

UN-REDD PROGRAMME



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UN-REDD Programme

Rules of Procedure and Operational Guidance

UN-REDD PROGRAMME

March 2009

(Revised May 2014)

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Explanatory Note (May 2014)

The present document is an update of the UN-REDD Rules of Procedure approved at the First Policy Board (March 2009) to reflect subsequent Policy Board decisions that amended those rules. Please note that this refers exclusively to the Rules of Procedure (pages 5-9 only). The Operational Guidance (pages 10-14) has not been amended.

The Policy Board decisions that resulted in amendment of the Rules of Procedure are listed below:

Sixth Policy Board (2011): Decisions PB6/2, PB6/7 and PB6/8:

2. Responding to the request of the Northern Civil Society observer (Global Witness) to review the process of drafting decisions related to National Programmes, the co-Chairs proposed to summarize the decisions made by consensus at the conclusion of each session and recap all decisions at the end of the meeting, before they be reproduced in the draft report.
7. The Board noted the seat for IPs is held by the Chair of UNPFII on a non-rotational basis.
8. Endorsed proposal that future CSO member and IP and CSO observers serve for total of four meetings.

Eighth Policy Board (2012): Decision PB8/9:

9. The Board approved the Disclosure of Interests Form that Policy Board members would sign upon appointment or reappointment to the Policy Board. The Secretariat will inform at the beginning of each Policy Board meeting the conformity of all Policy Board members.

Tenth Policy Board (2013): Decision PB10/7:

7A. Membership and representation

In consideration of the need to enhance participation and partnership of key stakeholders in the PB, and in consideration of the desire of all PB Members and stakeholders to expand the potential funding base for the Programme, the UN-REDD Programme Rules of Procedure and Operational Guidance are amended as follows, with regard to the membership of countries and donors on the Board of the UN-REDD Programme:

- a. Three (3) Members of the UN-REDD Programme countries per region, up to a total of nine (9) Programme Country Members. The Programme countries in each region select the period (at least once per year) and order of rotation. All the Programme Countries members of the Board are full members and no member should be henceforth considered alternate.
- b. Up to nine (9) donors, increased from the current limit of the three (3) largest donors. If and when there are more than nine (9) donors, a rotational system will be applied.
- c. The representation of other constituencies (indigenous peoples, Civil Society Organizations and UN Agencies) on the Policy Board remains as per standing Rules of Procedure and Operational Guidance.

Eleventh Policy Board (2013): Decision PB11/9:

9a. Rotation of countries:

- i. Programme country members will rotate twice per year, with one member from each region prior to each Policy Board meeting;
- ii. For each region, the Programme country member that has served the Policy Board for the longest period at the occasion of rotation will be the one to rotate;
- iii. The tenure of Programme country members lasts 3 Policy Board meetings;
- iv. As of the Eleventh Policy Board meeting, Programme country members resume rotation to allow two new countries per region to take their position at the Twelfth Policy Board meeting;
- v. The UN-REDD Programme Rules of Procedure and Operational Guidance will be amended accordingly.

b. Observers:

- i. Additional sponsorship of observers (up to 2 partner countries per region) to attend Policy Board meetings.*
- ii. Sponsored observer partner countries will be selected to observe one meeting only and will be selected annually.*
- iii. The UN-REDD Programme Rules of Procedure and Operational Guidance will be amended accordingly.*

c. Budget:

- i. Policy Board members are to be invited to provide guidance on priorities to consider in preparing the draft work plan and budget for the SNA. The guidance will be sent to the Secretariat 80 working days prior to the Policy Board meeting when the SNA funding allocation decision is expected.*
- ii. The draft SNA work plan and budget, with a response matrix explaining how inputs received from Policy Board have been considered, will be circulated by the Secretariat to the Policy Board at least 35 working days before the Policy Board meeting that will consider the proposed budget for decision.*
- iii. The Secretariat will endeavour to organize an Information Session prior to consideration of budget proposals by Policy Board.*

