation of the National REDD+ Readiness Roadmap with necessary capacities to meet the international requirements for receiving REDD+ results-based payments and necessary institutional arrangements to implement the National REDD+ Strategy.</p> <p><b>Target:</b> By 36 months, evidence of national ownership in the REDD+ processes and increased support by development partners</p>				
National Programme outcomes, outputs and activities	Indicators (for outcomes and outputs)	Baseline (for outcomes and outputs)	Target (for outcomes and outputs)	Means of Verification	Lead UN Org.
<p><b>OUTCOME 1: NATIONAL REDD+ MANAGEMENT ARRANGEMENTS ESTABLISHED and IMPROVED STAKEHOLDER AWARENESS AND EFFECTIVE STAKEHOLDER ENGAGEMENT</b></p>	<p>Indicators: Stakeholder engagement mechanisms in place for accountable, transparent and equitable decision making</p>	<p>Baseline: Some preliminary efforts and interests  Limited understanding of REDD+</p>	<p>Targets: By 9 months, mechanisms of engagement and participation are established.  By 36 months, stakeholder awareness is increased significantly.</p>	<p>Means of verification: surveys, reports, mid-term and final evaluations, etc.</p>	<p>UNDP</p>



<p><b>Output 1: A broad-based, multi-stakeholder National REDD+ Taskforce established</b></p> <p>Indicative activities:</p> <ol style="list-style-type: none"> <li>1. Conduct detailed institutional mapping for REDD+, including sub-national level to identify relevant policy actors to be represented in the National REDD+ Taskforce.</li> <li>2. Review operation of current Taskforce and identify any changes required (e.g. to functions, mandate and membership).</li> <li>3. Prepare draft terms of reference for the Taskforce and Technical Working Groups, including membership lists.</li> <li>4. Establish National REDD+ Taskforce (and National REDD+ Programme Unit) by ministerial decree.</li> <li>5. Undertake capacity needs assessment for Taskforce and TWGs upon operationalization (TWGs on an as-needed basis) in order to fulfil their expected roles and responsibilities.</li> <li>6. Provide capacity support based on identified needs to ensure effective functions of Taskforce and TWGs.</li> </ol>	<p>A broad-based, multi-stakeholder National REDD+ Taskforce.</p>	<p>Existing National REDD+ Taskforce, draft ToR available, but membership not fully comprehensive.</p>	<p>By 6 months, national REDD+ Taskforce is re-established and meeting regularly, with full representation of all stakeholders.</p>	<p>Decree establishing Taskforce Reports and minutes of regular Taskforce meetings.</p>	<p>UNDP</p>
<p><b>Output 2: UN-REDD Mongolia Programme Management Unit (PMU) established</b></p> <p>Indicative activities:</p> <ol style="list-style-type: none"> <li>1. Review options for establishing and locating the PMU (e.g. where can it be best placed to ensure broad-based, cross-sectoral engagement?).</li> <li>2. Agree on ToR for the PMU, and establish the PMU.</li> <li>3. Establish clear working arrangements between the PMU and DFPC, MEGDT, coordinating all relevant REDD+ activities.</li> <li>4. Identify capacity development needs of PMU and develop and implement a capacity development plan.</li> <li>5. Conduct a mid-term internal evaluation and organise a final evaluation of the National Programme (NP).</li> </ol>	<p>PMU established and fully operational.</p>	<p>Draft ToR in Roadmap and preliminary consultations have been held.</p>	<p>By 2 weeks, proposal to establish REDD+ Unit agreed.</p> <p>By 5 weeks, REDD+ Unit established and operational (note: international advisor may come on board slightly later)</p> <p>By 18 months, conduct a participatory internal evaluation of NP to ensure adaptive management</p> <p>By 36 months, organise an independent final evaluation of NP.</p>	<p>Collection of reports, minutes and guidelines.</p>	<p>UNDP</p>

<p><b>Output 3: CSO/LC forum established</b></p> <p>Indicative activities:</p> <ol style="list-style-type: none"> <li>1. Conduct detailed stakeholder mapping of non-government sector, if not yet already covered adequately by prior activities.</li> <li>2. Prepare proposal for structure, membership and ToR of CSO/LC Forum, and any sub-fora (e.g. FUGs, IPs, private sector, women's groups, etc.), and undertake initial capacity assessment.</li> <li>3. Consult and validate proposal at national level workshop.</li> <li>4. Support self-organization and independent management of the Forum.</li> <li>5. Carry out capacity building for effective stakeholder engagement by CSOs and LCs on an as-needed basis.</li> </ol>	<p>Forum established and fully operational.</p>	<p>No existing mechanism.</p>	<p>By 6 months, draft stakeholder mapping completed.</p> <p>By 8 months, a draft proposal agreed to establish Forum, with ToR.</p> <p>By 9 months, Forum established and operational, and civil society is satisfied with the framework.</p>	<p>Minutes of Taskforce meetings.</p> <p>Minutes of Forum meetings.</p> <p>Survey of Forum members</p>	<p>UNDP</p>
<p><b>Output 4: Public awareness raised</b></p> <p>Indicative activities:</p> <ol style="list-style-type: none"> <li>1. Develop a national public awareness-raising strategy and plan, with details of target audience, key messages, indicators of success, communication media, costs and responsible parties.</li> <li>2. Identify the role of television, internet, radio programmes and printed materials.</li> <li>3. Implement the national public awareness-raising strategy and plan.</li> </ol>	<p>Awareness-raising plan developed and implemented.</p> <p>Evidence of awareness increase.</p>	<p>Not known, but understanding of REDD+ can be assumed to be weak</p>	<p>By 6 months, website developed.</p> <p>By 8 months, REDD+ related material (leaflet, booklet, poster etc.) in circulation and TV and radio programmes broadcasted.</p> <p>By 36 months, stakeholder awareness raised (confirmed through survey).</p>	<p>Results of surveys</p> <p>Feedback and reports from the extension worker</p> <p>REDD+ related materials and Website.</p>	<p>UNDP</p>
<p><b>Output 5: Consultation and participation plan developed</b></p> <p>Indicative activities:</p> <ol style="list-style-type: none"> <li>1. Identify target stakeholder groups and appropriate communication methods, materials, targets and media for each group.</li> <li>2. Review communication processes for CSO/LC Forum.</li> <li>3. Establish guideline for creating sub-national stakeholder forums.</li> <li>4. Prepare draft Consultation and Participation Plan, including full details of audience, communication tools, responsible parties, targets, etc.).</li> <li>5. Organize regular meetings and workshops with stakeholders for communication and consultation.</li> </ol>	<p>Consultation and participation plan developed and implemented.</p> <p>Evidence of awareness increase among non-government stakeholders of means of participation and providing feedback to policy processes.</p>	<p>No existing materials on REDD+ in this context.</p>	<p>By 10 months, Consultation and Participation Plan prepared.</p> <p>By 12 months, implementation of Plan has commenced and some REDD+ materials available</p>	<p>Plan available</p> <p>Reports of consultation and participation activities (e.g. workshop reports)</p>	<p>UNDP</p>

<p><b>Output 6: National FPIC guidelines developed</b></p> <p>Indicative activities:</p> <ol style="list-style-type: none"> <li>1. Prepare draft FPIC Guidelines that reflect both international norms and national circumstances.</li> <li>2. Undertake stakeholder consultation and validation of final Guidelines.</li> <li>3. Consider how to institutionalise the Guidelines (e.g. in law).</li> </ol>	<p>National FPIC guidelines developed and considered for institutionalisation.</p>	<p>No FPIC guidelines for the forest sector.</p> <p>FPIC guidelines for the mining sector at the community level have been prepared by Oxfam.</p>	<p>By 24 months, draft National FPIC Guidelines prepared</p> <p>By 2.5 years, options for institutionalisations agreed.</p>	<p>Mongolia-specific FPIC Guidelines available</p> <p>Institutionalisation options available.</p>	<p>UNDP</p>
<p><b>OUTCOME 2: NATIONAL REDD+ STRATEGY PREPARED</b></p>	<p>Indicators: Mongolia has the National REDD+ Strategy with clear institutional arrangements to implement results-based actions</p>	<p>Baseline: None</p>	<p>Targets: By the end of NP</p>	<p>Means of verification: Reports, meeting minutes, mid-term and final evaluations</p>	<p>UNDP /UNEP</p>
<p><b>Output 7: Barriers to REDD+ identified through:</b></p> <p><b>1) analysis of drivers of deforestation and forest degradation ; and</b></p> <p><b>2) assessment of legal and policy alignment needs</b></p> <p>(this output is delivered by the existing TS)</p> <p>Indicative activities:</p> <ol style="list-style-type: none"> <li>1. Identify and analyse the drivers of deforestation and forest degradation.</li> <li>2. Conduct a study on land-use change in Mongolia (integrated spatial analysis of sectoral development plans and potential areas of conflict).</li> <li>3. Assess existing laws and policies, including clarifying whether securing land tenure/use rights is required for REDD+.</li> <li>4. Assess institutional framework for forest management and governance (e.g. supply of forest resource, corruption risk-mapping of forest and public finance sectors, etc.).</li> <li>5. Provide policy recommendations and sectoral action plans for REDD+ (linking to energy, agriculture and transformational policies toward green economy)</li> <li>6. Validate recommendations with stakeholders.</li> </ol>	<p>Challenges and opportunities in addressing land use and land cover change identified.</p> <p>Associated weaknesses and strengths in the policy, legal and institutional framework and capacities recognised.</p>	<p>Preliminary identification of drivers and review of policy and legal framework by National REDD+ Roadmap Taskforce.</p>	<p>By 12 months, national study to identify and assess drivers completed</p> <p>By 18 months, study completed on legal alignment of laws and policies.</p>	<p>Studies available</p> <p>Minutes of validation meetings available</p>	<p>UNDP</p>

<p><b>Output 8: REDD+ policies and measures identified and prioritised through:</b>  <b>1)identification of strategies to address barriers to REDD+; and</b>  <b>2)demonstration activities to test identified strategies for REDD+</b></p> <p>Indicative activities:</p> <ol style="list-style-type: none"> <li>1. Carry out studies and consultations to identify the main strategy, or strategies, which will address each of the prioritized drivers, including an assessment of the potential impacts of each of these strategies on poverty alleviation, and men and women.</li> <li>2. Prepare proposed list of strategies to address deforestation and forest degradation and validate with stakeholders.</li> <li>3. Conduct cost-benefit analysis of including southern Saxaul forests in REDD+.</li> </ol>	<p>Different strategic options for addressing drivers of deforestation and forest degradation, stakeholder engagement, technical approaches at national and subnational levels identified.</p>	<p>Preliminary assessment by National REDD+ Roadmap Taskforce on strategies</p>	<p>By 18 months, draft list of strategies prepared.</p> <p>By 2 years, national study completed to identify and assess strategies.</p> <p>By 21 months, cost-benefit analysis of Saxaul forest completed.</p>	<p>Studies available</p>	<p>UNDP</p>
<p><b>Output 9: National fund management and mechanism for distribution of positive incentives deigned</b></p> <p>Indicative activities:</p> <ol style="list-style-type: none"> <li>1. Assess existing systems for financial management and distribution (e.g., fee for using natural resources, micro-finance, national pension and healthcare schemes, etc.).</li> <li>2. Prepare options paper and recommendations for transparent and accountable management of national REDD+ revenues. If appropriate, propose establishment of National REDD+ Fund.</li> <li>3. Prepare options paper and recommendations on positive incentive sharing mechanism.</li> <li>4. Propose a Positive Incentives Distribution Plan (PIDP).</li> <li>5. Validate proposals and policy recommendations with stakeholders.</li> </ol>	<p>Transparent system for REDD+ finances identified</p>	<p>UNDP has existing review of environmental law framework.</p> <p>Information available from other projects on benefit sharing.</p>	<p>By 15 months, options papers prepared for amendments to land tenure, options for managing revenues and benefit sharing.</p> <p>By 18 months, assessment of institutional structure for forest management completed, including corruption risk assessment.</p> <p>By 22 months, proposals for national fund management and benefit distribution are being reviewed by the public, national authorities and international community.</p>	<p>Reports available.</p> <p>Minutes of validation meeting available</p>	<p>UNDP</p>

