25 November 2015

Terms of Reference

UN-REDD Programme

Multi-Partner Trust Fund

Abbreviations & Acronyms

AP:	Action plan
BioCF:	BioCarbon Fund
CIF:	Climate Investment Funds
CN:	Concept Note
COP:	Conference of Parties
CSO:	Civil Society Organization
CTA:	Chief Technical Advisor
DDFD:	Drivers of deforestation and forest degradation
ER:	Emission reduction
EB:	Executive Board
EoI:	Expression of Interest
FAO:	Food and Agriculture Organization of the United Nations
FCPF:	Forest Carbon Partnership Facility
FREL:	Forest Reference Emission Level
FIP:	Forest Investment Programme
GCF:	Green Climate Fund
GEF:	Global Environment Facility
GHG:	Greenhouse Gas
IAS:	Internal Audit Service
IPs:	Indigenous Peoples
IPCC:	Intergovernmental Panel on Climate Change
KM:	Knowledge management
LA:	Lead Advisor
LULUCF:	Land use, land-use change and forestry
MG:	Management Group
MOU:	Memorandum of Understanding
MPTF:	Multi-Partner Trust Fund
MRV:	Measurement, reporting and verification
M&E:	Monitoring and Evaluation
NFMS:	National Forest Monitoring System
NICFI:	Norway's International Climate and Forest Initiative

NP:	National Programme
NSC:	National Steering Committee
NS:	National REDD+ strategy
PAMs:	**Policies and Measures**
PB:	Policy Board
PD:	Programme Document
PMU:	Programme Management Unit
RBA:	Results-based Action
RBF:	Results-based Finance
RBP:	Results-based Payment
REDD+:	Reducing Emissions from Deforestation and Forest Degradation and Conservation, Sustainable Management of Forests and Enhancement of Forest Carbon Stocks in Developing Countries.
REL:	Reference Emission Level
REM:	REDD Early Movers
R-PP:	Readiness Preparation Proposal
SAA:	Standard Administrative Arrangements
SIS:	Safeguards Information System
ToC:	Theory of Change
TS:	Targeted Support
ToR:	Terms of Reference
UN:	United Nations
UNDG:	United Nations Development Group
UNDP:	United Nations Development Programme
UNEG:	United Nations Evaluation Group
UNEP:	United Nations Environment Programme
UNFCCC:	United Nations Framework Convention on Climate Change
UN-REDD:	The United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries
UN SDGs:	United Nations Sustainable Development Goals
WB:	World Bank

Table of Contents

List of Figures

List of Tables

1 Background and Rationale

1.   Deforestation and forest degradation are significant sources of greenhouse gas (GHG) emissions, and are ranked as the third largest source of GHG emissions globally. Emissions from tropical deforestation alone are estimated in the range of 2.8 - 3.4 GtCO2eq per year. Each year more than 13 million hectares of forests disappear, with devastating impacts on local and global climate, biodiversity, ecosystem services, communities and indigenous peoples and entire national economies. Efforts to mitigate climate change and tackle global sources of GHG emissions focus not only on reducing emissions but also on increasing carbon stocks (in forests, peat lands, etc.). Such Climate Change mitigation efforts include a set of activities aimed at *Reducing Emissions from Deforestation and Forest Degradation (REDD+)*, while also generating a broader range of social, economic, environmental and biodiversity conservation benefits. REDD+ is probably the largest ever Payment for Ecosystem Services scheme set up at global level. In simple terms: countries that are preserving and increasing carbon stocks (e.g. forests) will be rewarded for their efforts as this will generate benefits for the global community, and the rewards for such 'virtuous' countries will come from payments made to them by other countries that are net emitters of GHGs in the atmosphere (such as some of the most industrialized countries). However, in order for 'money to change hands' a complex and equitable system of monitoring, certification and re-distribution of resources needs to be set-up. This is being undertaken through the UN Framework Convention on Climate Change (UNFCCC).

