

UN-REDD PROGRAMME



Food and Agriculture
Organization of the
United Nations



Empowered lives.
Resilient nations.



Information note on Draft 2016- 2020 UN-REDD Programme Results Framework

UN-REDD PROGRAMME
FIFTEENTH POLICY BOARD
MEETING

9-10 November 2015
San Jose, Costa Rica

Context and overview

In accordance with both the UNDG guidelines for results-based programme management and the recent guide to designing pooled funds for performance published by the Multi-Partner Trust Fund (MPTF) Office, a results framework for the UN-REDD Programme (2016-2020) has been drawn up. Derived from the overall theory of change, this results framework includes thorough specification of the impact and outcome indicators as well as the means of verification, the assumptions and the risks. The draft matrix is attached.¹ The overall development goal, the impact area and the three outcomes are based on those specified in the strategic framework that was endorsed by the UN-REDD Programme Policy Board at the 14th meeting in Washington, D.C. in May 2015.

The main thrust of the work to design the results framework has focused on these levels at this stage. Further specification of output indicators will be undertaken as country programmes (projects) are developed. This is consistent with the tailored approach to country support that will be an important feature of the 2016-20 Programme and also with recommendations of the external evaluation of the UN-REDD Programme undertaken in 2013-14.

It is important to stress that the results framework is the main foundation for a results-based management system for the Programme, 2016-2020. With agreement on the results framework and the indicators, there is a unique opportunity to ensure an effective monitoring of progress towards the agreed goals and outcomes of the global programme from the outset. The next step is to prepare a comprehensive M&E manual that gives specific and thorough guidance to all partners (including users, monitors, country representatives, agency teams, etc.) on how each indicator will be measured, scored, aggregated and reported.² As shown in the results framework, a country reporting system is being developed through the Programme, with scorecards and self-assessment tools that will generate comparable information to track progress in all countries on REDD+.

¹ It is envisaged that the results framework will be approved in a final version by the Executive Board responsible for the 2016-20 Programme. At this stage, baseline and target information will also be completed.

² Agreed definitions of key terms will also be specified in the M&E (results) manual. The jargon of REDD+ includes use of terms such as results-based payments (RBPs), results-based actions (RBAs), policies & measures (PAMs), policies laws and regulations (PLRs), social and environmental benefits, non-carbon benefits, drivers, pillars, components and so on, which require clarification. Amongst the tools that can be used to prepare M&E guidance - in addition to the UNDG guide mentioned above - the forest governance assessment by Profor is particularly useful:

<http://www.profor.info/sites/profor.info/files/docs/AssessingMonitoringForestGovernance-guide.pdf>

Draft 2016-2020 UN-REDD Programme Results Framework

Development Goal (beyond programme life)		Reduce forest emissions and enhance carbon stocks in forests, while advancing national sustainable development			
Development Goal (DG) indicators		Baseline	Target	Means of verification	
DG.1 Emission reductions (measured in tCO ₂ e/year) from reduced deforestation and forest degradation, as well as carbon stock enhancement achieved in UN-REDD partner countries.		Emissions from forest area changes between 2010 – 2015	XX% reduction of emissions from forest area changes (2015-20)	Global Forest Resource Assessment (FRA)	
DG.2 Progress in UN-REDD partner countries towards targets under Sustainable Development Goal No. 15, (SDG 15) regarding the protection, restoration and sustainable use of terrestrial ecosystems – with a focus on forests		To be determined from SDG No.15 Indicator set (March 2016)	Improvement in score across all UN-REDD partner countries	Annual SDG progress report (with template) to be prepared by the UN inter-agency and expert group on SDG indicators	
Programme Impact (5 years)		Countries implement actions that deliver both carbon and non-carbon benefits from forests in accordance with UNFCCC decisions			
Programme Impact (PI) indicators		Baseline (start 2016)	Target (End 2020)	Means of verification	Assumptions and risks
PI.1. Percentage of UN-REDD partner countries that are ready to implement and monitor results-based actions leading to emissions reductions (i.e. “REDD+ -ready”) in accordance with relevant UNFCCC decisions		0% of UN-REDD partner countries	XX% of UN REDD partner countries	Country submissions to UNFCCC (on REDD+ information hub) / Country reporting	<u>ASSUMPTIONS</u> Countries are effectively represented in UNFCCC and representatives are familiar with agreements Countries are willing to engage in comprehensive, participatory and inclusive multi-stakeholder consultative processes at national level, seeking