<p><b>Output 10: Capacity-building plans developed for key institutions for REDD+ implementation</b> (this is delivered by the existing TS)</p> <p>Indicative activities:</p> <ol style="list-style-type: none"> <li>1. Identify key institutions involved in REDD+ implementation;</li> <li>2. Develop a competency framework.</li> <li>3. Conduct the Capacity Needs Assessment.</li> <li>4. Develop a Capacity-Building Action Plan for enabling REDD+ institutional arrangements.</li> <li>5. Validate proposed Action Plan with stakeholders.</li> </ol>	<p>Institutional competencies and capacities required for receiving results-based payments identified and used to assess capacity needs for which concrete capacity development plans designed and implemented (# of plans).</p>	<p>No comprehensive plan.</p> <p>Capacity development action plan for mainstreaming financing for sustainable forest management into sectoral budgets</p>	<p>By 10 months, a Competency Framework is designed and adopted.</p> <p>By 12 months, a Capacity Needs Assessment completed.</p> <p>By 22 months, a Capacity Building Plan is under implementation.</p>	<p>Reports available</p> <p>Minutes of validation meeting available</p>	<p>UNDP</p>
<p><b>Output 11: Gender analysis undertaken to make all outputs under the this National Programme gender sensitive</b></p> <p>Indicative activities:</p> <ol style="list-style-type: none"> <li>1. Conduct a gender analysis of proposed national and local institutional structures for REDD+.</li> <li>2. Conduct a gender analysis of proposed demonstration activities, where relevant.</li> <li>3. Prepare a proposal and guidelines for mainstreaming gender considerations under the proposed national REDD+ strategy, including monitoring indicators.</li> <li>4. Validate policy recommendations with stakeholders.</li> </ol>	<p>Concrete strategies and guidelines available to systemically address gender considerations and inclusion of women in REDD+ processes.</p>	<p>No analysis done</p>	<p>Gender analysis conducted by 18 months.</p> <p>Proposals to mainstream gender approved and implemented by 2 years.</p>	<p>Reports available</p> <p>Minutes of validation meeting available</p>	<p>UNDP</p>

<p><b>Output 12: REDD+ social and environmental safeguard policy framework developed</b></p> <p>Indicative activities:</p> <ol style="list-style-type: none"> <li>1. Determine the objectives of the safeguards through a multi-sectoral consultation process.</li> <li>2. Review existing national laws and policies on safeguards with respect to UNFCCC Cancun Agreement and identify whether new laws and policies are required.</li> <li>3. Prepare draft REDD+ Social and Environmental Safeguard Policy Framework with clear principles and criteria, while also reviewing existing international standards and initiatives on safeguards.</li> <li>4. Develop indicators and verifiers linking to the identified principles and criteria.</li> <li>5. Seek stakeholder feedback and validation on draft Policy Framework.</li> <li>6. Link Safeguards with Safeguard Information System and National Forest Monitoring System (Outcome 4) and Grievance Mechanism.</li> </ol>	<p>REDD+ Social and Environmental Safeguard Policy Framework prepared and officially approved.</p>	<p>No material available.</p>	<p>Preparation and approval of draft safeguard Framework by 20 months.</p>	<p>Framework available.</p> <p>Minutes of validation meeting available</p> <p>Official approval.</p>	<p>UNEP</p>
<p><b>Output 13: National REDD+ Strategy prepared through the collation of technical outputs from Outcomes 1-4</b></p> <p>Indicative activities:</p> <ol style="list-style-type: none"> <li>1. Prepare draft National REDD+ Strategy based on all assessments and consultation (including under the Outputs described under Outcomes 1, 3 and 4).</li> <li>2. Validate draft National REDD+ Strategy with stakeholders.</li> </ol>	<p>Comprehensive National REDD+ Strategy in place to implement results-based actions.</p>	<p>No current strategy, there is the Roadmap</p>	<p>By 3 years, National REDD+ Strategy prepared and in final stages of approval</p>	<p>National REDD+ strategy available and adopted by stakeholders and Government</p>	<p>UNDP</p>
<p><b>OUTCOME 3: FOREST REFERENCE EMISSIONS LEVELS AND FOREST REFERENCE LEVELS DEVELOPED</b></p>	<p>Indicators: National or sub-national FREL/FRL drafted and endorsed</p>	<p>Baseline: No FREL/FRL</p>	<p>Targets: Nationally-endorsed FREL/FRL</p>	<p>Means of verification: Programme reports, mid-term and final evaluations</p>	<p>FAO</p>

<p><b>Output 14: Capacity built for the development of FRELs/FRLs</b></p> <p>Indicative activities:</p> <ol style="list-style-type: none"> <li>1. FRELs/FRLs capacity building workshops and seminars held with stakeholders.</li> <li>2. Development of an Action Plan for the development of FRELs/FRLs in Mongolia.</li> <li>3. Expert and multi-stakeholder review process to recommend national decisions for FREL/FRL on forest definition, scope and scale.</li> <li>4. Stakeholder consultation workshop to present findings of the FREL/FRL review.</li> </ol>	<p>Number of individuals with capacities for developing FREL/FRLs.</p> <p>Action Plan developed and adopted</p> <p>National agreements on forest definition, scope and scale reached</p>	<p>Almost no capacity in Mongolia specific to preparing FREL /FRL</p> <p>No Action Plan on FREL/FRL development</p> <p>No national agreements</p>	<p>By 24 months, 15 individuals.</p> <p>By 12 months, Action Plan developed</p> <p>By 18 months, national agreements reached</p>	<p>Documents available</p> <p>Minutes of TWG.</p>	<p>FAO</p>
<p><b>Output 15: FRELs/FRLs methodologies developed and tested (corresponds to outputs 15, 16 and 17 in Roadmap)</b></p> <p>Indicative activities:</p> <ol style="list-style-type: none"> <li>1. Data compiled and methodologies tested, including: <ol style="list-style-type: none"> <li>a. Compilation of a harmonised, historical time series of activity data</li> <li>b. Compilation of emission factors</li> <li>c. Testing and agreement on methodological elements</li> </ol> </li> <li>2. Mongolia's national circumstances assessed, and decision on whether and how an adjustment to the FREL/FRL is required</li> <li>3. FREL/FRL drafted through an iterative process, expert review and refinement, for submission to UNFCCC.</li> </ol>	<p>Complete set of historical activity data and emission factors compiled.</p> <p>Decision on adjustment for national circumstances made</p> <p>Process for iterative FREL/FRL development established and FREL/FRL submitted to UNFCCC</p>	<p>Some initial work has been done, but it is not verified and not complete.</p> <p>No decision</p> <p>No process</p>	<p>By 18 months, data compiled.</p> <p>By 24 months, a decision on adjustment for national circumstances reached</p> <p>By 36 months, a FREL/FRL submitted to UNFCCC</p>	<p>Documents available</p> <p>Minutes of TWG.</p> <p>UNFCCC submission</p>	<p>FAO</p>
<p><b>OUTCOME 4: NATIONAL FOREST MONITORING SYSTEM AND SAFEGUARDS INFORMATION SYSTEM DEVELOPED</b></p>	<p>Indicator: NFMS developed and functional as a MRV system for REDD+</p>	<p>Baseline: None</p>	<p>Targets: One NFMS</p>	<p>Means of verification: mid-term and final evaluations</p>	<p>FAO and UNEP</p>

<p><b>Output 16: NFMS and Forest Information System (FIS) development process managed (corresponds to outputs 18, 19 and 22 in Roadmap)</b></p> <p>Indicative activities:</p> <ol style="list-style-type: none"> <li>1. NFMS Action Plan management: <ol style="list-style-type: none"> <li>a. Organize NFMS work and regular Working Group meetings.</li> <li>b. Formalize institutional arrangements for the implementation and management of NFMS.</li> <li>c. Conduct annual Capacity needs assessments for revisions of NFMS.</li> </ol> </li> <li>2. Forest Information System (FIS) suitable for monitoring of REDD+ Actions: <ol style="list-style-type: none"> <li>a. Establishment of a web-GIS platform for forest information.</li> <li>b. Establishment of central REDD+ FIS database.</li> <li>c. Develop monitoring protocols for REDD+ policies and measures, including community forest monitoring.</li> <li>d. Forest boundary delineation in the field and GIS.</li> </ol> </li> </ol>	<p>NFMS Action Plan % of activities implemented</p> <p>Number of NFMS Action Plan annual revisions conducted</p> <p>Central FIS database operationalised.</p> <p>Number of government institutions linked by Data sharing agreements.</p> <p>Forest management and monitoring system and guidelines developed</p> <p>Forest boundary delineation completed</p>	<p>NFMS Action Plan exists: (x%)* of activities implemented *to be determined at inception</p> <p>No revisions</p> <p>No FIS database</p>	<p>By 36 months, 3 annual CBNA and NFMS revisions conducted</p> <p>By 24 months a web-GIS platform and FIS database are operational</p> <p>By 18 months, a method for determining monitoring protocols for PAMs is adopted</p> <p>By 24 months, monitoring protocols are piloted in two sub-national units</p> <p>By 36 months, forest boundary delineation completed</p>	<p>Reports, minutes, training materials.</p>	<p>FAO</p>
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<p><b>Output 17: REDD+ MRV system developed (corresponds to outputs 19, 20 and 21 in Roadmap)</b></p> <p>Indicative activities:</p> <ol style="list-style-type: none"> <li>1. Establishment of Satellite Land Monitoring System (SLMS): <ol style="list-style-type: none"> <li>a. Capacity building on GIS and remote sensing</li> <li>b. Establishment of land cover classification system.</li> <li>c. Create land cover maps.</li> </ol> </li> <li>2. National Forest Inventory (NFI) cycle supported: <ol style="list-style-type: none"> <li>a. Capacity building programme for NFI.</li> <li>b. Develop national tree species and forest inventory database, data gap analysis for estimation of emission factors.</li> <li>c. National dialogue on objectives and parameters of NFI.</li> <li>d. Assessment of NFI methodology.</li> </ol> </li> <li>3. Greenhouse Gas Inventory (GHG-I) for the Forest Sector: <ol style="list-style-type: none"> <li>a. Capacity building programme for GHG-I.</li> <li>b. Develop GHG database and archiving system.</li> </ol> </li> </ol>	<p>MRV system completed and capable of generating national GHG-I reports (BURs) including LULUCF data suitable for REDD+ reporting</p> <p>SLMS established with common land classification system</p> <p>National emission factors developed</p> <p>Number of individuals trained and capable: <ul style="list-style-type: none"> <li>- In SLMS</li> <li>- In NFI</li> <li>- In GHG-I</li> </ul> </p>	<p>No REDD+ MRV System in Mongolia</p> <p>No SLMS</p> <p>First NFI designed and completed, but no national emission factors</p> <p>State of GHG-I reporting capacity not determined</p>	<p>By 18 months, training on remote sensing and GIS is provided.</p> <p>By 24 months, the REDD+ SLMS is operational</p> <p>By 18 months, a tree species and forestry database is established and data gap analysis completed.</p> <p>By 24 months, the National forest inventory methodology is assessed</p> <p>By 36 months, national emission factors are developed.</p> <p>Within 36 months, Mongolian reports to UNFCCC (GHG inventory, LULUCF), as part of the BUR, are recognised as being of higher quality.</p> <p>By 36 months, a national team of 12 individuals is capable of implementing each pillar of the MRV system</p>	<p>Reports, minutes, training materials, web-GIS platform.</p>	<p>FAO</p>
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<p><b>Output 18: Safeguards Information System (SIS) established</b></p> <p>Indicative activities:</p> <ol style="list-style-type: none"> <li>1. Develop a full list of the potential social, environmental and other benefits and risks. Study the potential benefits and risks. Prioritise amongst this list for benefits and risks to be monitored.</li> <li>2. Finalize the list of social, ecological or governance impacts that should be covered by the Safeguards.</li> <li>3. Identify and assess related in-country national and international initiatives related to governance, and other REDD+ safeguards, such as FLEGT.</li> <li>4. Establish baselines and indicators for each (i) all co-benefits to be monitored and (ii) all safeguards.</li> <li>5. Develop a system to monitor changes in the selected elements and to share information – the Safeguard Information System (SIS).</li> <li>6. Consult stakeholders and validate the resulting proposals and policy implications.</li> </ol>	<p>Effective SIS providing information on how REDD+ safeguards are addressed and respected in Mongolia.</p>	<p>No safeguard information system in place</p>	<p>By 18 months, nationally appropriate safeguards and indicators are identified.</p> <p>By 2 years, National REDD+ safeguards and indicators are tested and submitted for official endorsement.</p> <p>By 2.5 years, the safeguards information is made available in the central database.</p>	<p>National REDD+ Safeguards Information System</p>	<p>UNEP</p>
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**Table 2: Resource allocation and indicative time frame**