Intersessional Decision (2012): Decision 15

Insertion of a clause on Disclosure of Conflict of Interest in the RoPOG (Nb. Clause inserted in July 2012)

- “Members of the Policy Board directly benefiting from or with a specific personal interest, or appearance of an interest, in projects/activities to be approved by the Policy Board, shall disclose such real, perceived or potential conflict(s) of interest to the Co-chairs of the UN-REDD Programme Policy Board, and abstain from any decision or vote on the matter involving the conflict(s)”.*

Intersessional Decision (2013): Decision 22

Nomination of focal points to the UN-REDD Programme

- Each UN-REDD Programme country and organization designates one focal point, one alternate focal point and, if desired, an administrative focal point using the UN-REDD Programme Contact Information Form (accessible on <http://www.un-redd.org/PolicyBoard/tabid/102628/Default.aspx>).*
- Procedurally, the Secretariat will send a courtesy reminder twice a year to the designated focal points prompting them to review the current list and to submit a new Contact Information Request Form if any changes have taken place. In addition, designated focal points can also access the form online and make submissions to the Secretariat as and when needed.*
- Each focal point acts as the main contact person(s) to the Programme, and will subsequently receive all relevant communications, whereas the alternate focal points and administrative focal points will be copied in such communications. It is then their responsibility to share the information further.*

Attendance at Policy Board Meetings and in Policy Board Working Groups

- Members and alternates can designate a representative to participate in a given Policy Board or a Policy Board Working Group should they be unable to attend in person. In such cases, the member and/or the alternate must provide a written note to the Secretariat.*
- Registered participants of each Policy Board meeting would receive the relevant information about the meeting, but all messages with general information on the Programme or for inter-sessional PB decisions will continue to be sent only to the official focal points/PB members, copied to the alternates and administrative focal points.*
- The Rules of Procedures and Operational Guidance for the UN-REDD Programme should be updated accordingly.*

RULES OF PROCEDURE

1. Policy Board

1.1. Meetings

The Policy Board shall normally meet on a biannual basis - or as often as shall be determined by the Co-chairs of the Policy Board in consultation with its membership - at a location to be determined. To the extent possible, Board meetings will be held in coordination with the Participants' Committee meetings of the World Bank's Forest Carbon Partnership Facility (FCPF).

Decisions of the Policy Board may also be made between meetings (referred to as "Inter-Sessional" decision-making). In such cases:

- The Co-chairs will set a date for the Inter-Sessional decisions.
- The membership invited to the most recent Policy Board meeting shall comprise the membership for Inter-Sessional decisions. Decisions shall be made by the consensus of members.
- The membership (including members, ex-officio members and observers) will be informed of the date at least 15 working days in advance.
- The relevant documents will be made available electronically at least 10 working days before the decision date.

1.2 Members

1.2.1 UN-REDD Programme Countries

- Countries are categorized by region. Initially the UN-REDD Programme covers three regions: Africa; Asia-Pacific; and Latin America-Caribbean.
- Each region shall have THREE members, up to a total maximum of nine countries. The members shall be invited to Policy Board meetings.
- The UN-REDD Programme shall provide funding for ONE representative of each member country to attend Policy Board meetings.
- The members of the region shall rotate. Programme countries in each region shall select the order of rotation through a regional self-selection process:
 - Country members will rotate twice per year, with one member from each region prior to each Policy Board meeting;
 - For each region, the country member that has served the Policy Board for the longest period at the occasion of rotation will be the one to rotate;
 - The tenure of country members lasts 3 Policy Board meetings;

1.2.2 Donor Countries

- Up to NINE member seats are available for donors to the UN-REDD Programme Multi-Partner Trust Fund (MPTF), who have signed a Standard Administrative Arrangement (SAA) with the Administrative Agent (the Multi-Partner Trust Fund Office, UNDP).
- If there are more than NINE donors, the donors shall rotate. The donors shall select the period (at least once per year) and order of rotation.

