# UN-REDD
P R O G R A M M E

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## SNA REPORTING GUIDELINES
## Results-based reporting

# Support to National REDD+ Action: Global Programme Framework 2011-2015 (SNA)

2014 ANNUAL REPORT
of the
UN-REDD PROGRAMME

**Guidelines for Reporting against the SNA Monitoring Framework**
**2014 Annual Report of the UN-REDD Programme**

**Background**

The UN-REDD Programme has wrapped up its 6th operational year and it is time to prepare our Sixth Consolidated Annual Report. Please refer to the e-mail sent to the Management Group on 5 January 2015 regarding the preparation of the 2015 Annual Report.

In this reporting round, we are piloting an online tool for reporting on the Support to National REDD+ Actions: Global Programme (SNA). We expect this tool to help increase efficiency and improve coordination, communication and transparency between the agencies and the Secretariat.

Please note that the information on targeted support and SNA financial records will be collected separately; a follow up message will be sent in this regard.

While the Policy Board had very positive feedback on progress made in the 2013 Annual Report, it has continued to emphasize the need to report on results and outcomes rather than on activities and outputs (see comments on page three).

Reporting against the SNA Results Framework (Annex of the Consolidated Annual Report) remains at both outcome and output levels, while in the consolidated report the higher level i.e. outcome level report will be reflected.

In line with mainstreaming gender into REDD+, the Board has also requested meaningful gender-related information in the report. Please refer to the Policy Board meeting comments below.

This document provides guidelines for reporting on SNA that focus on results-based reporting and also includes guidance on gender reporting.

In terms of layout and structure, the consolidated 2014 Annual Report and its SNA Annex will be similar to that of 2013 (Annual Report 2013)

The online tool opens for input on 12 January 2015 and will close on 20 February 2015. During this six week period, we expect that inputs will be fully provided, quality checked and cleared within the agencies through ongoing cooperation between the Secretariat and the agencies.

Please share these guidelines with relevant agency colleagues.

For any queries and comments concerning the guidelines and the online tool please contact Solongo Zulbaatar (Solongo.Zulbaatar@un-redd.org).

The                                                                                                      Secretariat

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### A. Policy Board comments on Programme reports

The Programme is committed to results-based reporting. The Policy Board has on several occasions, especially at Policy Board meetings, urged the Programme to report on results and outcomes and assess impacts, while pointing out that the Programme is still focused on activity-based reporting. While the lighter format for Semi-Annual updated should be kept, the comments on results based reporting are also valid for the updates.

For example:

*"The Board acknowledged the improvements in reporting while highlighting that it is still focused on activities rather than on achievements and that it does not assess impact. A suggestion was to use "traffic light signals", clarify cause and effect, and avoid duplication of annex and consolidated report information."* (**PB10, Annual Report 2012**)

*"The Policy Board congratulated the Programme on progress achieved and expressed strong praise for the revised format of the Semi-Annual Update, especially sections highlighting challenges and opportunities "The Board recognised Ecuador's report as a good example of reporting on achievements with linkages to the output and outcomes while other National Programme reports need some improvements in this respect. Overall, the Board urged even greater focus on results."* (**PB11, Semi-annual Update 2013**)

*"Norway's representative commended the Programme for its efforts, in particular for promoting an inclusive approach to REDD+, good governance, gender issues, and targeting anti-corruption and noted that the Annual Report has improved significantly, including illustrations, challenges, more financial details and encouraged the Programme to continue this improvement including comparison of cumulative and annual figures. He also mentioned that no-cost extension of National Programmes is justified in several cases and encourage the programme to continue to mitigate risks.''*
*(**PB13, Annual Report 2013**)*

*"Several aspects of the design and content of the Semi Annual Update were praised by the Board. The need for reporting to focus on outcomes was nonetheless stressed, with suggestions given as to how and in which report this is done in future. The clarity of financial information, graphics included in the report and delivery rate for projects was commended, especially with regards to the SNA programme. The inclusion of delays and challenges faced by countries was also welcomed, with Board members suggesting this could form the basis for a more thorough analysis of bottlenecks in future. A call came for insights on how the bottlenecks are being addressed to be included in future reports, so as to assist countries with what can be very technical issues. Yet the Board also responded to the presentation by noting how the report was still focused on outputs rather than outcomes, with the latter seen as being highly important. The Secretariat observed how the more substantive reporting based on results and following the monitoring framework is delivered in the Annual Report, but that activities and milestones reported in the semi-annual cycle are still measured against their contribution towards achieving the targets. Recognising the reporting burden for the Secretariat and countries, result-based reporting was seen by the Board as eventually being more suited for the Annual Report. The number of activities being carried out was seen as being impressive, but a focus on priorities and consideration for how to report on these to the international community was also urged…"* (**PB13, Semi-annual Update 2014**)