National Programme Outcome	National Programme Output	Lead UN Org.	Resource allocation and indicative time frame			
			Y1	Y2	Y3	Total
Outcome 1: National REDD+ Management Arrangements Established and Improved Stakeholder Awareness and Effective Stakeholder Engagement	Output 1: A broad-based, multi-stakeholder National REDD+ Taskforce established	UNDP	30,000	25,000	25,000	80,000
	Output 2: UN-REDD Programme Management Unit (PMU) established		395,000	420,000	315,000	1,130,000
	Output 3: CSO/LC forum established		20,000	40,000	40,000	100,000
	Output 4: Public awareness raised		100,000	100,000	100,000	300,000
	Output 5: Consultation and participation plan developed		30,000	25,000	25,000	80,000
	Output 6: National FPIC guidelines developed		0	30,000	20,000	50,000
	Sub-total:		575,000	640,000	525,000	1,740,000
Outcome 2: National REDD+ Strategy Prepared	Output 7: Barriers to REDD+ identified through: 1) analysis of drivers of deforestation and forest degradation; and 2) assessment of legal and policy alignment needs (this output is delivered by the existing TS)	UNDP	0	0	0	0
	Output 8: REDD+ policies and measures identified and prioritised through: 1) identification of strategies to address barriers to REDD+; and 2) demonstration activities to test identified strategies for REDD+		50,000	100,000	50,000	200,000
	Output 9: National fund management and mechanism for distribution of positive incentives designed		60,000	100,000	40,000	200,000
	Output 10: Capacity-building action plan developed (this output is delivered by the existing TS)		0	0	0	0
	Output 11: Gender analysis undertaken		10,000	40,000	0	50,000
	Output 12: REDD+ social and environmental safeguard policy framework developed	UNEP	50,000	75,000	75,000	200,000

National Programme Outcome	National Programme Output	Lead UN Org.	Resource allocation and indicative time frame			
			Y1	Y2	Y3	Total
	Output 13: National REDD+ Strategy prepared through the collation of technical outputs from Outcomes 1-4	UNDP	0	0	50,000	50,000
	Sub-total:		170,000	315,000	215,000	700,000
Outcome 3: Forest Reference Emissions Levels and Forest Reference Levels Developed	Output 14: Capacity built for the development of FRELs/FRLs	FAO	45,000	40,000	25,000	110,000
	Output 15: FRELs/FRLs methodologies developed and tested		90,000	170,000	130,000	390,000
	Sub-total:		135,000	210,000	155,000	500,000
Outcome 4: National Forest Monitoring System and Safeguards Information System Developed	Output 16: NFMS and Forest Information System (FIS) development process managed	FAO	65,500	66,500	68,000	200,000
	Output 17: REDD+ MRV system developed		115,000	125,000	155,000	395,000
	Output 18: Safeguards Information system (SIS) established	UNEP	50,000	100,000	50,000	200,000
	Sub-total:		230,500	291,500	273,000	795,000
Sub-total (US\$)			1,110,500	1,456,500	1,168,000	3,735,000
Indirect Support Cost (7%) (US\$)			77,735	101,955	81,760	261,450
Grand Total (US\$)			1,188,235	1,558,455	1,249,760	3,996,450

**Table 3: Pass-Through Allocations**

FAO	Programme Cost	315,500	401,500	378,000	1,095,000
	Indirect support Cost	22,085	28,105	26,460	76,650
UNDP	Programme Cost	695,000	880,000	665,000	2,240,000
	Indirect support Cost	48,650	61,600	46,550	156,800
UNEP	Programme Cost	100,000	175,000	125,000	400,000
	Indirect support Cost	7,000	12,250	8,750	28,000
Total	Programme Cost	1,110,500	1,456,500	1,168,000	3,735,000
	Indirect support Cost	77,735	101,955	81,760	261,450

### 3. Management and Coordination Arrangements

#### Overview of the overall UN-REDD Programme structure

##### Policy Board

The UN-REDD Policy Board provides overall leadership and sets the strategic direction of the UN-REDD Programme. It decides on Programme financial allocations, in line with the budget parameters set out in the UN-REDD Framework Document, and develops monitoring mechanisms, with a view to ensuring Fund-wide success. The UN-REDD Policy Board will ensure coordination with REDD actors at a global scale, such as the World Bank's FCPF participants' committee. The Terms of Reference and Rules of Procedure for the UN-REDD Policy Board will be made available on the UN-REDD Programme website [www.un-redd.org](http://www.un-redd.org). See also the UN-REDD Workspace for eligible users [www.unredd.net](http://www.unredd.net)

##### Secretariat

The UN-REDD Secretariat serves the Policy Board, using the capacities of the participating UN organizations, research institutions and recognized experts. It ensures policies and strategies decided by the Policy Board are implemented and adhered to. The Secretariat will manage the National Programme review process. It will also manage the UN-REDD's overall monitoring and evaluation function which includes *inter alia* monitoring allocations to and delivery by the country National Programmes, and tracking Programme-wide progress and ensuring that monitoring mechanisms are applied.

The Secretariat's main roles can be summarised as follows:

- Policy Board support
- Partner and external relations
- Quality assurance and oversight of National Programmes
- Quality assurance and oversight of the International Support Functions described in the Global Programme-Support to National REDD+ Action (hereafter referred to as the "Global National Programme")
- Monitoring and knowledge management

##### Participating UN Organizations' Coordination Group

The Participating UN Organizations' Coordination Group consists of representatives of the three UN agencies: FAO, UNDP, and UNEP. The Coordination Group will have the main function in ensuring active, participatory and well-coordinated engagement by the agencies to implement the goals and objectives of the overall UN-REDD Programme, as well as to provide oversight of the Secretariat consistent with the strategic directions and decisions provided by the Policy Board.

##### Administrative Agent

The UNDP Multi-Partner Trust Fund Office (MPTF Office) is the Administrative Agent of the UN-REDD Fund. The MPTF Office administers funds based on decisions of the Policy Board and serves as the administrative interface with donors. UNDP's accountability as the Administrative Agent is set out in the policy "UNDP's Accountability when acting as Administrative Agent in MDTFs and/or UN National Programmes using the pass-through fund management modality."

The MPTF Office as AA is responsible for:

- (a) Receive contributions from donors that wish to provide financial support to the Fund;

- (b) Administer such funds received, in accordance with this Memorandum of Understanding including the provisions relating to winding up the Fund Account and related matters;
- (c) Subject to availability of funds, disburse such funds to each of the Participating UN Organizations in accordance with instructions from the Policy Board, taking into account the budget set out in the approved programmatic document, as amended in writing from time to time by the Policy Board;
- (d) Consolidate statements and reports, based on submissions provided to the Administrative Agent by each Participating UN Organization, as set forth in the TOR, and provide these to each donor that has contributed to the Fund Account and to the Policy Board;
- (e) Provide final reporting, including notification that the Fund has been fully expended or has been wound up in accordance with the Fund TOR; and
- (f) Disburse funds to any Participating UN Organization for any additional costs of the task that the Steering Committee may decide to allocate (as referred to in Section I, Paragraph 3) in accordance with TOR.

### **Overview of expected management arrangements at the national level**

#### **UN Resident Coordinator**

The UN Resident Coordinator will support the National Programme in her/his strategic leadership of the UN Country Team and relationships with national authorities. The UN Resident Coordinator will provide on-going oversight, ensuring the participating UN organizations are meeting their obligations. The Resident Coordinator is entrusted with supporting the overall programme design under the government's leadership, on-going programmatic oversight of the NP activities and UN coordination with the National REDD Office where such exist. The Resident Coordinator also facilitates on-going monitoring and evaluation of the National Programme activities in conformity with UN standards any guidance provided by the UN-REDD Secretariat or Policy Board. On receipt of consolidated country-level reports, the Resident Coordinator will provide an overall assessment of progress and results. Resident Coordinator is encouraged to keep Country Team members fully informed on UN-REDD Programme activities. The UN-REDD Programme also looks to Resident Coordinator to reach out to NGOs, CSOs, national governments and non-resident UN agencies, where appropriate.

#### **National Implementing Partner**

The key agencies identified for implementing the UN-REDD National Programme are under the Ministry of Environment, Green Development and Tourism (MEGDT). The Department of Forest Policy Coordination (DFPC) within MEGDT is the lead Implementing Partner, as the agency responsible for management of forested lands. A National Programme Director (NPD) based within the DFPC will head the UN-REDD National Programme.

#### **Programme Executive Board /National Steering Committee**

A Programme Executive Board (PEB) will be formed to appraise and approve the Programme's key documents, including annual work plans, budgets and if deemed necessary, semi-annual and annual reports, to ensure the delivery of the intended results and address critical issues and risks that cannot be addressed by the National Implementing Partner alone. It will be chaired by the State Secretary of the MEGDT and co-chaired by the UN Resident Coordinator (UNRC). PEB members will include participating UN agencies, representatives of relevant Ministries and Departments, and representatives of CSOs (representing local communities and relevant ethnic minorities). The National Programme Director of the UN-REDD National Programme will act as the Secretary of the PEB.

The PEB through the National REDD+ Programme Unit will report to the Multi-Sectoral National REDD+ Taskforce. Its tasks include the overall coordination and collaboration between all relevant sectors and initiatives to implement REDD+ in a cross-sectoral fashion in order to contribute to the country’s green development objectives. Provisional TOR for the Taskforce are in Annex 1a-2.

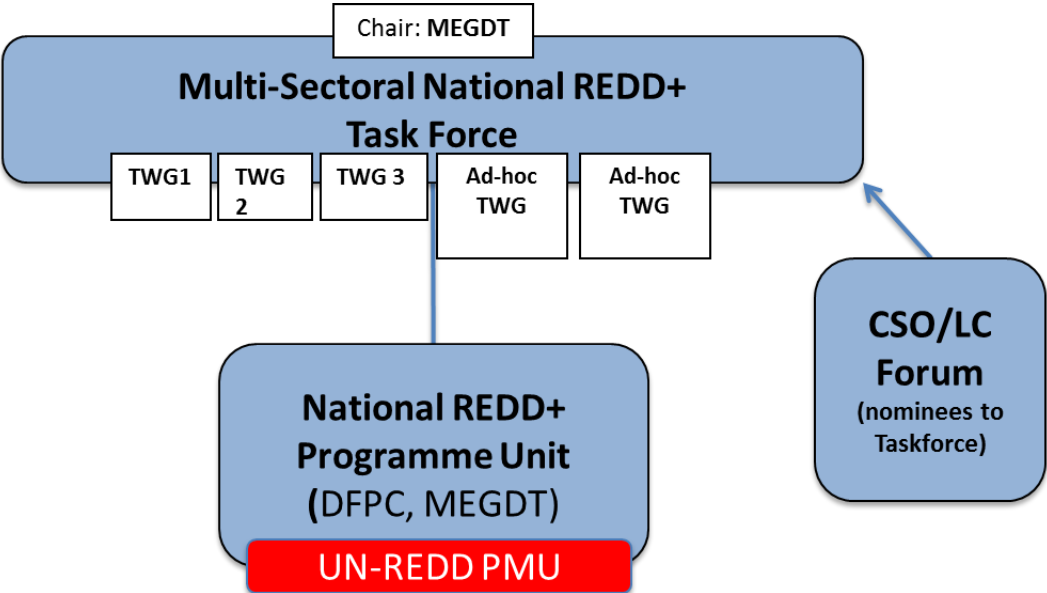


Figure 1: National REDD+ Readiness Arrangements

Programme Management Unit

A National Programme Director (NPD), based within the DFPC at MEGDT, will head the National Programme. Under the overall direction of the NPD, a Programme Management Unit (PMU) will be established under the National REDD+ Programme Unit (see Figure 1 above) to ensure day-to-day management of the National Programme. This arrangement will facilitate the capacity transfer between the PMU and the National REDD+ Programme Unit. Furthermore, the PMU will be responsible for the development and implementation of work plans and budgets (in close collaboration with FAO, UNDP, and UNEP) and the organization of PEB meetings. The PMU will also be responsible for maintaining transparent, up-to-date, and accessible records of the Programme. Key staff of the PMU will include a Programme Manager, Technical Advisors, Communications Officer, Administration and Finance Officer and a Secretary (ToR are available in [Annex 3](#)). The lead UN Agency in the UN-REDD Mongolia National Programme will be UNDP. As the lead agency, UNDP will support the establishment and operation of the PMU.