1.2.3 Civil Society

- ONE civil society representative shall be selected as a member of the Policy Board and THREE observers.
- ONE representative shall be from an organization from a developed country and the other THREE shall be ONE from each of the three UN-REDD Programme regions: Africa; Asia-Pacific; and Latin America-Caribbean.
- The Secretariat and the Participating UN Organizations shall facilitate the self-selection of the civil society representatives.
- The member shall rotate amongst the FOUR representatives so that the observers subsequently become the member. The civil society representatives shall select the order of rotation.
- The tenure of civil society representatives lasts 4 Policy Board meetings.
- The UN-REDD Programme shall provide funding for the THREE regional civil society representatives to attend Policy Board meetings. The representative from the organization from a developed country shall be self-funded.

1.2.4 Indigenous Peoples

- Indigenous Peoples are represented by the Chair of UNPFII as the member and THREE observers, ONE for each of the three UN-REDD Programme regions: Africa; Asia-Pacific; and Latin America-Caribbean.
- The Secretariat and the Participating UN Organizations shall facilitate the self-selection of the regional Indigenous Peoples observers for each of the three regions.
- The tenure of IP observers lasts 4 Policy Board meetings;
- The UN-REDD Programme shall provide funding for the member and the three observers to attend Policy Board meetings.

1.2.5 UN Agencies

- FAO
- UNDP
- UNEP

1.3 Observers and Ex-officio Members

- UN-REDD Programme Partner countries (see below)
- Civil Society (see 1.2.3 above)
- Indigenous Peoples (see 1.2.4 above)
- UNFCCC Secretariat (Observer)
- Forest Carbon Partnership Facility represented by the World Bank (Observer)
- GEF Secretariat (Observer)
- Multi Partner Trust Fund Office, UNDP (ex-officio)

All Partner Countries of the UN-REDD Programme can observe a Policy Board meeting:

- The UN-REDD Programme shall provide funding for up to two Partner Countries per region, in addition to the region Programme Country Members of the Policy Board, to be sponsored to attend a Policy Board Meeting.

- The sponsored observers in each region shall be selected through a regional self-selection process.
- Sponsored observer Partner Countries will be selected to observe one meeting only and should be selected annually.

Representatives of other countries and organizations may be invited to observe Policy Board meetings at the discretion of the Co-chairs of the Policy Board in consultation with other Policy Board members.

At the invitation of the Co-chairs, observers and ex-officio members may participate in the deliberations of the Policy Board.

Additions to the membership and observers may be made upon agreement of the members in place at that time and in accordance with UN MPTF rules and requirements.

1.4 Nomination of focal points

The UN-REDD Programme Members, observers and ex-officio members shall designate a focal point, an alternate focal point, and if desired, an administrative focal point using the 'UN-REDD Programme Contact Information Form' (accessible on the Programme website <http://www.un-redd.org/PolicyBoard/tabid/102628/Default.aspx>).

A courtesy reminder will be sent twice a year to the designated focal points prompting them to review and update the contact information, as appropriate.

Members, observers and ex-officio members can designate a representative to participate in a given Policy Board or a Policy Board Working Group should they be unable to attend in person. In such cases, the focal point must inform the Secretariat in writing.

1.5 Co-chairs

The two Co-chairs will be selected from one of the participating countries and from one of the participating UN agencies. The Co-chairs shall rotate among the members at least once per year (from the time of the first Policy Board meeting). The country Co-chair will rotate among the members of the three regions (starting with Latin America).

The Co-chairs from the most recent meeting shall preside over Inter-Sessional decisions, unless otherwise agreed by the participating UN Organizations and the members of participating countries.

Policy Board members shall be informed of changes of the Co-chairs within 10 working days of the change, but not less than 15 working days before a meeting.

1.6 Agenda & Meeting Documentation

The agenda and supporting documentation shall be prepared by the Secretariat in consultation with the Co-chairs of the Policy Board and approved by the full board at the beginning of each meeting.