<p>PI. 2. Percentage of UN-REDD partner countries that demonstrate quantifiable social and environmental benefits generated through the implementation of REDD+, policies and measures</p>	<p>0% of UN-REDD partner countries</p>	<p>XX% of UN-REDD partner countries</p>	<p>Summary of information on safeguards / participatory national monitoring & evaluation of PAMs including reports from oversight institutions (government and NGOs) / SDG monitoring / country level periodic evaluations</p>	<p>sustainable natural resource management, social well-being and low-carbon solutions</p> <p><u>RISKS</u> No international agreement on REDD+ RBPs is reached within the context of UNFCCC negotiations National and international funding is not sufficient to cover costs of capacity development, readiness, implementation of policies and measures, and RBPs</p>
<p>PI. 3. Percentage of UN-REDD partner countries that have implemented policy and/or institutional reforms designed to improve forest governance for REDD+ results</p>	<p>0% of UN-REDD partner countries</p>	<p>XX% of UN-REDD partner countries</p>	<p>Mitigation chapter in BUR and score card of key policies & governance indicators reviewed at national level through mid-term and final evaluations</p>	

Outcome 1: National contributions to the mitigation of climate change through REDD+ are designed and adopted, including the provision of additional social and environmental benefits, and in conformity with the UNFCCC's REDD+ safeguards.				Financial needs:
Programme Outcome (PO) Indicators	Baseline	Target	Means of verification	Assumptions and risks
<p>PO 1.1 Degree of completeness of national REDD+ strategies and/or action plans (NS/AP) as defined by whether the NS/AP:</p> <ul style="list-style-type: none"> – identifies, assesses and prioritises the direct and underlying drivers of deforestation and forest degradation, as well as the barriers to the "plus" (+) activities on the basis of robust analyses; – proposes a coherent and co-ordinated set of policies and measures for REDD+ that are proportionate to the drivers & barriers, results-oriented and feasible; – relates to the scope and scale of the FREL/FRL, taking into account national circumstances; – defines the institutional arrangements for REDD+ implementation, including governance measures, participatory oversight and inter-sectoral coordination. <p>Score from low to high completeness</p>	<p>X (XX%) of 60+ countries have a minimum score of 2 out of 4 on completeness index</p>	<p>Y (YY%) of 60+ countries have a minimum score of 2 out of 4 on completeness index</p>	<p>UNFCCC information hub & country reporting</p>	<p><u>ASSUMPTIONS:</u></p> <p>The REDD+ focal point and national climate change committee engage in inter-sectoral dialogue on the scope and priorities of the NS/APs</p> <p>Information on deforestation and forest degradation will be freely available and shared between national institutions (including for the SIS)</p> <p>Relevant institutions and stakeholders identify the main additional benefits and risks of REDD+ for inclusion in the NS/AP</p> <p>There is “political space” for full and effective participation of relevant stakeholders, including CSOs, IPs, local communities, women and youth organisations as well as private sector representatives in the development of REDD+.</p> <p>Countries align REDD+ to international frameworks and conventions as well as national legislation pertaining to human rights, including the rights of indigenous peoples and gender equality.</p>
<p>PO 1.2 Degree to which the NS/AP incorporates principles of social inclusion and gender equality, as defined by whether:</p> <ul style="list-style-type: none"> – the NS/AP is developed through a multi-stakeholder, gender-responsive and participatory consultation and dialogue process; – the proposed policies and measures for 	<p>X (XX%) of 60+ countries have scored a minimum of 2 out of 3 on social inclusion index</p>	<p>Y (YY%) of 60+ countries have scored a minimum of 2 out of 3 on social inclusion</p>	<p>Country reporting</p>	<p><u>RISKS:</u></p> <p>Countries with limited political space do not provide sufficient opportunities for full and effective participation of relevant stakeholders, including CSOs, IPs, local communities, women and youth organisations as well as private sector representatives in the development of the NS/AP or safeguards.</p>