Participation of Civil Society and Indigenous Peoples

Current UN-REDD Guidelines regarding participation of civil society and Indigenous Peoples will be applied during the implementation of the National Programme. These include the [Operational Guidance on engagement of Indigenous Peoples and other forest dependent communities](#), and the [UN-REDD Programme Guidelines on Free, Prior and Informed Consent \(FPIC\)](#).

Coordination with other REDD+ initiatives

During the preparation of the REDD+ Readiness Roadmap, various government agencies and development partners were engaged, and as indicated earlier, commitments for co-financing have been confirmed through the

following sources for the implementation of the National REDD+ Readiness Roadmap. Thus, the UN-REDD Mongolia National Programme will also coordinate closely with the following co-financing entities and initiatives:

<b>Organization/Activity</b>	<b>Activity relevant to specific outcomes of the NPD</b>
Government of Mongolia	All around support to all components and activities. This includes both in-kind support and cash support.
GIZ	Support to the preparation of a REDD+ Compatible Forest Inventory. This support is to Outcome 4, and mostly to Output 4.a.3 of the Roadmap a.3
UNDP (UN-REDD TS)	Support to key activities under Outcomes 1 and 2, as determined jointly with government.
FAO (UN-REDD TS)	Targeted support to key activities under Outcomes 3 and 4, as determined jointly with government.
UNEP (UN-REDD TS)	Targeted support to key activities under Outcomes 3 and 4, as determined jointly with government.
FAO/GEF <i>“Mainstreaming biodiversity conservation, SFM and carbon sink enhancement into Mongolia’s productive forest landscapes”</i>	This project will pilot REDD+ at the local level. This will most notably contribute to: awareness raising; developing positive incentive distribution mechanisms; and developing participatory forest monitoring.

In particular, the National Programme will work closely with GIZ in developing a National Forest Inventory and a Satellite Forest Monitoring System under Outcome 4 of the Roadmap. Specific coordination and collaboration arrangements are currently being negotiated. The National Programme Unit will manage the overall process of coordination and alignment of development partners for the implementation of the Roadmap.

#### Use of the UN-REDD Programme logo

When developing communications products to support UN-REDD NP activities, the current logo available on the [workspace](#) and via the UN-REDD Secretariat, should always be used.

When resizing the logo, the relative proportions/dimensions and colours of the logo should not be altered. To accommodate certain layouts (i.e. cover designs), it is permitted to separate the UN-REDD Programme logo from the three agency logos on a given page. The UN-REDD Programme logo should only appear on materials that have been produced with funding from the UN-REDD Programme. Prior to launching materials that bear the UN-REDD Programme logo, review should be solicited from UN-REDD Programme staff, ideally from each of the three Participating UN Organizations. UN-REDD Programme staff should, in turn, ensure that the appropriate people internally have a chance to approve the use of the logo on the material.

#### **4. Fund Management Arrangements**

MPTF Office, as the Administrative Agent, will ensure consistency of the approved National Programme with the applicable provisions of the Standard Administrative Arrangements (SAA) entered between donors and the Administrative Agent, and the MOU between the Participating UN Organizations and the Administrative Agent. In line with the principles under the UN-REDD Programme, the three participating UN Organizations will make every effort to harmonized procedures for coordinated and consistent delivery of the National Programme. UNDP is the lead agency for the implementation of the programme.

#### Cash Transfer

Based on the principles applied to all UN-REDD National Programmes (see [Annex 5](#)), the three Participating UN Organizations will channel funds through a common cash transfer modality, based on the [Harmonized Approach to Cash Transfer \(HACT\)](#) process, and coordinate the timing of cash transfers to the single national counterpart.



Under the Harmonized Cash Transfer system (HACT) introduced by the UN EXCOM Agencies (UNDP, UNICEF, WFP and UNFPA) to reduce transaction costs on Implementing Partners, four modalities of payments are foreseen for nationally implemented projects/programmes. They include: 1) Prior to the start of activities against agreed work plan cash transferred (direct cash transfer) to the Treasury, Ministry of Finance and Planning, for forwarding to the Implementing Partner; 2) Reimbursements after completion of eligible activities by the Implementing Partner; 3) Direct payment to vendors or third parties for obligations incurred by the Implementing Partners on the basis of requests signed by the designated official of the Implementing Partner; and 4) Direct payments to vendors or third parties for obligations incurred by UN agencies in support of activities agreed with Implementing Partners.

In September 2014, a risk assessment was performed on the MEDGT. The assessment results suggest that the Ministry is equipped with suitable qualified personnel who have sufficient experience to handle its operations effectively and efficiently (see [Annex 2](#)). Additionally, staff members are well aware of the requirement of finance and administrative regulations and hence day-to-day operations are handled accordingly without major deviations. Therefore on the assessed end result of the financial management capacity, it has been given an overall risk rating as low. For more details, please refer to Annex 2 – HACT Micro Assessment Report of the MEGDT, Mongolia. On the basis of this assessment outcome, the first modality of payments described above will be used.

In order to receive the funds advanced by the Participating UN Organizations, the Implementing Partner/programme must either: a) Open a bank account, under the name of the programme, to be used only for receiving the Participating UN Organizations advances through the Treasury and to make payments related to the programme; or b) In agreement with participating UN organizations, identify an existing bank account under the IP's name, that would be used solely for the purposes of receiving advances from the Participating UN Organizations through the Treasury to the programme and making payments with these advances. Under no circumstances will the Direct Cash Transfer Modality be used to advance funds to any individual inside or any entity or individual outside of the Implementing Partner or to any account other than the identified official programme bank account.

It will be the responsibility of the PMU Manager to liaise with the Participating UN Organizations to prepare a consolidated Fund Authorisation and Certification of Expenditure [FACE] form, in the required format, and provide it to the Participating UN Organizations at regular and necessary intervals.

All procurements and disbursements by the Participating UN Organizations are approved by the NPD, thereby assuring coordination and ensuring national accountability. In outline, the Participating UN Organizations' rules and procedures are as follows:

#### **FAO**

For those Outputs indicated in the Results Framework, FAO receives funds and delivers services to different National Implementing Partners (NIP), in line with FAO standard procedures that are applied for Mongolia. These procedures involve either: (i) international procurement, (ii) national procurement, or (iii) Letter of Agreement (LoA) with a national agency, with scheduled payments based on agreed work plans. Provided that basic conditions can be met, FAO will consider using HACT for Non-Commercial activities (i.e. those that do not involve procurement or contracting). In such cases, FAO will apply the outcome of the HACT micro-assessment for the NIP. A Letter of Understanding (LoU) will be signed between FAO and the NIP based on the outcome of the micro-assessment.

#### **UNDP**

For those Outputs indicated in the Results Framework, UNDP receives funds and based on the approved annual work plan provides the required financial resources to the Implementing Partners, under the NIM modality, to carry out programme activities during the annual cycle. UNDP uses the HACT, under which the Implementing

Partner (IP) will be accountable for: managing UNDP resources to achieve the expected results specified in the programme document, in accordance with the principles of the Financial Regulations and Rules of UNDP; maintaining up-to-date accounting system to ensure accuracy and reliability of financial reporting; and sending expenditure reports on a quarterly based (or more frequently as appropriate) to UNDP. For those activities and outputs for which the Government of Mongolia requests UNDP to take responsibility, the Government of Mongolia and UNDP will sign a Letter of Agreement for the Provision of Support Services under NIM.

## **UNEP**

For those Outputs indicated in the Results Framework, UNEP receives funds and delivers services to the National Implementing Partner (NIP), in line with UNEP standard procedures that are applied for Mongolia. These procedures involve either: (i) international procurement, (ii) national procurement, or (iii) Small-scale Funding Agreement (SSFA) or Project Cooperation Agreement (PCA) with a national agency, with scheduled payments based on agreed work plans. UNEP applies the outcome of the HACT micro-assessment for Non-Commercial activities (i.e. those that do not involve procurement or contracting).”

### Direct and Support Costs

Any direct technical assistance provided by a Participating UN Organization must be approved by the PEB on an annual basis and by the National Programme Director on a quarterly basis.

Directly implemented technical assistance shall be provided through the National Programme, while direct support costs the Participating UN Organizations should be charged to the Support to National REDD+ Action - Global Programme, on the basis of the Local Price List. Where UN agency direct support costs are charged to a NP budget, they should be agreed (in writing) in advance with the national counterpart. For more information, please refer to [Annex 5 – Principles to be applied for National Programmes](#) and the UN-REDD Programme Handbook for National Programmes and other National-Level Activities.

### Procurement

Annual and quarterly work plans will identify responsible partners for procurements. As a general rule, under the programme’s national implementation arrangement (NIM), the Government guidelines will be applied for competitive procurement of goods and services, such as advertising, tender bidding, evaluation and approval; they will also be in line with international standards for all programme-related activities. The Implementing Partner using its own procedures and systems will do procurement of items.

In exceptional cases, based on a specific request of the Implementing Partner, the Participating UN Organizations in line with their procurement policy may provide procurement and recruitment services to the Implementing Partner including:

- a) Identification and recruitment of programme personnel
- b) Identification and facilitation of training activities
- c) Procurement of goods and services

It will be the responsibility of the beneficiary line ministry or government institution to ensure the settlement of all duties/taxes/levies/VAT on imported goods and services at the point of clearing from Mongolia Customs as well as all VAT and other statutory levies applicable and payable on local procurement of goods and services. The Implementing Partner bears no responsibility whatsoever in the settlement of Government of Mongolia duties/taxes/levies/VAT on all imported and local procurement of goods and services.

The Implementing Partner will be audited periodically as per the annual audit plan prepared by the government coordinating authority in consultation with the UNDP Mongolia as the lead agency for the UN-REDD Mongolia National Programme. MEGDT will be responsible for ensuring that all audit requirements are met.

## **5. Monitoring, Evaluation and Reporting**

Reporting and monitoring provide opportunities at regular predetermined points to validate the logic of the National Programme implementation, and to make adjustments as needed. Information from systematic monitoring needs to be used to encourage improvements or reinforce plans, as well as provide critical input to evaluation. It is difficult to evaluate a process that is not well designed and that does not systematically monitor its progress.

The relevant impact, outcomes, and outputs delivered will be reported on and monitored during the implementation of the National Programme. As necessary parameters for monitoring and evaluation such as baselines, indicators, targets and means of verifications are already provided in Table 1: National Programme Results Framework, this section will only focus on how monitoring and evaluation activities will be carried out during the implementation of the National Programme.

### **Monitoring and Evaluation Schedule and Resources**

In order to ensure adaptive management of the process, the implementation of the National Programme will be monitored and evaluated periodically through internal reviews (i.e., quarter, semi-annual, annual progress reporting). There will be a mid-term participatory internal evaluation (US\$ 5,000 allocated under Output 2) and an independent final evaluation<sup>1</sup> (US\$ 35,000 allocated under Output 2) carried out by an independent reviewer at the end of the implementation to assess achievements and lessons and to make recommendations for remedial action and future consideration. In general, the monitoring activities will be carried out by the PMU in coordination with the DFPC of the MEGDT, other partners and the Participating UN Organizations, while the indirect cost will ensure quality assurance and oversight by the Participating UN Organizations.