### B. SNA Reporting guidelines

**Results-based reporting**

As mentioned earlier, it is imperative that the UN-REDD Programme strengthens its results-based reporting. The UNDG Results Based Management Handbook provides useful instructions and definition of terminologies on this, which are extracted below. These instructions need to be adhered to in the UN-REDD Programme reports.

| UNDG RMB Handbook instructions | UN-REDD notes |
|---|---|
| A **result** is a describable or measurable change that is derived from a cause-and-effect relationship. There are three types of such changes – outputs, outcomes and impact – which can be set in motion by a development intervention. (p.10, UNDG RBM Handbook) | The example below aims to convey the 'cause and effect' relationship between outputs-outcomes-impact of the SNA and its link to the overall Programme (This example reflects the current phase of the Programme and does not reflect the ongoing discussion on the post 2015 period). <br><br> Reporting against SNA Outcomes and Outputs must not be done in isolation. Each outcome and output of the SNA should feed into the overall objective of the SNA and that of the UN-REDD Programme. |
| **Results-based reporting** seeks to shift attention away from activities to communicating important results that the programme has achieved at output and outcome levels. <br><br> An effective results-based report communicates and demonstrates the effectiveness of the intervention. It makes the case to stakeholders and donors for continued support and resources. (p.40) | This is in line with the Policy Board view that the Programme must move away from activity-based reporting. <br><br> It is tempting to report "things done" which are actually Activities. Examples of "things done" include: <br> • a symposium was held on XX subject <br> • workshops with XX participants were undertaken <br> • XX missions were conducted <br><br> Reporting should instead focus on the effects of Activities (= Outputs). Examples include: <br> • training increased capacity of XX technical staff who are now capable of producing XX <br> • a set of indicators/ strategy/ capacity building plan is now agreed upon with technical staff from XX <br> • interagency groups have been established and is now working on XX |
| An important aid in results-based reporting is the results matrix, which clearly articulates the results at output and outcome level and the indicators, baselines and targets. These items, along the review of indicators, assumptions and risks, should serve as guides for reporting on results. | The SNA as a delivery modality has a results matrix with all these parameters. Please refer to the SNA Monitoring Framework 2011-2015, which includes outcomes, outputs, baselines, indicators, targets, means of verification, risks and assumptions. |