<p>REDD+ integrate gender-responsive actions;</p> <ul style="list-style-type: none"> – the proposed policies and measures for REDD+ consider the realisation of land and resource rights of indigenous peoples and local communities as well as their development priorities. <p>Score of low to high social inclusion</p>		<p>index</p>		<p>Conflicts and overlapping mandates between central government ministries and agencies, or between central and local government agencies result in key interests not being sufficiently represented in the NS/APs.</p> <p>Ministries and institutions with knowledge and expertise relevant for REDD+ NS/APs are not consulted or involved in the process.</p>
<p>PO 1.3 Degree of anchoring of the NS/AP in the national development policy and institutional fabric as defined by whether:</p> <ul style="list-style-type: none"> – there is effective inter-ministerial coordination for REDD+ action – endorsement of the NS/AP has been obtained at a high political level, beyond the agency or ministry that led the REDD+ readiness process; – REDD+ actions or targets are embedded in the national plan or policy for sustainable development; – there is evidence that ministries/agencies outside the forest and environment sectors are committed to implementing REDD+ policies and measures; – financing arrangements to start implementing the NS/AP (or to channel results-based finance) have been designed. <p>Score of low to high anchoring</p>	<p>X (X%) of 60+ countries have scored a minimum of 3 out of 5 on a anchoring index</p>	<p>Y (Y%) of 60+ countries have scored a minimum of 3 out of 5 on an anchoring index</p>	<p>Country reporting / reports from gender analyses & monitoring / UN-REDD reference on gender-sensitive REDD+</p>	

<p>PO 1.4 Degree of completeness of the design of a country approach to address the social and environmental safeguards for REDD+ as defined by whether the design:</p> <ul style="list-style-type: none"> – aligns with the NS/AP, covering the social and environmental benefits and risks of the policies & measures for REDD+ being considered by the countries; – defines specific policies, laws and regulations (PLRs), as well as other measures, to address the identified benefits and risks; – has institutional arrangements and/or capacities to implement those PLRs and to monitor the REDD+ safeguards; – transparently provides information on how safeguards are respected and addressed. <p>Score of low to high completeness</p>	<p>X% (XX%) of 60+ countries have a minimum of score of 3 out of 4 on the completeness index</p>	<p>Y% (YY%) of 60+ countries have a minimum score of 3 out of 4 on the completeness index</p>	<p>Country reporting</p>	
<p>PO 1.5 Degree of satisfaction of UN-REDD partner countries with knowledge, technical expertise and capacity building provided by the UN-REDD Programme in support of NS/AP and safeguard design</p> <p>Score of low to high satisfaction index</p>	<p>No baseline</p>	<p>Y (YY%) of 60+ countries have a minimum satisfaction index of Y%</p>	<p>Periodic country evaluations using a common tool or approach (satisfaction survey)</p>	
<p>Output 1.1</p>	<p>To be defined at country level</p>			<p>Financial needs (to be determined)</p>
<p>Output 1.2</p>	<p>To be defined at country level</p>			<p>Financial needs (to be determined)</p>
<p>Output 1.3</p>	<p>To be defined at country level</p>			<p>Financial needs (to be determined)</p>
<p>Output 1.4</p>	<p>To be defined at country level</p>			<p>Financial needs (to be determined)</p>