### **Evaluation**

All programmes supported by the UN-REDD Programme will undertake (mid-term and) final evaluations, which will assess the relevance and effectiveness of the intervention, and measure the development impact of the results achieved, on the basis of the initial analysis and indicators described at the time of programme formulation. The mid-term evaluation will be an internal exercise to review the effectiveness of programme management and substantive progress, and to take stock of any lessons to ensure adaptive management of the National Programme. The UN-REDD Programme Secretariat is responsible for preparing Terms of Reference for the National Programme final evaluations, ensuring its compliance with the MoU and the policies and procedures of each of the implementing UN Agencies. The budget for final evaluations should be included in the National Programme budget. The overall UN-REDD Programme will be externally evaluated every two to three years.

### **Reporting**

All reports are to be submitted to the UN-REDD Secretariat ([un-redd@un-redd.org](mailto:un-redd@un-redd.org)) by the communicated deadline. These reports serve all UN-REDD Programme reporting needs, including those of the UN-REDD

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<sup>1</sup> The provision for the evaluation of the UN Joint Programme (UNJP) may be budgeted under the components of any of the participating agencies. A joint evaluation, wherein the evaluation units of all concerned agencies participate in the Evaluation Management Group, is the preferred option.

Programme's Administrative Agent, the MPTF Office. The MPTF Office submits the consolidated reports to the UN-REDD Policy Board and the donors of the UN-REDD MPTF account.

In preparing the NP reports, the responsibilities are as follows:

- *Participating UN Organizations* prepare and sign-off the reports, determining their own internal processes as appropriate and nominate one or more reporting focal points per country. The focal points will report on activities managed at regional/headquarter level, request inputs from National Programme Manager, and sign-off the narrative reports before sending them to the UN-REDD Secretariat.
- *The National Programme Manager* should consolidate and complete the narrative reports, including the financial information of the National Programme and request comments and clearance of the report from the Government Counterpart; and return the report to the focal points.
- *The Government Counterpart shall* provide additional and complementary information, as well as sign the report.
- *The UN Resident Coordinator* shall support coordination of the participating UN organizations at the country level to ensure that the necessary information is provided.

The Participating UN Organizations are required to provide narrative reports on results achieved, lessons learned and the contributions made to the National Programme. The Programme Manager shall consolidate information into a narrative report every six months. The UN Resident Coordinator will then forward the reports to the UN-REDD Secretariat. The UN-REDD Secretariat shall provide the Policy Board updates on the implementation progress of the National Programme every six months, based on information received from the UN Resident Coordinator. The Programme Manager and designated coordinating officer from one of the Participating UN Organizations shall also follow-up with the relevant officers and representatives of the participating UN Organizations to ensure the delivery of the report.

In accordance with the UN-REDD Memorandum of Understanding (MoU), the participating UN Organizations in receipt of UN-REDD resources will be required to provide the Administrative Agent with the following statements and reports for each National Programme:

- National Programme Annual Narrative and Financial Report for each 12 months period ending 31 December each year (1 January - 31 December), as per the deadline agreed between the three Participating UN Organizations and the MPTF Office (See the National Programme annual reporting template);
- National Programme Semi-Annual Narrative and Financial Reports for the six months period ending 30 June each year (1 January - 30 June), as per the deadline agreed between the three Participating UN Organizations and the MPTF Office (See the National Programme semi-annual reporting template);
- A Final National Programme Narrative and Financial Report, after the completion of all National Programme activities financed from the UN-REDD Programme, as per the deadline agreed between the Participating UN Organizations and the MPTF Office. These financial statements are provided to the MPTF Office from the Headquarters of the Participating UN Organizations (See the National Programme final reporting template);
- A Final Certified National Programme Financial Statement, to be provided no later than 30 June of the year following the financial closing of Programme activities.

The Administrative Agent shall prepare consolidated narrative progress and financial reports consisting of the reports referred to above submitted by each Participating UN Organization, and shall provide those consolidated reports to the UN-REDD Policy Board through the Secretariat. Subsequently, in accordance with the MoU and the

Standard Administrative Agreement, the Administrative Agent will submit consolidated narrative and financial reports to all UN-REDD Programme donors. Agreed standard UNDG financial and progress-reporting formats will be utilised. The Administrative Agent will also submit to donors a certified annual financial statement (Source and Use of Funds).

Upon closure, all National Programmes are required to undertake a final evaluation. The evaluation is undertaken to assess the programme performance, and determine outcomes and impacts stemming from the programme, including their sustainability. The evaluation has two primary objectives: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback and knowledge sharing through results and lessons learned among the participating UN Organizations and other partners. Information given to the press, to the beneficiaries of the UN-REDD Programme, all related publicity material, official notices, reports and publications, shall acknowledge the role of the UN-REDD donors, the UN Agencies, and any other relevant parties.

Whenever possible and to the extent that it does not jeopardize the privileges and immunities of UN Participating Organizations, and the safety and security of their staff, UN Participating Organizations will promote donor visibility on information, programme materials and at programme sites, in accordance with their respective regulations, rules, policies and procedures.

**6. Risk Management**

The matrix below assesses each risk and provides indicative mitigation measures to be taken during the implementation of the National Programme. These risks will be closely monitored and updated throughout the programme implementation.

Risk Category	Description of Risk	Assessment of Risk (High, medium, or low)	Mitigation Measure
Political	Lack of political will in support of the Roadmap, supporting policies and institutional reforms	Medium	<p>Advocacy programme targeting policy makers and key decision makers would have a positive impact creating and maintaining the political will necessary for a successful programme implementation. REDD+ will be aligned with and discussed in the context of green development.</p> <p>Awareness programmes for national, Aimag and soum level politicians.</p>
Organizational	Lack of coordination among the government institutions to work jointly and support joint actions (MRV, forest definition, law enforcement, etc.)	Medium	Weak coordination will be strengthened through the Green Development Concept and Mid-Term Programme. It has been designed to establish an interactive process involving all key ministries to provide adequate collaboration on critical social and environmental issues for sustainable development as embodied in the strategies and proposed actions. The REDD+ involvement in it is expected to create a common platform for different stakeholders to act together across land use sectors.
	Lack of willingness to share and harmonize		Representatives of all relevant institutions will be members of the National Taskforce.

Risk Category	Description of Risk	Assessment of Risk (High, medium, or low)	Mitigation Measure
	data across the government institutions.	Medium	In addition, the Government is currently working on a national data sharing mechanisms, which will be implemented in the future.
Operational	Ineffective national REDD+ coordination mechanism	Low	The National Taskforce will be established soon after the inception workshop to mitigate this risk. The Taskforce's coordination and decision-making process will ensure adequate coordination and consensus between all the stakeholder institutions. In addition, it should be noted that over-reliance on the Taskforce for implementation progress can also be a risk. Therefore, the National REDD+ Programme Unit with the guidance of the Taskforce will closely monitor and address issues and risks as they arise and play a strong facilitation role to ensure progress.
	Limited information dissemination and access by remote areas	Medium	Consultation and Participation Plan will also target stakeholders in remote areas.
	Legal barriers to benefit-sharing options	Medium	Options for equitable and transparent benefit sharing will be identified.  The TWIG on financial flows and benefit sharing under REDD+ will provide a comprehensive understanding of the financial flows and develop options for financial management and benefit distribution.
	Weak mechanism to allow effective participation of all relevant stakeholders.	Low	With targeted awareness among stakeholders, effective platforms to ensure stakeholder participation will be developed. The proposed 'REDD readiness' phase is used to analyse existing barriers and develop effective mechanisms.
Strategic	Lack of stakeholder interests and support on key guidance materials (safeguards, etc.)	Medium	Detailed analysis to develop a clear understanding of potential impacts and different stakeholder interests together with awareness raising and consultation will ensure effective participation and support of stakeholders.
	Lack of coordination among different stakeholder groups	Medium	Consultation and Participation Plan will improve information access and dissemination plus extensive coordination extending from national to community level.

## 7. Legal Context or Basis of Relationship

The Participating UN Organizations (FAO, UNDP and UNEP) have signed a Memorandum of Understanding (MOU) to implement the UN-REDD Collaborative Programme, which came into effect on 20<sup>th</sup> June 2008. The current Programme strategy runs between 2011 and 2015.

This National Programme document is consistent with the cooperation/assistance agreements signed by the lead UN agencies involved in this programme with the Government of Mongolia. For the UNDP, this document is pursuant to the Country Programme Action Plan and the Standard Basic Assistance Agreement (SBAA) it signed with the Government of Mongolia. All provisions in the SBAA therefore apply to this document. Consistent with Article III of the SBAA, the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of the UN Agencies' property in the Implementing Partner's custody, rests with the implementing partner.

The implementing partner shall:

- Put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the programme is being carried; and
- Assume all risks and liabilities related to the Implementing Partner's security, and the full implementation of the security plan.

The **UNDP** reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this agreement.

On the part of the **FAO**, this document is consistent with the basic agreement with Government of Mongolia as indicated in the exchange of letters between the Government of Mongolia and FAO in 1977, which led to the establishment of the FAO country office in Ulaanbaatar.

The Deputy FAO Representative<sup>2</sup> shall represent the Organization in Mongolia, and shall be responsible within the limits of the authority delegated to him/her, for all aspects of the Organization's activities in the country. In the effective performance of his/her functions, the Deputy FAO Representative shall have access to appropriate policy and planning levels of Government in the agriculture, fishery and forestry sectors of the economy, as well as, to central planning authorities. He/she shall maintain close liaison with the Government's coordinating agency for external assistance and thereby serve to keep all the appropriate Government agencies fully informed on all aspects of the policies and procedures of FAO's programme in Mongolia. In addition, in order to facilitate the implementation of the Programme by FAO, the Government of Mongolia agrees to the supplementary arrangements contained in Annex 6 to this document in connection with FAO's activities under the Programme.

For **UNEP**, in line with its position as a non-resident agency with a global mandate for technical cooperation and capacity building, the signed National Programme document shall be the legal basis of UNEP's relation with the Government of Mongolia within the context of this programme. UNEP will work in close coordination with the programme management team.

The Participating UN Organizations agree to undertake all reasonable efforts to ensure that none of the funds received pursuant to UN-REDD are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by Participating UN Organizations do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>. This provision must be included in all sub-contracts or sub-agreements entered into under this programme document.

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<sup>2</sup> The FAO Representative for Mongolia is based in Beijing, China. Therefore, the necessary authority is delegated to the Deputy FAO Representative in Ulaanbaatar for this programme.

## **8. Work plans and budgets**

The Participating UN Organizations and the Government of Mongolia have developed the work plan and budget of this National Programme jointly, and it is presented in [Annex 1](#). The work plan details the expected outcomes, outputs and budgets to be carried out within the programme, the Implementing Partner, timeframes and planned inputs from the Participating UN Organizations. An annual work plan and budget will be produced each year for each Participating UN Organization, subsequent to the decisions of the annual/regular reviews. Each work plan will be approved by the UN-REDD Secretariat and signed by the Implementing Partner.



