

UN-REDD National Programme Planning, Monitoring and Reporting Framework

9 November 2011

1. Introduction

Good planning, monitoring and reporting enhance the contribution of the National Programmes of the United Nations (UN) Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries (UN-REDD) to the ultimate objectives of the Programme. Results-based planning enables us to know what should be done when and determine what success will look like. Monitoring and evaluation help to extract relevant information from past and ongoing activities that can be used as the basis for programmatic fine-tuning, reorientation and future planning. Without effective planning, monitoring and evaluation, it would be impossible to judge if work is going in the right direction, whether progress and success can be claimed, and how future efforts might be improved.

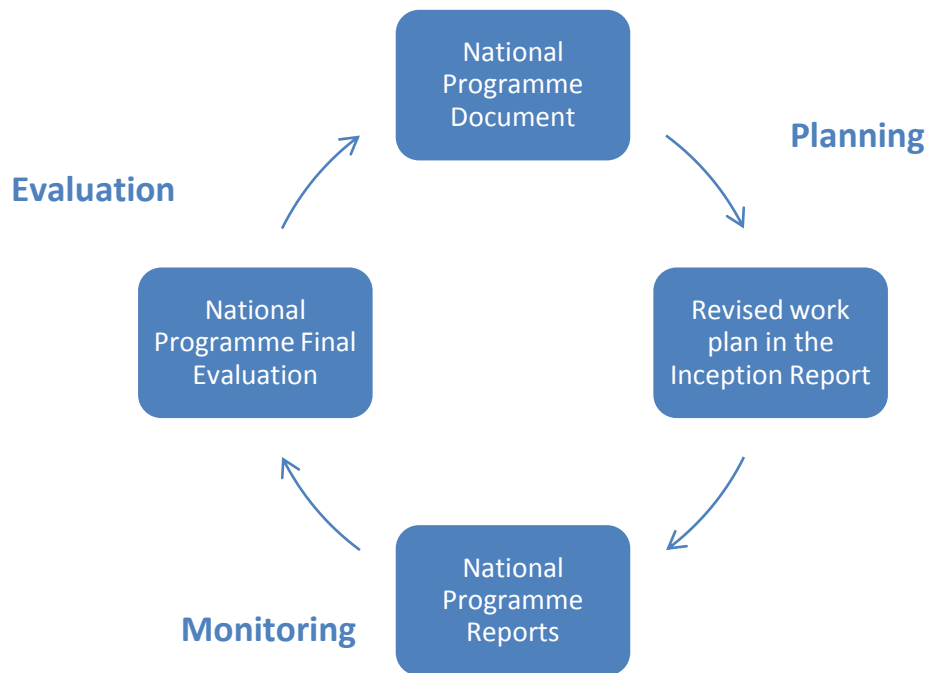
This document provides guidance on the planning and preparations for effective monitoring of the UN-REDD National Programmes. It covers the activities needed to be monitored, responsibilities, deliverables and time schedule. Furthermore, it builds upon existing functions, structures, as well as monitoring and evaluation tools from the participating UN organisations in the context of results-based management (RBM)¹ and is based on the UN Evaluation Group's (UNEG) standards for evaluation in the UN system.

2. Planning

Planning is the process of setting goals, developing strategies, outlining the implementation arrangements and allocating resources to achieve those goals. Applying results-based planning helps ensure that the Programme focus on achieving the desired results. However, good planning and design alone does not ensure results, but goes hand in hand with monitoring and evaluation. Figure 1 gives an impression of the relationship between planning, monitoring and evaluation, as it is conducted within the UN-REDD National Programme. The National Programmes results-based planning is defined in the work plan and result framework of the National Programme document, and revised work plan in the inception report.

¹ Results-based management is defined as a “broad management strategy aimed at achieving improved performance and demonstrable results” (UNEG, 2007)

Figure 1: Overview of UN-REDD National Programme planning, monitoring, and evaluation cycle



3. Reporting and Monitoring

Reporting and monitoring provide opportunities at regular predetermined points to validate the logic of the programme, its activities and their 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 programme that is not well designed and that does not systematically monitor its progress.

The relevant impact, outcomes and outputs as derived from the National Programme Documents, which are to be reported on and monitored under the National Programmes, shall be included in the result framework (See Annex 1). As the current result framework does not include baselines and targets, these will have to be added by the participating United Nations (UN) organizations as soon as possible. A planning matrix for National Programme monitoring will also be prepared for reference purposes (See Annex 2).

2.1 Deliverables and Time Schedule

The participating UN organizations receiving funds from the UN-REDD Fund will be required to provide the UN-REDD Programme Secretariat with the following reports and statements 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), to be provided no later than 15 days after the end of the applicable reporting period, 15 January (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), to be provided no later than one month after the end of the applicable reporting period, 31 July (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 MDTF, to be provided no later than 30 April of the year following the financial closing of National Programme activities (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 Project activities.

These reports serve all UN-REDD Programme reporting needs, including those of the UN-REDD Programme's Administrative Agent, the Multi-Donor Trust Fund Office. The Administrative Agent provides the Policy Board, through the UN-REDD Programme Secretariat, with a consolidated annual narrative and financial report based on the National Programmes and the Global Programme reports. Subsequently, in accordance with the Memorandum of Understanding and the Standard Administrative Agreement, the Administrative Agent will submit consolidated narrative and financial reports to all UN-REDD Programme donors. The Administrative Agent will also submit to donors a certified annual financial statement (source and use of funds).

2.2 Responsibilities

- *Participating UN Organizations* prepare and sign-off the reports determining its own internal process 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(s)², and sign-off the narrative reports before sending it to the UN-REDD Programme Secretariat, copying the National Programme Manager(s) and the Government Counterpart.