Outcome 2: National contributions to the mitigation of climate change though REDD+ are measured, reported and verified with the necessary institutional arrangements in place				Financial needs:
Outcome indicators	Baseline	Target	Means of verification	Assumptions and risks
<p>PO 2.1 Robustness of FREL/FRL submissions as defined by whether the submission:</p> <ul style="list-style-type: none"> – is transparent, complete, consistent and as much as possible accurate and allows reconstruction of the submitted FREL/FRL; – includes pools and gases, and REDD+ activities (Scope) and justification for omitting significant pools and/or activities; – justifies where submission is inconsistent with previous versions of GHG inventory; – Includes details of the forest definition used and national circumstances; – defines the geographic area covered by FREL/FRL (scale). <p>Score from low to high robustness.</p>	XX (XX%) of countries submitted FREL/FRL with minimum robustness scores of 4 out of 5	40 (66%) of 60+ countries submitted FREL/FRL with minimum robustness scores of 4 out of 5	UNFCCC REDD+ website and technical assessment report on the FREL/FRL published by the secretariat via the web platform on the UNFCCC website	<p><u>ASSUMPTIONS</u></p> <p>There is political commitment in any given country to build the national forest monitoring system (NFMS) as well as to determine REDD+ scope, scale and any appropriate adjustment for national circumstances (for reporting to UNFCCC)</p> <p>The results of MRV are transparently shared and accessible by relevant stakeholders</p> <p>Opportunities for meaningful inputs from CSOs, IPs and local communities, including equitably men and women, into MRV are available</p> <p><u>RISKS</u></p> <p>The NFMS is not embedded in government structures and/or is not given sufficient domestic financial and staffing support in UN-REDD supported countries</p> <p>High staff turn-over reduces the capacity of national NFMS institutional framework</p>
<p>PO 2.2 Robustness of BUR REDD+ annex submissions as defined by whether the submission:</p> <ul style="list-style-type: none"> – is consistent in methodology, definition, and comprehensiveness (scope and scale) with the submitted FREL/FRL; – is transparent, complete, consistent and as much as possible accurate and allows reconstruction of results; – includes a description of NFMS and the institutional roles and responsibilities 	XX (XX%) of 60+ countries submitted BUR REDD+ Annex with minimum robustness scores of 2 out of 3	30 (48%) of 60+ countries submitted BUR REDD+ Annex with minimum robustness scores of 2 out of 3	UNFCCC REDD+ website and technical report on the BUR REDD+ annex published by the Secretariat via the web	

for measuring, reporting and verifying (MRV) the results. Score from low to high robustness.			platform on the UNFCCC website.	
PO 2.3 Degree of completeness of the NFMS in UN-REDD partner countries as defined by whether the NFMS includes one or more of the following components: – Satellite Land Monitoring System (SLMS); – National Forest Inventory (NFI), and a – National GHG Inventory (GHGi) and whether the system: – is suitable for estimating anthropogenic forest-related greenhouse gas emissions by sources, and removals by sinks, forest carbon stocks, and forest-area changes resulting from the implementation of REDD+ activities; – is consistent with Intergovernmental Panel on Climate Change (IPCC) guidance and guidelines; – enables the assessment of different types of forest in the country, including natural forest; Score from low to high completeness	5 (8%) of 60+ countries have a completeness index score of 4 out of 6 or more	30 (50%) of 60+ countries have a completeness index score of 4 out of 6 or more	Country reporting	
PO 2.4 Degree of operational effectiveness of NFMS in UN-REDD partner countries as defined by whether the system; – operates effectively independent of external technical assistance and support – is built on existing country structures	X (XX%) of 60+ countries have an operability index score of 4 out of 6 or	Y (YY%) of 60+ countries have an operability index score of 4 out of 6 or	Country reporting	

<ul style="list-style-type: none"> – satisfies domestic information needs – has clarified roles and responsibilities – publishes information generated in a form that is accessible to external users – includes financing from domestic sources (such as the national budget) <p>Score from low to high operational effectiveness</p>	<p>more</p>	<p>more</p>		
<p>PO 2.5 Degree of satisfaction of UN-REDD partner countries with knowledge, technical expertise and capacity building provided by the UN-REDD Programme in support of the three components of the National Forest Monitoring System (SLMS, NFI, GHGi) and FREL/FRL.</p> <p>Score from low to high satisfaction index</p>	<p>No baseline</p>	<p>Y (YY%) of 60+ countries have a minimum satisfaction index of Y%</p>	<p>Periodic country evaluations using a common tool or approach (eg satisfaction survey)</p>	