The Secretariat shall disseminate the draft documentation to the Policy Board membership and invited participants 10 working days prior to the meeting. In the case of the draft SNA workplan and budget, the Policy Board is invited to provide guidance on priorities 80 working days prior to the Policy Board, and the Secretariat shall disseminate the draft SNA workplan and budget at least 35 working days before the Policy Board meeting.

The Secretariat will endeavor to provide the meeting documentation in English, French and Spanish.

1.7 Quorum

A quorum of the Policy Board shall consist of seven members, to include: all three Participating UN Organizations, one donor and three country representatives.

1.8 Decisions

The Policy Board makes decisions by consensus of the members. The Co-chairs will endeavor to summarize the decisions made by consensus at the conclusion of each session and recap all decisions at the end of the meeting.

Decisions of the Policy Board shall be duly recorded.

Policy Board members, in their participation, shall be guided by the interests of the overall UN-REDD Programme.

2. Progress Reports and Updates

The UN-REDD Programme Secretariat will submit biannual progress updates to the Policy Board, for review and action as appropriate.

The Administrative Agent will provide regular updates on the financial status of the MPTF to the Policy Board, for review and action as appropriate.

In line with the Memorandum of Understanding (MOU) the Participating UN Organizations will submit annual narrative and financial progress reports to the Administrative Agent, as per agreed UNDG financial and progress reporting formats.

The Secretariat shall provide the Policy Board updates on the implementation progress of Joint Programmes (both Global and National) every 6 months, based on information received by the Participating UN Organizations.

Subsequently, in accordance with the MOU and the SAA, 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 utilized as indicated in the Annex. The Administrative Agent will also submit to donors a certified annual financial statement (Source and Use of Funds).

3. Communication

The Policy Board will advise the Administrative Agent, and vice versa, on related issues that may arise.

4. Public Disclosure

Information given to the press, to the beneficiaries of the UN-REDD Programme, all related publicity material, official notices, reports and publications, will acknowledge the role of the relevant Government, the donors, the Participating UN Organizations, the Administrative Agent and any other relevant entities as appropriate.

The Administrative Agent, in consultation with the Policy Board and the Participating UN Organizations, will ensure that decisions regarding the review and approval of UN-REDD Programme national joint programmes as well as periodic reports on the progress of implementation of the UNREDD Programme and associated external evaluations are posted, where appropriate, for public information on the website of the Administrative Agent (<http://mptf.undp.org/>). Such reports and documents shall include Policy Board approved programmes and programmes awaiting approval, fund level, annual financial and progress reports and external evaluations.

The Policy Board and the Administrative Agent will take all reasonable steps to ensure the accuracy of such documents and that confidential materials are not posted on the website.

5. Conflict of Interest

Members of the Policy Board directly benefiting from or with a specific personal interest, or appearance of an interest, in projects/activities to be approved by the Policy Board, shall disclose such real, perceived or potential conflict(s) of interest to the Co-chairs of the UN-REDD Programme Policy Board, and abstain from any decision or vote on the matter involving the conflict(s).

Policy Board members will be requested to sign the Disclosure of Interests Form upon appointment or reappointment to the Policy Board. The Secretariat will inform at the beginning of each Policy Board meeting the conformity of all Policy Board members.

OPERATIONAL GUIDANCE

1. International Support Functions

The UN-REDD Programme's International Support Functions are implemented by the Participating UN Organizations, through a Global Joint Programme (GJP).

The initial GJP reflects the International Support Functions as set out in the UN-REDD Programme Framework Document (June 2008). The Framework Document is an annex to the Memorandum of Understanding between FAO, UNDP, UNEP and the Administrative Agent (the Multi-Partner Trust Fund Office, UNDP) that serves as the basis for the establishment of the UN-REDD Programme Multi-Partner Trust Fund.