## Annex 1: Work Plan with harmonized budget categories

Outcome 1: National REDD+ Management Arrangements Established and Improved Stakeholder Awareness and Effective Stakeholder Engagement								
Expected outputs	Planned budget (USD)					Participating UN Agencies		
	Description	Year 1	Year 2	Year 3	Total	FAO	UNDP	UNEP
Output 1: A broad-based, multi-stakeholder National REDD+ Taskforce established	Staff and other personnel costs	3,000	2,000	2,000	7,000	-	7,000	-
	Supplies, Commodities, Materials	5,000	3,000	3,000	11,000	-	11,000	-
	Equipment, Vehicles, and Furniture including Depreciation	9,600	9,600	9,600	28,800	-	28,800	-
	Contractual Services	-	-	-	-	-	-	-
	Travel	11,600	9,600	9,600	30,800	-	30,800	-
	Transfers and Grants Counterparts	-	-	-	-	-	-	-
	General Operating and Other Direct Costs	800	800	800	2,400	-	2,400	-
	<b>Total</b>	<b>30,000</b>	<b>25,000</b>	<b>25,000</b>	<b>80,000</b>	<b>-</b>	<b>80,000</b>	<b>-</b>
UN-REDD Programme Management Unit (PMU) established	Staff and other personnel costs	328,000	338,000	248,000	914,000	-	914,000	-
	Supplies, Commodities, Materials	15,000	17,000	10,000	42,000	-	42,000	-
	Equipment, Vehicles, and Furniture including Depreciation	27,500	17,500	12,500	57,500	-	57,500	-
	Contractual Services (for independent M&E)	-	5,000	35,000	40,000	-	40,000	-
	Travel	10,000	13,000	10,000	33,000	-	33,000	-
	Transfers and Grants Counterparts	-	-	-	-	-	-	-
	General Operating and Other Direct Costs	14,500	14,500	14,500	43,500	-	43,500	-
	<b>Total</b>	<b>395,000</b>	<b>405,000</b>	<b>330,000</b>	<b>1,130,000</b>	<b>-</b>	<b>1,130,000</b>	<b>-</b>
Output 3: CSO/LC forum established	Staff and other personnel costs	-	-	-	-	-	-	-
	Supplies, Commodities, Materials	2,000	4,000	4,000	10,000	-	10,000	-
	Equipment, Vehicles, and Furniture including Depreciation	-	-	-	-	-	-	-
	Contractual Services	9,250	19,250	19,250	47,750	-	47,750	-
	Travel	8,000	16,000	16,000	40,000	-	40,000	-
	Transfers and Grants Counterparts	-	-	-	-	-	-	-
	General Operating and Other Direct Costs	750	750	750	2,250	-	2,250	-
	<b>Total</b>	<b>20,000</b>	<b>40,000</b>	<b>40,000</b>	<b>100,000</b>	<b>-</b>	<b>100,000</b>	<b>-</b>
Output 4: Public	Staff and other personnel costs	8,000	8,000	8,000	24,000	-	24,000	-

awareness raised	Supplies, Commodities, Materials	25,000	25,000	25,000	75,000	-	75,000	-
	Equipment, Vehicles, and Furniture including Depreciation	23,000	23,000	23,000	69,000	-	69,000	-
	Contractual Services	30,000	30,000	30,000	90,000	-	90,000	-
	Travel	7,000	7,000	7,000	21,000	-	21,000	-
	Transfers and Grants Counterparts	-	-	-	-	-	-	-
	General Operating and Other Direct Costs	7,000	7,000	7,000	21,000	-	21,000	-
	<b>Total</b>	<b>100,000</b>	<b>100,000</b>	<b>100,000</b>	<b>300,000</b>	<b>-</b>	<b>300,000</b>	<b>-</b>
Output 5: Consultation and participation plan developed	Staff and other personnel costs	-	-	-	-	-	-	-
	Supplies, Commodities, Materials	10,000	6,000	6,000	22,000	-	22,000	-
	Equipment, Vehicles, and Furniture including Depreciation	-	-	-	-	-	-	-
	Contractual Services	20,000	9,000	9,000	38,000	-	38,000	-
	Travel	-	10,000	10,000	20,000	-	20,000	-
	Transfers and Grants Counterparts	-	-	-	-	-	-	-
	General Operating and Other Direct Costs	-	-	-	-	-	-	-
<b>Total</b>	<b>30,000</b>	<b>25,000</b>	<b>25,000</b>	<b>80,000</b>	<b>-</b>	<b>80,000</b>	<b>-</b>	
Output 6: National FPIC guidelines developed	Staff and other personnel costs	-	-	-	-	-	-	-
	Supplies, Commodities, Materials	-	3,000	7,000	10,000	-	10,000	-
	Equipment, Vehicles, and Furniture including Depreciation	-	-	-	-	-	-	-
	Contractual Services	-	26,000	12,000	38,000	-	38,000	-
	Travel	-	-	-	-	-	-	-
	Transfers and Grants Counterparts	-	-	-	-	-	-	-
	General Operating and Other Direct Costs	-	1,000	1,000	2,000	-	2,000	-
<b>Total</b>	<b>-</b>	<b>30,000</b>	<b>20,000</b>	<b>50,000</b>	<b>-</b>	<b>50,000</b>	<b>-</b>	
<b>Outcome 1 Sub-total</b>		<b>575,000</b>	<b>625,000</b>	<b>540,000</b>	<b>1,740,000</b>	<b>-</b>	<b>1,740,000</b>	<b>-</b>
<b>Outcome 2: National REDD+ Strategy Prepared</b>								
Expected outputs	Planned budget (USD)					Participating UN Agencies		
	Description	Year 1	Year 2	Year 3	Total	FAO	UNDP	UNEP
Output 7: Barriers to REDD+ identified	Staff and other personnel costs	-	-	-	-	-	-	-
	Supplies, Commodities, Materials	-	-	-	-	-	-	-

through: 1) analysis of drivers of deforestation and forest degradation; and 2) assessment of legal and policy alignment needs (this output is delivered by the existing TS)	Equipment, Vehicles, and Furniture including Depreciation	-	-	-	-	-	-	-
	Contractual Services	-	-	-	-	-	-	-
	Travel	-	-	-	-	-	-	-
	Transfers and Grants Counterparts	-	-	-	-	-	-	-
	General Operating and Other Direct Costs	-	-	-	-	-	-	-
	<b>Total</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
Output 8: REDD+ policies and measures identified and prioritised through: 1) identification of strategies to address barriers to REDD+; and 2) demonstration activities to test identified strategies for REDD+	Staff and other personnel costs	12,000	44,500	17,500	74,000	-	74,000	-
	Supplies, Commodities, Materials	3,750	9,750	4,750	18,250	-	18,250	-
	Equipment, Vehicles, and Furniture including Depreciation	3,000	3,000	3,000	9,000	-	9,000	-
	Contractual Services	17,750	29,750	11,750	59,250	-	59,250	-
	Travel	10,000	10,000	10,000	30,000	-	30,000	-
	Transfers and Grants Counterparts	-	-	-	-	-	-	-
	General Operating and Other Direct Costs	3,500	3,000	3,000	9,500	-	9,500	-
<b>Total</b>	<b>50,000</b>	<b>100,000</b>	<b>50,000</b>	<b>200,000</b>	<b>-</b>	<b>200,000</b>	<b>-</b>	
Output 9: National fund management and mechanism for distribution of positive incentives designed	Staff and other personnel costs	17,000	30,500	12,500	60,000	-	60,000	-
	Supplies, Commodities, Materials	3,000	12,000	5,000	20,000	-	20,000	-
	Equipment, Vehicles, and Furniture including Depreciation	3,000	3,000	3,000	9,000	-	9,000	-
	Contractual Services	26,500	39,500	9,500	75,500	-	75,500	-
	Travel	7,000	12,000	7,000	26,000	-	26,000	-
	Transfers and Grants Counterparts	-	-	-	-	-	-	-
	General Operating and Other Direct Costs	3,500	3,000	3,000	9,500	-	9,500	-
<b>Total</b>	<b>60,000</b>	<b>100,000</b>	<b>40,000</b>	<b>200,000</b>	<b>-</b>	<b>200,000</b>	<b>-</b>	
Output 10: Capacity-building action plan developed for key institutions for REDD+ implementation (this output is delivered by the existing TS)	Staff and other personnel costs	-	-	-	-	-	-	-
	Supplies, Commodities, Materials	-	-	-	-	-	-	-
	Equipment, Vehicles, and Furniture including Depreciation	-	-	-	-	-	-	-
	Contractual Services	-	-	-	-	-	-	-
	Travel	-	-	-	-	-	-	-

by the existing TS)	Transfers and Grants Counterparts	-	-	-	-	-	-	-
	General Operating and Other Direct Costs	-	-	-	-	-	-	-
	<b>Total</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
Output 11: Gender analysis undertaken to make all outputs under the this National Programme gender sensitive	Staff and other personnel costs	-	-	-	-	-	-	-
	Supplies, Commodities, Materials	2,000	4,000	-	6,000	-	6,000	-
	Equipment, Vehicles, and Furniture including Depreciation	-	-	-	-	-	-	-
	Contractual Services	7,000	33,000	-	40,000	-	40,000	-
	Travel	1,000	3,000	-	4,000	-	4,000	-
	Transfers and Grants Counterparts	-	-	-	-	-	-	-
	General Operating and Other Direct Costs	-	-	-	-	-	-	-
<b>Total</b>	<b>10,000</b>	<b>40,000</b>	<b>-</b>	<b>50,000</b>	<b>-</b>	<b>50,000</b>	<b>-</b>	
Output 12: REDD+ social and environmental safeguard policy framework developed	Staff and other personnel costs	20,000	25,000	25,000	70,000	-	-	70,000
	Supplies, Commodities, Materials	3,000	5,000	5,000	13,000	-	-	13,000
	Equipment, Vehicles, and Furniture including Depreciation	5,000	5,000	5,000	15,000	-	-	15,000
	Contractual Services	10,000	30,000	30,000	70,000	-	-	70,000
	Travel	12,000	10,000	10,000	32,000	-	-	32,000
	Transfers and Grants Counterparts	-	-	-	-	-	-	-
	General Operating and Other Direct Costs	-	-	-	-	-	-	-
<b>Total</b>	<b>50,000</b>	<b>75,000</b>	<b>75,000</b>	<b>200,000</b>	<b>-</b>	<b>-</b>	<b>200,000</b>	
Output 13: National REDD+ Strategy prepared through the collation of technical outputs from Outcomes 1-4	Staff and other personnel costs	-	-	10,000	10,000	-	10,000	-
	Supplies, Commodities, Materials	-	-	10,000	10,000	-	10,000	-
	Equipment, Vehicles, and Furniture including Depreciation	-	-	-	-	-	-	-
	Contractual Services	-	-	30,000	30,000	-	30,000	-
	Travel	-	-	-	-	-	-	-
	Transfers and Grants Counterparts	-	-	-	-	-	-	-
	General Operating and Other Direct Costs	-	-	-	-	-	-	-
<b>Total</b>	<b>-</b>	<b>-</b>	<b>50,000</b>	<b>50,000</b>	<b>-</b>	<b>50,000</b>	<b>-</b>	
<b>Outcome 2 Sub-total</b>	<b>170,000</b>	<b>315,000</b>	<b>215,000</b>	<b>700,000</b>	<b>-</b>	<b>500,000</b>	<b>200,000</b>	
<b>Outcome3: Forest Reference Emissions Levels and Forest Reference Levels Developed</b>								

Expected outputs	Planned budget (USD)					Participating UN Agencies		
	Description	Year 1	Year 2	Year 3	Total	FAO	UNDP	UNEP
Output 14: Capacity built for the development of FRELs/FRLs	Staff and other personnel costs	15,000	15,000	10,000	40,000	40,000	-	-
	Supplies, Commodities, Materials	7,000	6,000	4,000	17,000	17,000	-	-
	Equipment, Vehicles, and Furniture including Depreciation	10,000	7,000	4,000	21,000	21,000	-	-
	Contractual Services	10,000	10,000	5,000	25,000	25,000	-	-
	Travel	-	-	-	-	-	-	-
	Transfers and Grants Counterparts	-	-	-	-	-	-	-
	General Operating and Other Direct Costs	3,000	2,000	2,000	7,000	7,000	-	-
	<b>Total</b>	<b>45,000</b>	<b>40,000</b>	<b>25,000</b>	<b>110,000</b>	<b>110,000</b>	<b>-</b>	<b>-</b>
Output 15: FRELs/FRLs methodologies developed and tested	Staff and other personnel costs	20,000	65,000	50,000	135,000	135,000	-	-
	Supplies, Commodities, Materials	25,000	12,000	10,000	47,000	47,000	-	-
	Equipment, Vehicles, and Furniture including Depreciation	10,000	13,000	10,000	33,000	33,000	-	-
	Contractual Services	28,000	55,000	42,000	125,000	125,000	-	-
	Travel	2,000	15,000	10,000	27,000	27,000	-	-
	Transfers and Grants Counterparts	-	-	-	-	-	-	-
	General Operating and Other Direct Costs	5,000	10,000	8,000	23,000	23,000	-	-
	<b>Total</b>	<b>90,000</b>	<b>170,000</b>	<b>130,000</b>	<b>390,000</b>	<b>390,000</b>	<b>-</b>	<b>-</b>
<b>Outcome 3 Sub-total</b>	<b>135,000</b>	<b>210,000</b>	<b>155,000</b>	<b>500,000</b>	<b>500,000</b>	<b>-</b>	<b>-</b>	
<b>Outcome 4: National Forest Monitoring System and Safeguards Information System Developed</b>								
Expected outputs	Planned budget (USD)					Participating UN Agencies		
	Description	Year 1	Year 2	Year 3	Total	FAO	UNDP	UNEP
Output 16: NFMS and Forest Information System (FIS) development process managed	Staff and other personnel costs	10,000	10,000	10,000	30,000	30,000	-	-
	Supplies, Commodities, Materials	16,500	17,000	15,000	48,500	48,500	-	-
	Equipment, Vehicles, and Furniture including Depreciation	12,000	12,500	14,000	38,500	38,500	-	-
	Contractual Services	12,000	12,000	15,000	39,000	39,000	-	-
	Travel	11,000	11,000	10,000	32,000	32,000	-	-
	Transfers and Grants Counterparts	-	-	-	-	-	-	-
	General Operating and Other Direct Costs	4,000	4,000	4,000	12,000	12,000	-	-