Outcome 3: Drivers of deforestation and forest degradation are addressed through the implementation of policies and measures (results-based actions), with social and environmental safeguards addressed and respected				Financial needs:
Outcome indicators	Baseline	Target	Means of verification	Assumptions and risks
<p>PO 3.1 Effectiveness of implementation of policies and measures to address identified drivers of deforestation and forest degradation, as well as the barriers to the implementation of plus (+) activities in UN-REDD partner countries, as defined by whether:</p> <ul style="list-style-type: none"> - evidence exists that drivers of deforestation and forest degradation are being addressed - multi-stakeholder participation and oversight mechanisms exist to implement and/or monitor implementation - decisions taken by government on implementation of PAMs are influenced by the results of ongoing monitoring and oversight. 	X (XX%) of countries have addressed drivers and barriers	Y (YY%) countries have addressed drivers and barriers	Country reporting	<p>ASSUMPTIONS</p> <p>Countries implementing PAMs have completed NS/Aps which clearly define and prioritise drivers of deforestation and forest degradation as well as the + (plus) activities.</p> <p>Countries implementing PAMs have the capacity to measure emission reductions/enhancements with FREL/FRL and BUR submissions to the UNFCCC.</p> <p>The NS/AP (and/or associated documents) has a clear related “costing”, i.e. the country has assessed the finance needed to implement the NS/AP.</p> <p>Sufficient results-based payments/finance accessible to countries through clearly established and transparent international mechanisms.</p> <p>Policies and measures (PAMs) being implemented are supported by decision makers at different levels of government</p> <p>REDD+ countries address policy gaps, policy conflicts and overlapping mandates between different government agencies</p> <p>Reliable and credible institutions are set up to manage RBPs within participating countries</p> <p>Country approaches to safeguards are flexible, in order</p>
PO 3.2 Total finance mobilized by countries from domestic, bilateral, multi-lateral sources to implement their NS/AP for REDD+ as a result of UN-REDD support	X amount of finance mobilised	Y amount of finance mobilised	Country and financial institutions reporting	

PO 3.3. Percentage (number) of UN-REDD partner countries that have secured results-based payments/finance for REDD+ that is consistent with the UNFCCC methodological guidance (such as the Green Climate Fund).	X (XX%) of Z countries have secured finance	Y (YY%) of Z countries have secured finance	UNFCCC Information Hub Country reporting	to be consistent with the requirements determined by providers of results-based payments (e.g. the Green Climate Fund) Safeguard requirements from different agencies and financing facilities do not proliferate to the extent that transaction costs for countries to meet safeguard requirements becomes unsustainable
PO 3.4 Degree to which the implementation of PAMs for REDD+ respects and addresses the social and environmental safeguards as defined by UNFCCC decisions Score of “low” to “high” indicating whether safeguards are addressed and respected	X (XX%) of Z countries have a high score of addressing and respecting safeguards	Y (YY%) of Z countries have a high score of addressing and respecting safeguards	Summary of information on safeguards submitted to UNFCCC / Country reporting / reports from grievance and redress mechanism	Systems / mechanisms for REDD+ RBP available to countries are sufficiently unified, consolidated and coherent so as not to generate unsustainably high transaction costs, duplication of effort and efficiency losses <u>RISKS</u> Insufficient political will exists to change prevailing land use decisions and implement legal and regulatory reforms needed to effect real change
PO 3.5 Degree of satisfaction of UN-REDD partner countries with knowledge, technical expertise and capacity building provided by the UN-REDD Programme in support of the implementation of policies and measures for REDD+ Score of low to high satisfaction index	No baseline	Y (YY%) of 60+ countries have a minimum satisfaction index of Y%	Periodic country evaluations using a common tool or approach (satisfaction survey)	Countries do not have sufficient capacity and resources (e.g. knowledge, finance, tools, personnel, etc.) allotted and in place to effectively implement gender responsive and participatory sustainable REDD+ action
Output 3.1	To be defined at country level		Financial needs (to be determined)	
Output 3.2	To be defined at country level		Financial needs (to be determined)	
Output 3.3	To be defined at country level		Financial needs (to be determined)	
Output 3.4	To be defined at country level		Financial needs (to be determined)	