In order to facilitate the establishment of the UN-REDD Programme and in accordance with the MOU including the Framework Document, an interim Technical Secretariat pending the establishment of the Policy Board agreed to the extraordinary approval of the initial GJP. The Policy Board is invited to note and confirm this arrangement at its first meeting.

With regard to the approval of the GJP budget, the Policy Board may make the following types of decisions (subject to the availability of funds in the MPTF):

- Approve the entire programme budget (including approvals subject to minor revisions)
- Approve a portion of the programme budget (including approvals subject to minor revisions)
- Reject the GJP and request re-submission.

2. National Support 'Quick Start' Submission and Approval Process

2.1 Scope of National UN Joint Programmes (NJPs)

While the aim of the 'Quick Start' phase is to support the pilot countries to make progress towards National Readiness Plans, it is recognized in the UN-REDD Programme Framework Document that 'Quick Start' actions are to be defined and detailed according to country needs.

Therefore, the scope of NJPs may vary, in accordance with the 'Quick Start' objectives set out in Annex 1 of the Framework Document. Depending upon country circumstances the NJP may deliver all or some of a country's Readiness needs.

'Quick Start' NJPs may be presented to the Policy Board in several forms:

- Representing the full scope of Readiness activities to be supported by the UN-REDD Programme (referred to as a "full NJP")
- Representing an initial package of support from the UN-REDD Programme
- Representing a subsequent package of support after initial support has been satisfactorily completed¹.

2.2 Formulation of draft NJP Documents

NJPs follow the agreed UN Development Group format for Joint Programmes – available at <http://www.undg.org/index.cfm?P=240>.

Formulation should be country-led with assistance from the UN Country Team and Participating UN Organizations' technical teams (i.e. scoping and formulation missions).

Operational guidance to be developed by the UN-REDD Secretariat should be followed. This includes guidance on engaging with Indigenous Peoples, other forest dependent communities and Civil Society Organizations.

NJPs should complement National Readiness planning processes and, where available, the FCPF RPlan:

- Where a National Readiness Plan is available it should be attached as an annex to the NJP document
- Where relevant, the NJP should be framed within the context of National Readiness plans, including the R-Plan
- The linkages with National Readiness planning processes, the FCPF and other relevant initiatives shall be outlined during the formulation of the NJP.

2.3 Country Validation of the Draft NJP

Before being submitted to the Secretariat, the draft NJP must be validated in-country as part of the on-going consultative process. It is an initial step to ensure government ownership of the NJP and civil society engagement. It requires consultation among the following:

¹ "Satisfactorily completed" is defined as:

- At least 75% of the initial NJP's overall funds committed; and
- Confirmation from the respective UN Resident Coordinator that the initial package of support is delivering its expected outcomes; and
- Provision of all necessary progress reports as required by the UN-REDD Programme Multi-Partner Trust Fund; and
- Provision of any evaluation requested by the Technical Secretariat.

- The UN Resident Coordinator (or designate)
- National Government counterpart (or designate)
- Civil Society/Indigenous Peoples representative(s)².

Evidence of the consultation should be appropriately documented (i.e. signed minutes of meeting(s) – referred to as “validation meeting(s)”).

Where a National REDD Steering Committee or equivalent mechanism has been established, it should be used for the validation purpose.

Wherever possible, existing appropriate coordination mechanisms are encouraged to be used - provided they meet the requirements set out above.

2.4 Submission to Secretariat

Following the in-country validation of the NJP, the National Government counterpart (or designate) requests the UN Resident Coordinator (or designate) to submit the draft NJP document.

The UN Resident Coordinator (or designate) submits the draft NJD document with the documentation of the validation meeting(s).

Substantive revisions to NJPs under implementation (i.e. changes at the “outcome” level of the Results Framework) also must be re-submitted to the Secretariat for clearance before being signed at the country level.