2.   During the thirteenth UNFCCC Conference of the Parties (COP13) in 2007, the concept of a global REDD+ scheme was included as part of the Bali Action Plan. It was defined as: "*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*" (decision 1/CP.13). REDD+ decisions under UNFCCC have been adopted progressively since COP13, covering principles, scope, methodological guidelines and safeguards. The multilateral negotiations setting the framework for REDD+ were finalized in Warsaw at COP19 with seven decisions adopted that are referred to as '*the Warsaw Framework for REDD+*'. Together these seven decisions constitute the REDD+ rulebook, pending only further guidance on safeguards expected to be adopted by COP21 in Paris (December 2015). The UNFCCC has thus effectively set out the process for 'virtuous' countries to have the results of their REDD+ activities recognized by the international community, making them eligible for receiving results-based payments (RBPs) and

results-based finance (RBF), through special funds being set-up for this purpose (such as the Green Climate Fund). The REDD+ global mechanism will thereby contribute directly to the achievement of the new UN Sustainable Development Goals (SDGs) 13 and 15, and it also contributes indirectly to the achievement of goals 1,2,3,6,7 and 12 (ref. UNGA SDG document).

3.   In this context the UN-REDD Programme – the United Nations collaborative initiative on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries (hereinafter referred to as the Programme) – was established in 2008, building on the convening role and technical expertise of the Food and Agriculture Organization (FAO), the United Nations Development Programme (UNDP) and the United Nations Environment Programme (UNEP). The UN-REDD Programme offers technical support and specialized expertise on all aspects of REDD+ to over 60 countries. In its initial stages (2008-2015) the Programme focused mainly on developing technical guidelines, building national capacities and on REDD+ proof-of-concept, assisting member countries in their efforts to put in place the required capacities and processes required to implement results based actions and become eligible for results-based payments under the expected REDD+ mechanisms.

4.   A number of countries have now reached advanced stages in their readiness efforts, which comprises the foundational work: (i) definition of priorities and strategic actions in a REDD+ Strategy or Action Plan; (ii) National Forest Monitoring System; (iii) Reference Emission Levels; (iv) Safeguard Information Systems. The Programme is therefore gradually expanding its support also to more advanced countries in moving towards implementation of REDD+ actions - hereinafter referred to as Policies and Measures (PAMs)[1.]

5.   Since 2008, a number of other initiatives supporting REDD+ have emerged. These include i.e. the Forest Carbon Partnership Facility (FCPF) of the World Bank, with its readiness fund and carbon fund windows; the Global Environment Facility (GEF), with its sustainable forest management/REDD+ windows; The Forest Investment Programme (FIP) of the Climate Investment Funds of the multinational development banks, which is also a potential source of support for REDD+ implementation as well as The Green Climate Fund. Norway's International Climate and Forest

---

[1] These 'PAMs' include a range of country-specific reforms and actions that may vary in nature such as i.e. policy actions (e.g. a moratorium on deforestation), technical measures (e.g. promoting improved agricultural practices or integrated landscape management) or fiscal measures (e.g. introduction of tax incentives/disincentives). These PAMs therefore refer to the responses required in a specific country to eliminate drivers or barriers to deforestation and forest degradation. These are normally identified in a country's REDD+ strategy or Action Plan.

Initiative (NICFI) and Germany's REDD Early Movers (REM) are also examples of major programmes intended to incentivize the reduction of emissions from forests through results-based payments..

6.   The Programme has gradually evolved to maximize synergy and collaboration with all the above actors and particularly with the FCPF, increasingly at the country level. The key features of the Programme in this context included (i) the focus on developing long-term capacities of key in-country stakeholders; (ii) a collaborative endeavour that deployed the best technical expertise and policy support from three UN technical agencies across all areas of REDD+; (iii) harnessing the long-standing relationships of the three UN agencies with national counterparts. Going forward, this offers a neutral and unbiased support platform to member countries, in particular on the development of Policies and Measures (PAMs). PAMs can be understood as actions taken and/or mandated by governments. In the context of REDD+, PAMs address the drivers of deforestation and forest degradation, or the barriers to enhancing forest carbon stocks, in order to implement REDD+ activities (emissions reductions and/or removals) as decided by a country, potentially in combination with other objectives (such as integrated rural development and sectoral transformation). The UN-REDD Programme has specific assets in terms of:

- Identification of the drivers of deforestation and forest degradation and the subsequent design of PAMs that will address and tackle these. Institutional and context analyses to determine the political, social and environmental viability of PAMs will contribute to this important analytical and decision-making process.