² National Programme budget-holder under each participating UN organisation

- *The National Programme Manager(s)* should complete the narrative reports, including the financial information, of the National Programme; request comments and clearance of the report from the Government Counterpart; and return the report to the focal points.³
- *The Government Counterpart* shall provide additional and complimentary 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 UN-REDD Programme Secretariat* will request and notify deadlines for all reports; monitor quality of the reports; deliver them to the administrative agent by uploading them to the MDTF Office Gateway; compile and disseminate the information on the implementation progress of National Programmes; and provide the Policy Board with updates on the implementation progress of the National Programmes every six months together with the Administrative Agent.
- *The Administrative Agent*⁴ will prepare consolidated narrative progress and financial reports, based on the reports referred to in section 2.1 above, and will provide those consolidated reports to each donor that has contributed to the Fund Account, as well as the UN-REDD Policy Board, in accordance with the timetable established in the Administrative Arrangement.

³ For Final Reports, in case NPM have finalized their contracts, the UN organisations should assign responsibility to complete the report

⁴ As per the Memorandum of Understanding between the FAO, UNDP and UNEP and the Multi Donor Trust Fund Office

Table 1: Workflow for UN-REDD National Programme Reporting

Step one	UN-REDD Programme Secretariat: Request and notify deadlines for all reports
Development of the reports:	
Step two	UN Agency Focal points: Fill out the template on technical support provided by regional/headquarter level for nationally implemented activities and deliver the partially filled report to the National Programme Manager(s)
Step three	National Programme Manager(s)*: <ul style="list-style-type: none"> • Complete the narrative report, including the financial data, of the National Programme • Request comments and clearance of the report from the Government Counterpart
Step four	Government Counterpart: Shall provide additional and complimentary information, as well as sign the report
Step five	UN Resident Coordinator: Support coordination of the participating UN organizations at the country level to ensure that the necessary information is provide
Step six	National Programme Manager(s): Return the report to the each UN Agency's focal points
Step seven	UN Agency Focal points: Provide additional comments or contributions to the report, then sign-off the narrative reports and sends the report to the UN-REDD Programme Secretariat, copying the National Programme Manager(s) and the Government Counterpart
After report delivery:	
Step eight	UN-REDD Programme Secretariat: <ul style="list-style-type: none"> • Monitor quality of the reports and deliver them to the administrative agent by uploading them to the MDTF Office Gateway • Compile and disseminate the information on the implementation progress of National Programmes • Provide the Policy Board with updates on the implementation progress of the National Programmes every six months
Step nine	Administrative Agent: <ul style="list-style-type: none"> • Prepare consolidated narrative progress and financial reports, based on the reports referred to in section 2.1 above • Provide the consolidated reports to each donor that has contributed to the Fund Account, as well as the UN-REDD Policy Board, in accordance with the timetable established in the Administrative Arrangement.

* For Final Reports, in case National Programme Managers have finalized their contracts, the UN organizations should assign responsibility to complete the report

Table 2: Overview of UN-REDD National Programme Reporting

Deliverable	Time	Responsibilities	Clearance and Signature	Recipient
National Programme Semi-Annual Narrative and Financial Report	No later than one month (31 July) after the end of each period ending 30 June	The National Programme Manager in coordination with the focal points of the participating UN organizations Official financial reporting is provided by the headquarters of the participating UN organizations	1. Focal Point in each participating UN organization* 2. Government counterpart 3. UN-REDD Programme Secretariat	UN-REDD Policy Board and donors through the Secretariat and the MDTF office
National Programme Annual Narrative and Financial Report	No later than one month (31 January) after the end of each period ending 31 December	The National Programme Manager in coordination with the focal points of the participating UN organizations Official financial reporting is provided by the headquarters of the participating UN organizations	1. Focal Point in each participating UN organization* 2. Government counterpart 3. UN-REDD Programme Secretariat	UN-REDD Policy Board and donors through the Secretariat and the MDTF office
Final National Programme Narrative and Financial Report	No later than 30 April of the year following the financial closing of the Programme	Prepared by the focal points of the participating UN organizations supporting the National Programme and sent through the UN Resident Coordinator Official financial reporting is provided by the headquarters of the participating UN organizations	1. Focal Point in each participating UN organization* 2. Government counterpart 3. UN-REDD Programme Secretariat	UN-REDD Policy Board and donors through the Secretariat and the MDTF office
Final Certified National Programme Financial Statement	No later than 30 June of the year following the financial closing of Project activities	Headquarter of the participating UN organizations	As certified reports from the headquarter of the participating UN organisations are final, no further clearance is required	Donors, through the MDTF Office

* Each participating UN organisation will nominate a person to act as focal point and sign-off the reports

Annex 1: Result Framework

Results	Indicators	Baseline*	Target*	Means of Verification	Risks and Assumptions
Impact statement	none	None	none		
Outcome statement	2-3 indicators maximum	Yes	End of project		
Outputs	2-3 indicators per year	Yes	Annual		
Activities	No indicators, listing of them is already more than enough	no	no		

* If baselines and targets are not included in National Programme Document, they are to be completed at the National Programme Inception Workshop

Annex 2: Planning matrix for monitoring

Expected Results (Outcomes and Outputs)	Indicators and Other Key Areas to Monitor	Monitoring and Evaluation Event with Data Collection Methods	Time or Schedule and Frequency	Responsibilities	Means of Verification: Data Source and Type	Resources	Risks
Outcome 1							
Output 1.1							
Output 1.2							
Outcome 2							
Output 2.1							
Output 2.2							
etc.							