	<b>Total</b>	<b>65,500</b>	<b>66,500</b>	<b>68,000</b>	<b>200,000</b>	<b>200,000</b>	<b>-</b>	<b>-</b>
Output 17: REDD+ MRV system developed	Staff and other personnel costs	40,000	45,000	40,000	125,000	125,000	-	-
	Supplies, Commodities, Materials	26,000	25,000	30,000	81,000	81,000	-	-
	Equipment, Vehicles, and Furniture including Depreciation	22,000	22,000	30,000	74,000	74,000	-	-
	Contractual Services	5,000	10,000	25,000	40,000	40,000	-	-
	Travel	15,000	15,000	21,000	51,000	51,000	-	-
	Transfers and Grants Counterparts	-	-	-	-	-	-	-
	General Operating and Other Direct Costs	7,000	8,000	9,000	24,000	24,000	-	-
	<b>Total</b>	<b>115,000</b>	<b>125,000</b>	<b>155,000</b>	<b>395,000</b>	<b>395,000</b>	<b>-</b>	<b>-</b>
Output 18: Safeguards Information System (SIS) established	Staff and other personnel costs	10,000	20,000	10,000	40,000	-	-	40,000
	Supplies, Commodities, Materials	5,000	10,000	5,000	20,000	-	-	20,000
	Equipment, Vehicles, and Furniture including Depreciation	5,000	9,000	5,000	19,000	-	-	19,000
	Contractual Services	25,000	51,000	25,000	101,000	-	-	101,000
	Travel	5,000	10,000	5,000	20,000	-	-	20,000
	Transfers and Grants Counterparts	-	-	-	-	-	-	-
	General Operating and Other Direct Costs	-	-	-	-	-	-	-
	<b>Total</b>	<b>50,000</b>	<b>100,000</b>	<b>50,000</b>	<b>200,000</b>	<b>-</b>	<b>-</b>	<b>200,000</b>
<b>Outcome 4 Sub-total</b>		<b>230,500</b>	<b>291,500</b>	<b>273,000</b>	<b>795,000</b>	<b>595,000</b>	<b>-</b>	<b>200,000</b>
<b>Total Programme Cost (All Outcomes)</b>		<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Total</b>	<b>FAO</b>	<b>UNDP</b>	<b>UNEP</b>
<b>SUMMARY OF PROGRAMME COST</b>	Staff and other personnel costs	483,000	603,000	443,000	1,529,000	330,000	1,089,000	110,000
	Supplies, Commodities, Materials	148,250	158,750	143,750	450,750	193,500	224,250	33,000
	Equipment, Vehicles, and Furniture including Depreciation	130,100	124,600	119,100	373,800	166,500	173,300	34,000
	Contractual Services	200,500	359,500	298,500	858,500	229,000	458,500	171,000
	Travel	99,600	141,600	125,600	366,800	110,000	204,800	52,000
	Transfers and Grants Counterparts	-	-	-	-	-	-	-
	General Operating and Other Direct Costs	49,050	54,050	53,050	156,150	66,000	90,150	-
	<b>Total</b>	<b>1,110,500</b>	<b>1,441,500</b>	<b>1,183,000</b>	<b>3,735,000</b>	<b>1,095,000</b>	<b>2,240,000</b>	<b>400,000</b>
<b>Indirect Support Cost (7%) (US\$)</b>		<b>77,735</b>	<b>100,905</b>	<b>82,810</b>	<b>261,450</b>	<b>76,650</b>	<b>156,800</b>	<b>28,000</b>
<b>Grand Total (US \$)</b>		<b>1,188,235</b>	<b>1,542,405</b>	<b>1,265,810</b>	<b>3,996,450</b>	<b>1,171,650</b>	<b>2,396,800</b>	<b>428,000</b>

## Annex 2: Summary of HACT Micro Assessment in September 2014

# Assessment summary

### Overall risk assessment

An overall assessment of the Financial Management Capacity of the Ministry of Environment and Green Development was conducted through over 130 questions concerning subject areas covering 9 subject areas, consisting of 1) Implementing Partner, 2) Funds Flow, 3) Organizational Structure and Staffing, 4) Accounting Policies and Procedures, 5) Internal Audit, 6) Financial Audit, 7) Reporting and Monitoring, 8) Information Systems and 9) Procurement. Based on the result of the assessment we are providing recommendation in order to support improvements.

The Ministry of Environment and Green Development has been very cooperative throughout the assessment and provided information in a timely manner.

We identified risk assessments for each subject area and assigned the overall risk as low, scored 1 on the Financial Management Capacity of the Ministry of Environment and Green Development.










#### Implementing Partner: Ministry of Environment and Green Development

Overall risk assessment: 1

Risk rating: Low

Risk indicator: 

As shown in the table below is number of risk points assigned for each area, number of applicable questions and overall risk assessment:

№	Subject area	Total number of risk point	Total number of applicable questions	Overall risk assessment	Risk assessment			
					High	Significant	Moderate	Low
1	Implementing partner:	5	4	1				
2	Funds flow:	8	7	1				
3	Organizational structure and staffing:	14	10	1				
4	Accounting policies and procedures:	56	44	1				
5	Internal audit:	14	5	3				
6	Financial audit:	10	6	2				
7	Reporting and monitoring:	7	7	1				
8	Information systems:	6	5	1				
9	Procurement:	56	37	2				
<b>TOTAL</b>		<b>176</b>	<b>125</b>	<b>1</b>				

Please refer to the next pages for general understanding of each area, overall assessment in accordance with the framework, incorporating with the identified issues and recommendations for improvement opportunities.

### **Annex 3: Terms of Reference of Programme Management Unit (PMU) Staff**

The PMU will consist of five core staff members.

1. Chief Technical Advisor (International) ,
2. Programme Manager,
3. Admin and Finance Officer,
4. Communications Officer,
5. Programme Secretary.

There will be two additional technical positions.

1. Two NFMS Experts (International and national), and
2. REDD+ Governance Expert (National).

The following are the Terms of Reference for the Chief Technical Advisors and Programme Manager Positions (ToR for the other positions are available separately):

#### **1. Chief Technical Advisor**

##### **Objectives:**

- Effective oversight and coordination of all technical aspects of the programme, in consultation with NPD and PM
- Ensure sound delivery of technical outputs and strategic documents, in accordance with national circumstances
- Build capacity and development support of the NPD, national implementing partners and other key stakeholders in all technical and management aspects of REDD+ and the UN-REDD Programme

##### **Specific responsibilities are as follows:**

##### Programme Implementation Support

- Provide technical assistance to NPD and PM in strategic planning process;
- Assist the NPD and PM in establishing effective technical working relationships with the national and international counterparts;
- Document and analyse the programme's effectiveness, summarizing lessons learned, successful tools and methodologies, ensuring that the information is shared with all relevant partners;
- Develop and implement a mechanism for technical quality assurance for the programme;
- Identify and develop terms of reference (ToR) for required technical inputs and mobilization of appropriate technical specialists to deliver those inputs, in consultation with NPD/PM;
- Assist the NPD/PM in supervising and coordinating the programme to ensure its results are in accordance with the National Programme Document;
- Assist in monitoring of programme delivery and advise on modifications to the strategy and work plan in order to rectify any shortcomings in delivery, as necessary;
- Assist PM in ensuring coherency between all components of the Programme and common understanding of Programme objectives among PMU staff;
- Enable coordination of advisory inputs from Participating UN Organizations to national counterparts; and
- Work closely with the National Implementing Partner, Participating UN Organizations and other key implementing partners for successful programme implementation.



## Technical Advice

- Provide overall technical guidance and quality assurance to the programme;
- Advise the Programme on key policies, barriers, opportunities and partnerships;
- Advise the National Implementing Partner and Participating UN Organizations on policy and strategy;
- Provide substantive technical inputs into legal, policy and strategy documents; and
- Review all the technical outputs (e.g. reports etc.) to be generated within the scope of the Programme, and ensure improvement of such reports in accordance with the expectations of the Government of Mongolia and Participating UN Organisations.

## Capacity development

- Advise the NPD/PM on the performance and capacity needs of national partners in the Programme implementation;
- Provide technical guidance to PMU staff and national / international consultants and contractors, in consultation with NPD/PM;
- Support the PM in collecting, analysing and sharing knowledge and information regarding REDD+ initiatives in the country, and international developments regarding REDD+.
- Liaise with other initiatives and stakeholders to share knowledge and enhance coordination with regard to technical matters

## **Expected Results/Deliverables:**

- Detailed ToR for technical programme activities.
- Detailed programme implementation strategy documents, including key documents concerning REDD+ Policies and Measures, implementation arrangements, and National REDD+ Strategy.
- Quarterly and Annual technical reports on progress made including lessons learned.
- Technical contributions to quarterly and annual work planning and key reporting.
- Technical contributions to knowledge management and communications activities.

## **Recruitment Qualifications:**

Education: Post graduate degree in forestry, environment, earth sciences, environmental economics or a closely related field.

Experience: At least 7 years of experience in senior technical advisory roles in forestry management, biodiversity conservation, and sustainable development, including work within the Asia region, including Central Asia. Track record of successfully working with a broad variety of stakeholders, from senior government officials to local communities. Technical familiarity with REDD+ and the UN-REDD Programme, and experience of working within Mongolia, are strongly preferred.

Language Requirements: Proficient in English language, spoken and written.

## **Other Selection Criteria:**

- In-depth knowledge and practical experience on a broad range of forestry and sustainable development issues, such as: forest management with multiple objectives, forest monitoring and

inventory, biodiversity conservation, illegal logging, land tenure, spatial planning, Indigenous Peoples, community empowerment, drivers of land use and land cover change;

- Track record in advising and managing large scale and complex projects related to forestry, natural resources management and biodiversity conservation;
- Ability to analyse complicated issues, and to generate and communicate solutions;
- Proven record of working in complex teams and programmes in defining and achieving developmental targets;
- Strong managerial/leadership and decision-making skills; interpersonal skills; commitment to team work and to working across disciplines and with stakeholders at all levels;
- Proven capacity to liaise and effectively work with international development agencies and government agencies
- Computer literate; and
- Regional language competency.

## **2. Programme Manager**

### **Objectives:**

Under the guidance and supervision of the National Programme Director (NPD) and in coordination with the Participating UN Organizations, the PM will take responsibility for the management and administration of the UN-REDD Mongolia National Programme. S/he will be directly accountable to both the Ministry of Environment and Green Development and the Participating UN Organizations for the overall management of the Programme and timely delivery of results.

S/he will manage the planning, implementation, coordination, reporting, monitoring and evaluation of the programme and its components, and will be supported by a Chief Technical Advisor (CTA) and other PMU staff. S/he will be the line manager of all other PMU staff.