- Capacity to embed REDD+ in national policy processes and support consistency across different sectorial policies.

- Potential to facilitate, sustain and maintain political dialogue on sensitive political matters, which, when coupled with the identification of political, social and economic bottlenecks for PAM implementation leads to ensuring the enabling conditions for PAM implementation.

- Ability to assume the risks of piloting and testing, with subsequent transfer of capacities to government entities.

- Through its presence at country level and capacity to support policy dialogue at national and global level, the UN system and through it the Programme has the ability to stay the course on technical matters irrespective of the political orientations or changes in any given country.

7.   A summary of the achievements and contributions of the Programme to the global movement towards REDD+ are included in the publicly available Programme Reports.

8.   The **new phase of the Programme** (2016-2020) builds upon the practical experience acquired by the Programme since 2008 and it takes stock of the lessons learned and recommendations emerging from internal reviews as well as comprehensive external and independent audits and evaluations, including feedback collected from a wide range of stakeholders at the national and global level[2]. While these are covered in respective management responses[3], in summary the design addresses recommendations related to (i) design of support articulated in a theory of change; (ii) streamlined decision-making and governance; (iii) clarification of prioritization processes for programming and fund allocation; (iv) and adoption of a results based approach enabling the codification and attribution of impacts. Other recommendations related to implementation arrangements are covered in a separate operations note which aims to guide internal teams and partner countries. Also, the new Programme builds upon the recently approved UNFCCC 'Warsaw Framework for REDD+' which now sets a clear pathway to REDD+ for member countries.

2 UN-REDD Programme Rationale

9.   The rationale and approach of the Programme has evolved quite significantly since 2008. The most remarkable changes included : (i) 53 additional countries have joined the Programme since it began, now counting 64 partner countries with ecosystems ranging from dense tropical forests to scarce forest cover, providing opportunities for the full range of REDD+ actions from conservation to enhancement of carbon stocks; (ii) the technical work areas of the Programme have evolved as well, to respond to the guidance and decisions of the UNFCCC and to emerging understanding of REDD+; (iii) new modalities of support were introduced to respond to the needs of partner countries including improved coordination measures for those receiving substantial support from other REDD+ initiatives; (iv) enhanced coordination at country level in recognition of the need to engage with a broader range of stakeholders (i.e. expanding actions beyond the forest sector) to promote a better understanding and mainstreaming of REDD+ into national sustainable development policies.

10.   In the participatory process of designing the new phase of the programme, alternative options to a joint UN agency MPTF were also considered, taking into consideration the following challenges

---

[2] The Programme's audit report and associated management response is publicly available at http://audit-public-disclosure.undp.org/view_audit_rpt_2.cfm?audit_id=1561
[3] Available on request

and lessons learned: (i) ensuring that the UN-REDD Programme agencies and their partners can mobilize the required competencies in all components of REDD+ to help countries respond to the complexities that REDD+ presents; (ii) strengthening harmonization and sequencing with other REDD+ initiatives, approaches and mechanisms; (iii) developing effective partnerships and coordination arrangements with other REDD+ initiatives at a technical and substantive level; (iv) mobilizing significant resources to assist countries with actions leading to implementation; (v) ensuring that design and implementation of the Programme support is consistent with the overall REDD+ framework of the UNFCCC process; and (vi) continued adherence to social and environmental safeguards by the Programme agencies and partner countries.

11.   As a result of that, continuing support through a joint Programme supported by the MPTF was considered to be the most suitable platform given the rapidly evolving REDD+ context, the risk of further fragmentation of REDD+ support, the benefits of synergies generated from a joint effort rather than disparate funding and the steep learning curve of REDD+ implementation. This approach emerged as the most appropriate to address the lessons learned from the first phase of UN-REDD, preventing the risks of fragmentation, overlaps and inefficiencies and safeguarding the technical capacity needed to be deployed to support countries in their efforts.