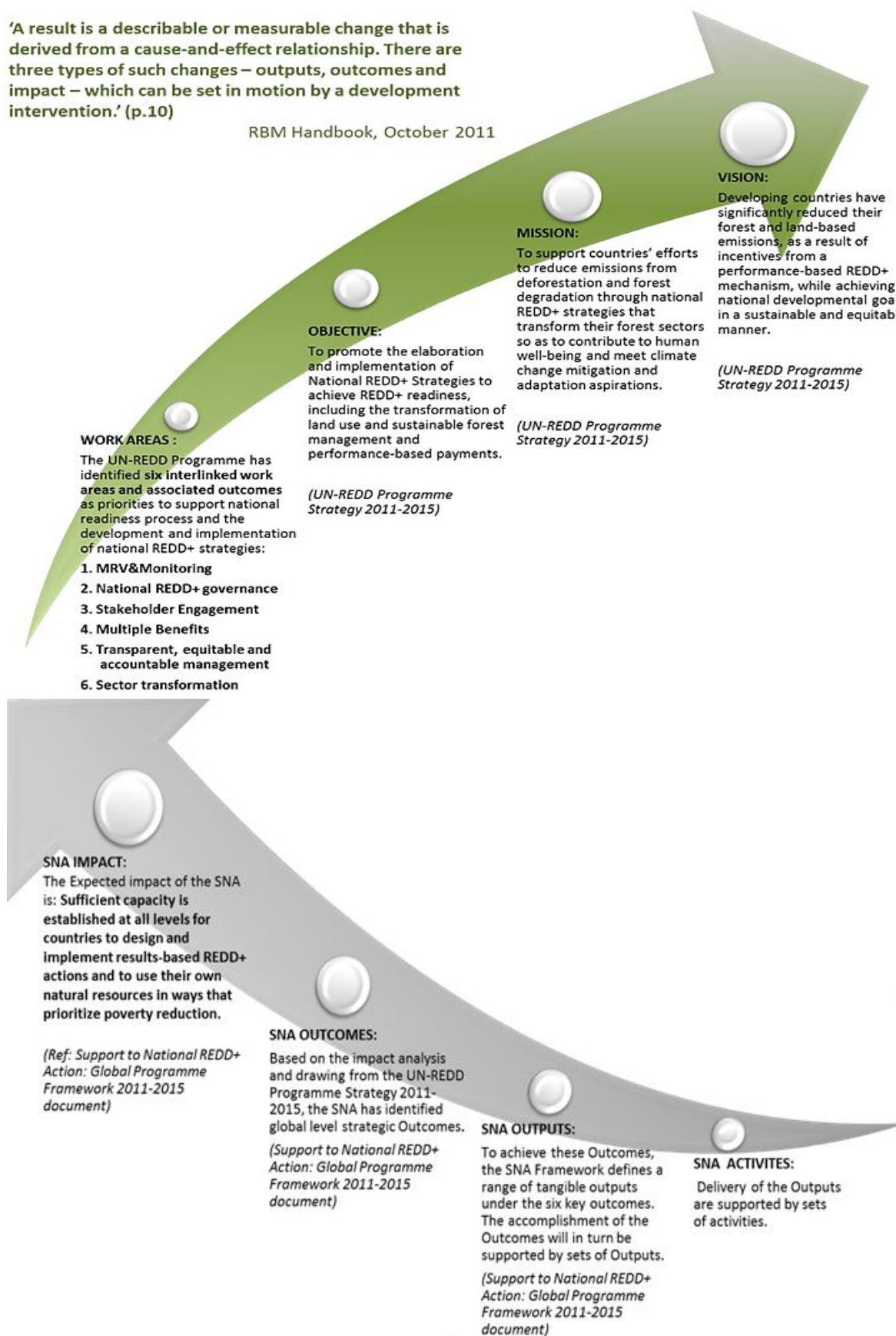| | |
|---|---|
| • **Outcomes** describe the intended changes in development conditions resulting from UNCT cooperation. Outcomes relate to changes in institutional performance or behaviour among individuals or groups as viewed through a human rights-based approach lens.<br>• **Outputs** are changes in skills or abilities, or the availability of new products and services that are achieved with the resources provided within the time period specified. Outputs are the level of result in which the clear comparative advantages of individual agencies emerge and accountability is clearest. Outputs are linked to those account-able from them giving the results chain a much stronger internal logic.<br>• **Indicators** help measure outcomes and outputs, adding greater precision. Indicators ensure that decision-making is informed by relevant data. (p.40) | |
| Changes in baselines or in the achievement of targets should be documented in the results-based report. (p.40)<br><br>An effective report can also be one that highlights challenges and areas of inefficiency and poor results. | In this reporting round, the risks and challenges, and contingency and corrective measures taken or planned will be reported at both outcome and output levels. |

**SNA Results Framework and its linkage to the UN-REDD Programme results framework**

'A result is a describable or measurable change that is derived from a cause-and-effect relationship. There are three types of such changes – outputs, outcomes and impact – which can be set in motion by a development intervention.' (p.10)

RBM Handbook, October 2011

**VISION:**
Developing countries have significantly reduced their forest and land-based emissions, as a result of incentives from a performance-based REDD+ mechanism, while achieving national developmental goals in a sustainable and equitable manner.

*(UN-REDD Programme Strategy 2011-2015)*

**MISSION:**
To support countries' efforts to reduce emissions from deforestation and forest degradation through national REDD+ strategies that transform their forest sectors so as to contribute to human well-being and meet climate change mitigation and adaptation aspirations.