### **Specific responsibilities are as follows:**

- Develop annual and quarterly work plans and operational budgets and ensure timely submission of these documents to the NPD for obtaining approval from the Programme Executive Board (PEB);
- Supervise the implementation of all UN-REDD Programme components, activities and tasks in line with the corresponding work plans and budgets;
- Supervise the management of the programme budget and ensure delivery of budget as per approved work plans;
- Lead the establishment of the Puma's administrative and financial procedures;
- Manage the day-to-day operations of the PMU including the supervision of PMU personnel and contracted PMU consultants/experts and subcontractors;
- Oversee and finalize terms of reference (TOR) for national and international consultants/experts and subcontractors;
- Recommendation and clearance of transactions under the programme, as directed by the NPD;
- Ensure the timely submission of reports, outputs and other deliverables to NPD for review and evaluation, and submission to the PEB and the multi-stakeholder National REDD+ Taskforce;
- Prepare and ensure prompt submission of required technical and financial reports to UN Organizations; recommending appropriate measures for enhancement of efficiency and

effectiveness and endorsing the same to the NPD for review/integration and eventual presentation to the PEB/National REDD+ Taskforce;

- Develop and implement monitoring and evaluation mechanism for financial, administrative, and operational activities and ensure timely submission of progress and financial reports;
- Ensure coordination of programme activities and effective communication with all stakeholders to facilitate smooth implementation of the programme;
- Identify and monitor issues and risks regarding the delivery of programme outputs and activities and recommend remedial actions to the NPD, PEB and National REDD+ Taskforce, as appropriate; and
- Oversee the stakeholder engagement process in the REDD+ readiness phase;

### **Managing External Relationships**

- Oversee and manage inter and intra working relationships with the PEB, National REDD+ Taskforce, REDD+ Stakeholder Forum, and Technical Working Groups; and
- Coordinate with Communications Officer to deliver key messages and lessons to key stakeholders, including policy makers, institutions, civil society, and development partners.

### **Expected Results/Deliverables:**

- The UN-REDD Programme is effectively and efficiently implemented in a transparent and accountable manner, in accordance with all applicable rules and regulations of the Government of Mongolia and the UN Organizations.
- Quarterly and Annual Work Plans are submitted, on time, to the PEB/ National REDD+ Taskforce for approval.
- Quarterly, semi-annual and annual financial and technical reports, including risks and issues to be addressed, of the UN-REDD Programme submitted to and approved by the NPD and the Participating UN Organizations.

### **Recruitment Qualifications:**

Education:	University degree, preferably a postgraduate qualification in management
Experience:	A minimum of 10 years' experience in the field of project management related to forestry, climate change, environment and rural development and at least 5 years' experience in leading large-scale and complex projects covering all aspects of project cycle management including financial management, budgeting, administration, human resources, monitoring and evaluation, auditing, and reporting.
Language Requirements:	Proficient in English and Mongolian languages, spoken and written.

### **Other Selection Criteria:**

- Strong managerial/leadership and decision-making skills
- Demonstrated intellectual leadership and ability to integrate knowledge with broader strategic, policy and operational objectives
- Familiar with climate change issues including forest and natural resources management, and rural development
- Experience with government and UN procedures, including its financial systems, is an asset

- Strong interpersonal skills; commitment to team work and to working across disciplines
- Proven capacity to liaise and effectively work with international development agencies and government agencies
- Good team player, self-starter, has ability to work under minimum supervision and maintain good relationships internally and externally
- Experienced with working in an international environment
- Computer literate

## **Annex 4: Terms of Reference of the Programme Executive Board (PEB)**

### **Objectives**

To provide guidance to and oversight of the UN-REDD Mongolia National Programme in its effort to support effective and efficient development of measures to engage with a future mechanism on REDD+.

### **Operations**

The PEB will provide overall guidance for effective implementation of the UN-REDD Mongolia National Programme through approval or revision of annual work plans (AWPs) and budgets, as well as through overall monitoring and evaluation of progress made.

In addition:

- Secretarial support to coordinate and organize the PEB meetings will be provided by the Programme Management Unit (PMU).
- Meetings will be held three times a year or more regularly if needed at which AWP and budgets, as well as other pertinent issues will be discussed.
- Meeting dates for subsequent meetings will be decided at each PEB meeting with confirmation of dates being provided at least three weeks in advance of meetings.
- All meeting documents will be circulated in English and Mongolian, at least two weeks in advance of the meeting.
- Written comments to all meeting documents circulated should be received at least one week in advance of meetings by the PMU.
- Translation services will be provided to allow participants to communicate in either Mongolian or English.
- PEB meetings will proceed only if there is quorum (50%+1).
- PEB meeting minutes will be prepared by the PMU, and minutes will be posted on a website (yet to be established) and will be available in English and Mongolian. Hard copies will be circulated to PEB members no later than two weeks after a PEB meeting.

### **Decision-making**

The Programme Executive Board will make decisions based on an absolute majority (50%+1).

### **Responsibilities**

The PEB Members (to be identified and confirmed later) are responsible for:

- Bringing the stakeholder concerns to the PEB.
- Providing the National REDD+ Taskforce with progress updates of the UN-REDD Mongolia National Programme.
- Reviewing, providing recommendations on and approving AWP and budgets.
- Reviewing the UN-REDD Mongolia National Programme progress and assessing the need for a no-cost extension and its duration.
- Reviewing the monitoring of the implementation of the UN-REDD Mongolia National Programme.
- Providing through the PEB any written comment or request for clarification on issues of concern to the National REDD+ Taskforce members.
- Providing guidance on conflict resolution related to any conflict occurring within UN-REDD Programme implementation.
- Reporting Programme progress to their respective stakeholders.

### **Duration and timing**

The PEB is established as part of the management structure of the UN-REDD Mongolia National Programme. It will cease to operate on the date of termination of the Programme.

### **Financial support**

Financial support will be provided to provincial-based representatives to attend any PEB meeting held in Ulaanbaatar. In the event that the PEB meeting is held outside of Ulaanbaatar, the UN-REDD Mongolia National Programme will meet all expenses for members to attend the meeting including cost of travel, accommodation and subsistence.

### **Observers:**

Meetings of the PEB are open to Observers, according to the following conditions:

- Attendance of observers is by invitation only, to be decided and agreed by PEB members in advance of each PEB meeting.
- Invitations will be issued by the PMU on behalf of PEB co-chairs.
- Observers may not participate in discussions at PEB meetings, except at the invitation of the co-chairs.
- Observers may receive all advance documentation and information provided to PEB members, and submit comments thereupon, with the exception of documents classified by PEB members as restricted.
- Observers have no voting rights.

PEB members may extend an invitation to internal and external technical advisers from their respective organizations to attend the meeting, as and when the need arises, and for a limited length of time.

All members will designate alternates to attend if they are not available. Additional representatives may be invited to meetings as observers as required. Additional members can be added to the PEB as appropriate and following invitation from both Co-chairs. The core members of the PEB also have the prerogative to invite regional UN-REDD implementing agency advisers to attend the PEB meetings, as observers, and provide technical inputs as and when necessary.

## **Annex 5: Principles to be applied for National Programmes**

The Participating UN Organizations have agreed to apply the following principles for developing and implementing National Programmes:

### **Preamble**

- Respect the United National Development Group's (UNDG) Guidance Note on Joint Programming, which states:  
    "The decision to select one or a combination of fund management options for a joint programme should be based on how to achieve the most effective, efficient and timely implementation, and to reduce transaction costs for national partners, donors and the UN."
- Commit to:
  - Minimizing national counterpart transaction costs;
  - Putting the interests of the national counterpart ahead of agency interests;
  - Taking advantage of agencies' comparative advantages in implementation support
- Recognize that National Programmes are country-driven and designed to serve countries' REDD+ readiness needs.

### **Principles**

1. The UN-REDD Programme will identify a lead agency that will be accountable to the Management Group for programme delivery in that country.
2. The determination of which agency should play the lead role in any particular country should be made on the basis of which agency has the comparative advantage in providing effective, efficient and timely implementation. This includes:
  - UN Country Team roles set out in the UNDAF;
  - Relationship and past project implementation experience with the national counterpart;
  - In-country capacity to support the implementation modality;
  - Guidance from the UN Resident Coordinator.
3. In instances of national implementation, the national counterpart should expect to receive funds from one agency, based on the agreed National Programme. If there is more than one national counterpart, there may be more than one UN agency transferring funds.
4. Where it is not possible to have only one UN agency transferring funds to a national counterpart, multiple agency channels should use the same cash transfer modality, based on the Harmonized Approach to Cash Transfer (HACT) process, and coordinate the timing of cash transfers to the single national counterpart.
5. The Lead agency will support the PMU (or equivalent). The PMU will include a co-ordinator, recognized by each agency as supporting the overall National Programme.
6. An agency may agree with a national counterpart to provide direct technical assistance. The budgeted amount that is used for directly implemented technical assistance shall be agreed with the national counterpart before the NP allocations are submitted for approval.
7. Directly implemented technical assistance shall be provided through a National Programme workplan, managed by the PMU (or equivalent).
8. UN agency direct support costs should be charged to the Support to National REDD+ Action - Global Programme (SNA).
9. Where UN agency direct support costs are charged to a NP budget, they should be agreed (in writing) in advance with the national counterpart.

## **Annex 6: General Legal Provisions applicable to FAO**

1. The achievement of the objectives set by the Programme shall be the joint responsibility of the Government, FAO and other UN-REDD agencies.
2. Equipment, materials and supplies provided out of the Programme funds shall normally become the property of the Government immediately upon their arrival in the country, unless otherwise specified in the agreement. The Government shall ensure that such equipment, materials and supplies are at all times available for use of the Programme and that adequate provision is made for their safe custody, maintenance and insurance. Vehicles and personal computers remain the property of FAO, unless otherwise specified in the agreement.
3. Subject to any security provisions in force, the Government shall furnish to FAO and to its personnel on the Programme, if any, such relevant reports, tapes, records and other data as may be required for the execution of the Programme.
4. The selection of FAO Programme personnel, of other persons performing services on behalf of FAO in connection with the Programme, and of trainees, shall be undertaken by FAO, after consultation with the Government. In the interest of rapid Programme implementation, the Government shall undertake to expedite to the maximum degree possible its procedures for the clearance of FAO personnel and other persons performing services on behalf of FAO and to dispense with, wherever possible, clearance for short-term FAO personnel.
5. The Government shall apply to FAO, its property, funds and assets, and to its staff, the provisions of the Convention on the Privileges and Immunities of the Specialized Agencies. Except as otherwise agreed by the Government and FAO in the National Programme Document, the Government shall grant the same privileges and immunities contained in the Convention to all other persons performing services on behalf of FAO in connection with the execution of the Programme.
6. With a view to the rapid and efficient execution of the Programme, the Government shall grant to FAO, its staff, and to all other persons performing services on behalf of FAO, the necessary facilities including:
  - i) the prompt issuance, free of charge, of any visas or permits required;
  - ii) any permits necessary for the importation and, where appropriate, the subsequent exportation, of equipment, materials and supplies required for use in connection with the Programme and exemption from the payment of all customs duties or other levies or charges relating to such importation or exportation;
  - iii) exemption from the payment of any sales or other tax on local purchases of equipment, materials and supplies for use in connection with the Programme;
  - iv) payment of transport costs within the country, including handling, storage, insurance and all other related costs, with respect to equipment, materials or supplies for use in connection with the Programme;
  - v) the most favourable legal rate of exchange;
  - vi) assistance to FAO staff, to the extent possible, in obtaining suitable accommodation;
  - vii) any permits necessary for the importation of property belonging to and intended for the personal use of FAO staff or of other persons performing services on behalf of FAO, and for the subsequent exportation of such property; and
  - viii) prompt customs clearance of the equipment, materials, supplies and property referred to in subparagraphs (ii) and (vii) above.



7. The Government shall deal with any claim which may be brought by third parties against FAO or its staff, or against any person performing services on behalf of FAO, and shall hold them harmless in respect of any claim or liability arising in connection with the Programme, unless the Government and FAO should agree that the claim or liability arises from gross negligence or wilful misconduct on the part of the individuals mentioned above.

8. The persons performing services on behalf of FAO, referred to in paragraphs 6 to 9, shall include any organization, firm or other entity, which FAO may designate to take part in the execution of the Programme.