12.   For purposes of coherence and cost-effectiveness, the extension of the existing multi-partner trust fund also provides the most appropriate mechanism in that (i) it enables continuity of support to the current 64 partner countries of the programme; (ii) it allows the uninterrupted flow of financial contributions therefore providing for faster start-up of activities for the new phase; (iii) it enables the maintenance of technical expertise and capacity of the Programme for uninterrupted support to countries following the UNFCCC COP21 which is anticipated to conclude with renewed support for the global REDD+ mechanism. Should new countries join the Programme, this will also enable them to receive support and benefit from experiences that have been generated so far.

13.   Therefore a new UN-REDD Programme Results Framework (Annex i.) was designed. This was done in full consultation with REDD+ stakeholders involved in the Programme and beyond, with the intention of setting the Programme on course towards a more articulated and clearly defined way of supporting countries. This new Results Framework constitutes the guidance for both the Programme's activities initiated under the previous phase that are still on-going, as well as for new support to be deployed from 2016 onwards.

14. Indeed the new results framework and the underlying Theory of Change (TOC) now provide a more coherent and organized manner of representing, qualifying and quantifying the support of the Programme, aligning country and global level support around the UNFCCC guidance.

15. With the initiation of the new phase as of 2016, existing/ongoing activities will also be mapped and matched against the new results framework and will thus also be included in the UN-REDD results-based planning, management and reporting system, therefore coherently contributing to the delivery of intended impacts. This will enable the Programme and its stakeholders to (a) capitalize on existing lessons, progress and results while also (b) continuing to move towards a more comprehensive and rigorous results-based management system.

16. As mentioned above the renewed focus of the Programme, aligned with the international framework for REDD+ under the UNFCCC, allows the Programme to better complement other multilateral sources of REDD+ support, including the Green Climate Fund (GCF), the Global Environment Facility (GEF), the Forest Investment Programme (FIP) and the Forest Carbon Partnership Facility (FCPF) of the World Bank. Figure 1 below provides an overview of the current landscape of support across the full REDD+ cycle, indicating where different initiatives provide their support.
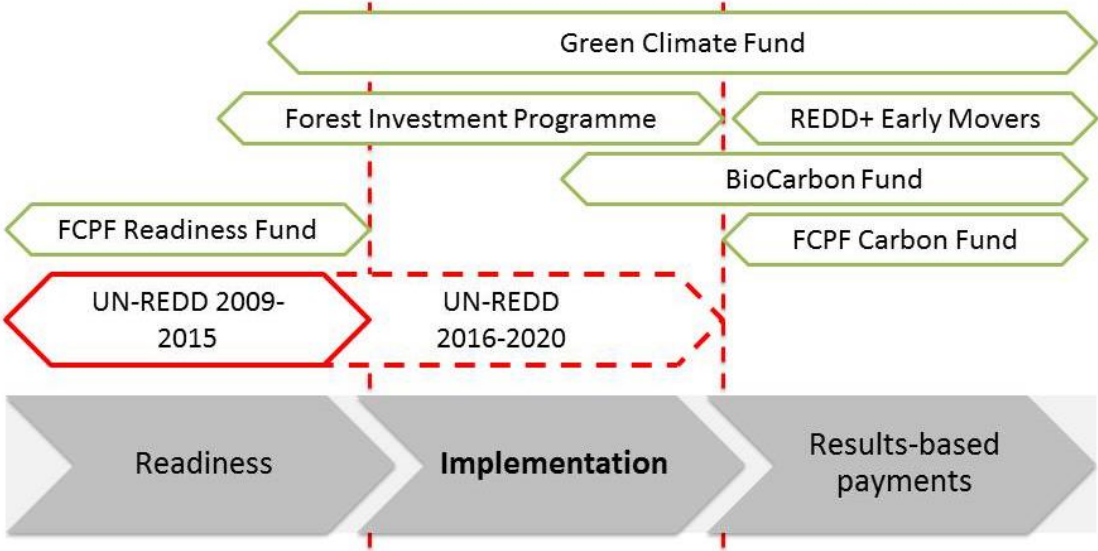