*(UN-REDD Programme Strategy 2011-2015)*

**OBJECTIVE:**
To promote the elaboration and implementation of National REDD+ Strategies to achieve REDD+ readiness, including the transformation of land use and sustainable forest management and performance-based payments.

*(UN-REDD Programme Strategy 2011-2015)*

**WORK AREAS :**
The UN-REDD Programme has identified **six interlinked work areas and associated outcomes** as priorities to support national readiness process and the development and implementation of national REDD+ strategies:

1. MRV&Monitoring
2. National REDD+ governance
3. Stakeholder Engagement
4. Multiple Benefits
5. Transparent, equitable and accountable management
6. Sector transformation

**SNA IMPACT:**
The Expected impact of the SNA is: Sufficient capacity is established at all levels for countries to design and implement results-based REDD+ actions and to use their own natural resources in ways that prioritize poverty reduction.

*(Ref: Support to National REDD+ Action: Global Programme Framework 2011-2015 document)*

**SNA OUTCOMES:**
Based on the impact analysis and drawing from the UN-REDD Programme Strategy 2011-2015, the SNA has identified global level strategic Outcomes.

*(Support to National REDD+ Action: Global Programme Framework 2011-2015 document)*

**SNA OUTPUTS:**
To achieve these Outcomes, the SNA Framework defines a range of tangible outputs under the six key outcomes. The accomplishment of the Outcomes will in turn be supported by sets of Outputs.

*(Support to National REDD+ Action: Global Programme Framework 2011-2015 document)*

**SNA ACTIVITES:**
Delivery of the Outputs are supported by sets of activities.

**Language and UN-REDD house style**

- Please follow the Programme's Style Guidelines, available [here](#).
- Reporting is for the period completed, so the past tense and "passive voice" should be used, leading with the recipient or achievement as subject and the passive voice verb describing the action; e.g. "capacity was built within the XX agency".
- Write as concisely as possible, avoiding extensive narrative. Reference should be made to progress towards Indicator targets.
- Respect the word limit for each section.

**Reporting as "One UN"**

- Report as the UN-REDD Programme, not as an individual participating UN Agency.

**Partners**

- Recognize the involvement of others (partners, stakeholders etc) and assign a degree of attribution, if possible.
- If there is no data to be reported on within the reporting period, please mark n/a and provide a reason for this.

**Gender reporting**

Please include gender considerations in reporting. Attention should be placed on measuring and reporting on achievements in terms of who was involved and benefited. Data should be disaggregated by sex and achievements should be gender responsive in nature, in that they include distinct information for both women and men, and how/if their roles, priorities, knowledge, skills, and constraints were taken into account. Although reference to various groups and comments on "stakeholder participation", "community involvement" and "indigenous peoples" need to be made, it is also critical to then make distinctions between these different types of stakeholders within a group, wherein such information should go further to include gender disaggregated data as well. Additionally, as noted above in the "Reporting" section, reporting on gender should focus on the effects and impacts of activities rather than only the activities themselves (Example: "The inclusion of 20% women in the training on stakeholder engagement was an increase over previous years and although their representation was small, 60% of women participants raised comments, concerns and/or questions, which were then addressed and incorporated into the revised National Strategy" rather than "a stakeholder engagement workshop with XX women and XX men participants was undertaken").

Some questions to ask when determining how and if achievements were gender responsive include:
1) If any tools, analyses, assessments, R-PPs, strategies, reports were conducted or prepared within a country or as part of the overall Programme's work, did they include any explicit gender sensitive considerations and/or make explicit acknowledgments of women and men in its analysis, findings, recommendations, etc.?
2) Did any countries include gender considerations into REDD+ financial/funding structures and benefit distribution systems, wherein women and other vulnerable groups (e.g. poor, indigenous people, youth) are explicitly accounted for, so that they benefit from such structures?
3) Did any countries allocate explicit budget within their key REDD+ documents to support gender and/or women's engagement/empowerment issues?
4) If any countries developed monitoring and reporting frameworks for corresponding UN-REDD related work (be it for a National Programme, R-PP, Readiness Roadmap, Targeted Support, etc.) were gender sensitive indicators and sex disaggregated data included within these frameworks? If so, which REDD+ activities are they associated with? Some examples of gender sensitive data and indicators can include:

    a) Percent/number of women and men participating in a process, meeting, event, etc., and the quality of input received from their participation (i.e. were both women and men able to actively participate, and raise their voice to give comments and/or answer questions?).

    b) Number/percentage of men and women, by social group, consulted about project plans and how often.

    c) Number of women holding leadership roles in REDD+ decision-making bodies and involved in decision-making processes.

    d) Percentage of women and men who say that they benefit from REDD+ value-chain improvement activities.

    e) Inclusion and/or improvement of women's resource and tenure rights in laws or regulations.