2.5 Secretariat Review

Reviews of NJPs will be undertaken using the following criteria:

- Ownership of the NJP by government and non-government stakeholders
- Level of consultation, participation and engagement
- Programme effectiveness, coherence with country strategies and other relevant initiatives, and cost-efficiency

² In this context the representative(s) will be determined in one of the following ways:

- Self-determined representative(s) meeting the following requirements:
 - Selected through a participatory, consultative process
 - Having national coverage or networks
 - Previous experience working with the Government and UN system
 - Demonstrated experience serving as a representative, receiving input from, consulting with, and providing feedback to, a wide scope of civil society/Indigenous Peoples organizations
- Representative(s) who participated in a UN-REDD Programme scoping and/or formulation mission and sit(s) on a UN-REDD Programme consultative body established as a result of the mission
- Individual(s) recognized as legitimate representative(s) of a national network of civil society and/or Indigenous Peoples organizations (e.g. the GEF Small Grants National Steering Committee or National Forest Programme Steering Committee)

- Management of risks and likelihood of success
- Consistency with the UN-REDD Programme Framework Document
- Compliance with UN-REDD operational guidance and the UN Joint Programme format (incl., cover page, results framework, budget, etc.).

Depending on the scope of the NJP, the Secretariat may enlist independent technical experts. The Secretariat is not bound by the views of the experts, but will make a synthesis of any independent reviews available to the Policy Board.

After reviewing a NJP the Secretariat may make the following types of response:

- Provide comments and request re-submission to a future Policy Board meeting
- Provide comments to be addressed before forwarding to the next immediate Policy Board meeting
- Forward to the Policy Board (with comments if necessary) with a recommendation to fund specific portions or phases (including an inception phase) of the NJP
- Forward to the Policy Board (with comments if necessary) with a recommendation to fund the NJP.

For “full NJPs” being presented to the Policy Board, the Secretariat will endeavor to provide a summary of the NJP in English, French and Spanish.

For other types of NJPs being presented to the Policy Board, summaries may only be provided in English.

2.6 Policy Board

In line with its Terms of Reference, the Policy Board may wish to provide comments to be addressed in the final NJP documents. The Secretariat will ensure the comments are adequately addressed/incorporated prior to requesting the release of funds from the Administrative Agent. With regard to the approval of NJP budgets, the Policy Board may make the following types of decisions (subject to the availability of funds in the MPTF):

- Approve the entire programme budget (including approvals subject to minor revisions)
- Approve a portion of the programme budget (including approvals subject to minor revisions)
- Approve an initial programme budget tranche (including approvals subject to minor revisions)
- Reject the NJP and request re-submission.

The Policy Board may approve NJPs via electronic circulation of the document between meetings. The arrangements for such measures will be established by the Secretariat, following the relevant sections of the Rules of Procedure.

The Secretariat will notify the respective UN Resident Coordinator of the Policy Board’s decision within 2 working days.

The reasons for rejection or partial approval of any NJP will be communicated to the country and other concerned parties through the UN Resident Coordinator.

2.7 Country Approval

Once the Policy Board has made a decision, the country undertakes its standard process for approving UN programmes. This should be completed within one month of the Policy Board's decision.

The NJP is signed by:

- The National Government authorized representative(s) (e.g. National Government coordinating entity, implementing partners)
- UN Resident Coordinator
- UNDP Country Director/Resident Representative
- FAO Country representative
- UNEP's authorized representative.

The signed NJP is transmitted to the Secretariat by the UN Resident Coordinator.

2.8 Release of Funds

The Secretariat submits the following to the Administrative Agent:

- Copy of the signed NJP document with the approved budget
- Submission Form, signed by the Co-chairs of the Policy Board.

Upon receipt of the necessary documentation, the Administrative Agent shall release funds to the Participating UN Organizations as set out in Section II of the Memorandum of Understanding for the Multi-Partner Trust Fund (available at <http://mptf.undp.org/document/download/7248>).

The Administrative Agent shall notify the Participating UN Organizations and the UN Resident Coordinator when the funds have been transferred.

The Administrative Agent will ensure consistency of the approved Joint 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.