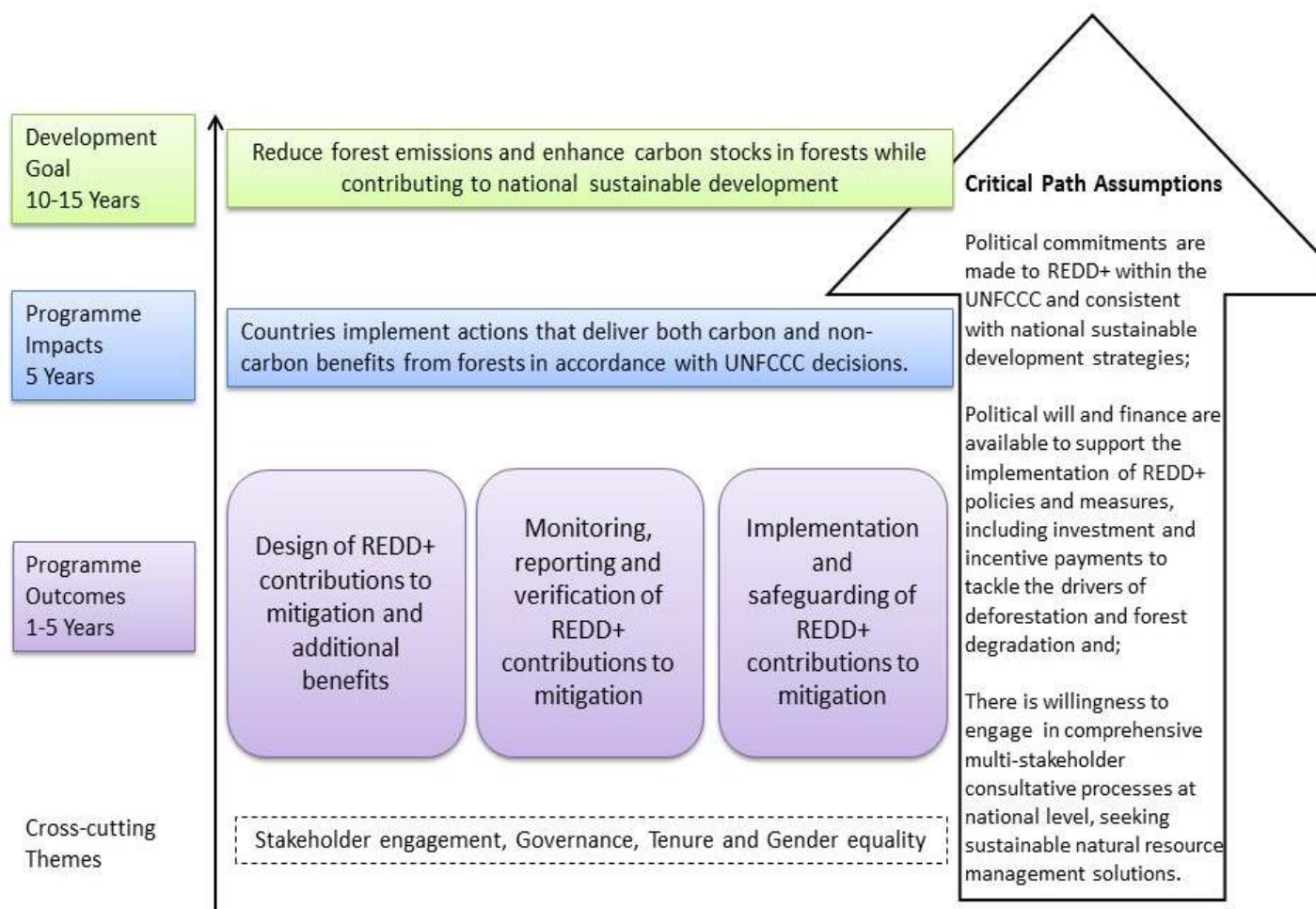**Figure 1: REDD+ landscape and space of the UN-REDD Programme**