5) If any country level REDD+ entities and management structures (national and provincial) were created, do any women represent and occupy those positions? If so, how many?

6) Were training or capacity building activities developed and undertaken by taking gender sensitive aspects into account? (This applies to all UN-REDD thematic areas – i.e. stakeholder participation, safeguards, governance, FPIC, benefit sharing, fund management, MRV, NFMS, etc.) Pending on the type of training/ capacity building workshop, and its targeted participants and audience, such gender sensitive aspects could include:

    a) Involving both women and men in the design and scoping of workshops/meetings, etc.

    b) The content of the meeting/training/workshop itself integrated gender equality and women's empowerment considerations into it.

    c) Intentionally designing meetings (time, location, group arrangement, such as mixed groups, and/or women's and men's only meetings) to encourage women's and men's equitable and meaningful participation and involvement.

    d) Inviting and including gender focal points from applicable ministries, representatives from women's or gender ministries, representatives from women's groups and unions, and women's or gender focused CSOs/NGOs, etc.

    e) Working with applicable ministries to encourage women's participation and identify women participants.

If any of these or other similar steps were taken, this would be valuable information to highlight in the report for the gender section under each output. Alternatively, if such data is low or absent, please also note so in the gender section under each output as well as provide concrete reasons why this is the case. If gender sensitive considerations seem to fall under multiple outputs/outcomes, or involve more general/overarching gender sensitive activities, such as undertaking a REDD+ gender analysis or having one general budget line for gender sensitive activities, etc., please note this work under the "cumulative achievements" section under Output 2.8 (Gender). Further guidance on gender sensitive REDD+ action is also provided within the UN-REDD "Guidance Note on Gender Sensitive REDD+" located [here.](here.)

**Reporting on Outcome level**

At Outcome level, the following fields of information will be reported:

- **Cumulative achievements since January 2012[1] against target** *(maximum 250 words)*
- **Risks and challenges, and corrective actions planned or taken** *(maximum 150 words)*
  Please describe challenges faced for each outcome and output. Also provide a brief description of contingency measures taken (or that will be taken) to address the challenges. If the challenge (implementation delay etc.) has resulted in a lower financial delivery than expected, please indicate. This part is important, so please do not forget to consider the challenges and how these were resolved or, alternatively, how it is suggested to deal with the challenges if possible. It is important that all agencies fill the column so as to have a spread across the Programme on various issues.

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[1] The SNA was approved in 2011, while the fund transfer was made in 2012.

- ***Lessons learned since January 2012*** *(maximum 150 words).*
  These captured lessons can be operational, technical, political etc in nature and be at national, regional or global scale.
- **Strategic issues ahead** *(maximum 150 words)*
  Strategic issues ahead refer to strategic approaches by the Programme in view of the global agenda, regional priorities, upcoming meetings (COPs etc), joint initiatives and opportunities in short term, medium or until 2020.


**Reporting on Output level**

At Output level, the following fields of information will be reported:
- **Cumulative achievements since January 2012 against target** *(maximum 250 words)*
- **Key knowledge products with hyperlinks** *(maximum 150 words)*
  A Knowledge Product can be defined as explicit knowledge (knowledge that can be articulated, codified and stored) designed to assist in the transfer of knowledge to the end user. For example, publications, videos or web pages could be considered knowledge products. Only products fully funded or co-funded by the Programme should be listed.

  Some results listed under SNA Outcome 7 are achieved with funds from various Outcomes and Outputs. They are reported under their respective
  Outcomes and summarized under Outcome 7 as they are relevant to the achievements under Outcome 7.
- **Risks and challenges, and corrective actions planned or taken** *(maximum 150 words)*
- **Lessons learned since January 2012** *(maximum 150 words)*
- **Gender sensitive results achieved under the output** *(maximum 150 words)*