17.   The mid-term evaluation recommended that the Programme should "Undertake joint actions with stakeholders on key drivers of deforestation and forest degradation". In essence this implies moving from restricting support for readiness to increasingly providing support for implementation. Furthermore, feedback from country lessons, e.g. the Zambia and Ecuador at Policy Board 13, increasingly points to the void in support for implementing the actions that will deliver emission reductions. Based on that and support already provided in undertaking the analysis of Drivers of Deforestation and Forest Degradation (DDFD) in several countries, the Programme proposes in its 2016-2020 phase to contribute to filling this essential gap and contribute towards efforts for emission reduction.

18.   The comparative advantages of the Programme with respect to the other bilateral and multilateral REDD+ initiatives are reflected in the provision of high quality technical advice and capacity development, aligned with national visions for REDD+, consistent with the UNFCCC decisions. The specificity of the Programme is that this capacity is available in-house and enables the transfer of experiences and lessons, as well as the leapfrogging of REDD+ efforts in countries where it is being initiated.

19.   While other initiatives provide results based funding, the Programme intends to support countries in implementing measures that will generate emission reductions qualifying for such results based funding. For instance, the Programme complements and supports the efforts being made through the Carbon Fund of the FCPF to undertake emission reduction programmes as well as the emerging PAMs that could qualify for results-based payments from the GCF. The Programme can also support countries in their efforts to align forestry and land use funding provided through the GEF in order to ensure consistency with national REDD+ readiness and PAMs processes. Similarly, the Programme can contribute to ensuring that enabling laws, policies and measures are developed to complement forest and landscape management finance being provided through the Multilateral Development Banks operating through the FIP of the Climate Investment Funds. In short, by acting as a catalyst for coherent technical and financial assistance for REDD+ at national level, the Programme will continue to play a major role in the global movement towards an effective REDD+ mechanism.

3 UN-REDD Theory of Change

20.   The **overall development goal** of the Programme is: to reduce forest emissions and enhance carbon stocks in forests while advancing national sustainable development. The Programme's Theory of Change (ToC) (

Development Goal 10-15 Years	Reduce forest emissions and enhance carbon stocks in forests while contributing to national sustainable development	**Critical Path Assumptions**
Programme Impacts 5 Years	Countries implement actions that deliver both carbon and non-carbon benefits from forests in accordance with UNFCCC decisions.	Political commitments are made to REDD+ within the UNFCCC and consistent with national sustainable development strategies;
Programme Outcomes 1-5 Years	Design of REDD+ contributions to mitigation and additional benefits · Monitoring, reporting and verification of REDD+ contributions to mitigation · Implementation and safeguarding of REDD+ contributions to mitigation	Political will and finance are available to support the implementation of REDD+ policies and measures, including investment and incentive payments to tackle the drivers of deforestation and forest degradation and;
Cross-cutting Themes	Stakeholder engagement, Governance, Tenure and Gender equality	There is willingness to engage in comprehensive multi-stakeholder consultative processes at national level, seeking sustainable natural resource management solutions.

21.

22.   Figure 2) outlines the causal relationships between the goals, impacts, outcomes and outputs of the Programme, showing how these will achieve the desired changes as well as the assumptions on which the expected changes are based.

23.   The new Programme will continue to support changes in capacity and behaviour that impact both (i) how countries can meet the requirements of the UNFCCC agreements on REDD+; and (ii) the

implementation of national REDD+ policies and measures as results-based actions (RBAs) that in time will generate measurable carbon[4] and non-carbon benefits. These causal relationships are further described in diagram schematically displaying the interrelations between different anticipated outcomes in Annex ii. Causal relationships diagram of the UN-REDD Theory of Change The detailed results framework for the Programme 2016-2020, including further specification on impact and outcome level, is provided in Annex i.

24.   As mentioned above, the overall goal of the Programme from 2016 to 2020 is to support partner countries - through country-led approaches - to reduce forest emissions, enhance carbon stocks and contribute to sustainable development. The approval of the SDGs – particularly those concerned with climate change and with terrestrial and forest ecosystems – gives significant impetus to this goal. The impact of Programme will be to enable countries to implement REDD+ actions that deliver carbon and non-carbon benefits, in accordance with the UNFCCC decisions.

25.   Two critical assumptions link this impact with the achievement of the development goal, namely: the provision of sufficient results-based financing through international funding institutions; and secondly, sufficient political will within participating countries to undertake the reforms necessary to comprehensively reduce deforestation and forest degradation and to generate carbon as well as non-carbon benefits. The impact described above will be driven by three outcomes that support countries moving towards REDD+ readiness and on to REDD+ implementation.

26.   The first of the three outcomes is the **design and development of REDD+ readiness processes**. As defined by the UNFCCC, this includes the development of national strategies (NS) and action plans (AP). Associated with these processes is the establishment of a Safeguards Information System (SIS) as well as the determination of additional social and economic benefits. A key assumption that underpins the achievement of this first outcome is the presence of sufficient "political space" within participating countries for the full and effective participation of different stakeholder groups in design and planning activities.

27.   Multi-stakeholder and cross-sectorial dialogue has been recognized as an essential mechanism for ensuring that REDD+ initiatives are anchored in local communities, with indigenous peoples' organisations and private business involved where there are interests at stake in forest resource management. These dialogues are also essential to ensure that the right drivers are identified and

---

[4] Carbon benefits encompass both emission reduction and enhancement of carbon stocks.

addressed in a meaningful manner. If important and influential interests or pressures are not fully involved in the NS and/or AP process, there is likelihood of failure in setting up an efficient, equitable and inclusive REDD+ mechanism. Thus, building on the comprehensive efforts undertaken so far in many countries, including broad stakeholder participation, the UN-REDD Programme will continue to emphasize this important dimension as it connects to the design of the strategies, building consensus around the determination of drivers and barriers, and selecting and prioritizing PAMs that are ambitious and will generate the expected dividends.

28.   The second outcome will support countries to develop and implement all elements related to the measurement, reporting and verification (MRV) needs as defined under the UNFCCC. This will include the development of National Forest Monitoring Systems (NFMS), forest reference emission levels (FRELs)/Forest reference levels (FRLs) and developing the necessary systems and capacities to estimate emissions and removals resulting from actions taken by way of determining the effectiveness of pursued actions. Assumptions relating to use and transparency of information, as well as governance, are central to this outcome: those causing and impacted by deforestation must be involved in the development of MRV related elements and the MRV results must be publicly disclosed in a transparent manner. Importantly, as the Programme starts supporting the design and implementation of PAMs, transparent and robust information is crucial to access results- based payments but also to determine whether those PAMs are indeed delivering the intended results and effect, what adjustments are needed and whether drivers and barriers are being lifted, displaced or unaffected. A novelty in the support on MRV therefore entails the connection and linkage between MRV and PAMs, taking into consideration the necessary institutional coordination needed to benefit from these feedback mechanisms. These systems of MRV have proven useful for national policy setting as well as in determining whether policies and measures are delivering the desired results.

29.   The third outcome will support the **implementation of results-based actions (RBAs)** in a limited number of countries. The Programme will provide assistance to countries for carrying out RBA by reforming domestic laws and policies, planning interventions and safeguarding them to ensure positive social and environmental co-benefits. Credible and agreed policies and measures require consultations and negotiations as well as careful design of investment programmes and actions. Identification of appropriate reforms is the first step, but follow up will often be needed to ensure implementation. While the Programme will support countries in implementing these reforms and actions, payment for any resulting emission reduction or enhancement of stocks will not be provided by the Programme itself.

30. These three outcomes are often seen as sequential and part of the "step-wise" or phased approach to REDD+. However, experience suggests that the process is less linear than originally thought. For example, countries may embark on reforms to policies, laws and measures before developing full systems for MRV or generating information on how safeguards have been addressed. Feedback from implementation then may lead to going back to earlier stages to adjust and reformulate provisional plans and designs. The results framework and articulation of the different outcomes is presented visually below, showing the progression of anticipated progress in a hierarchy of results.
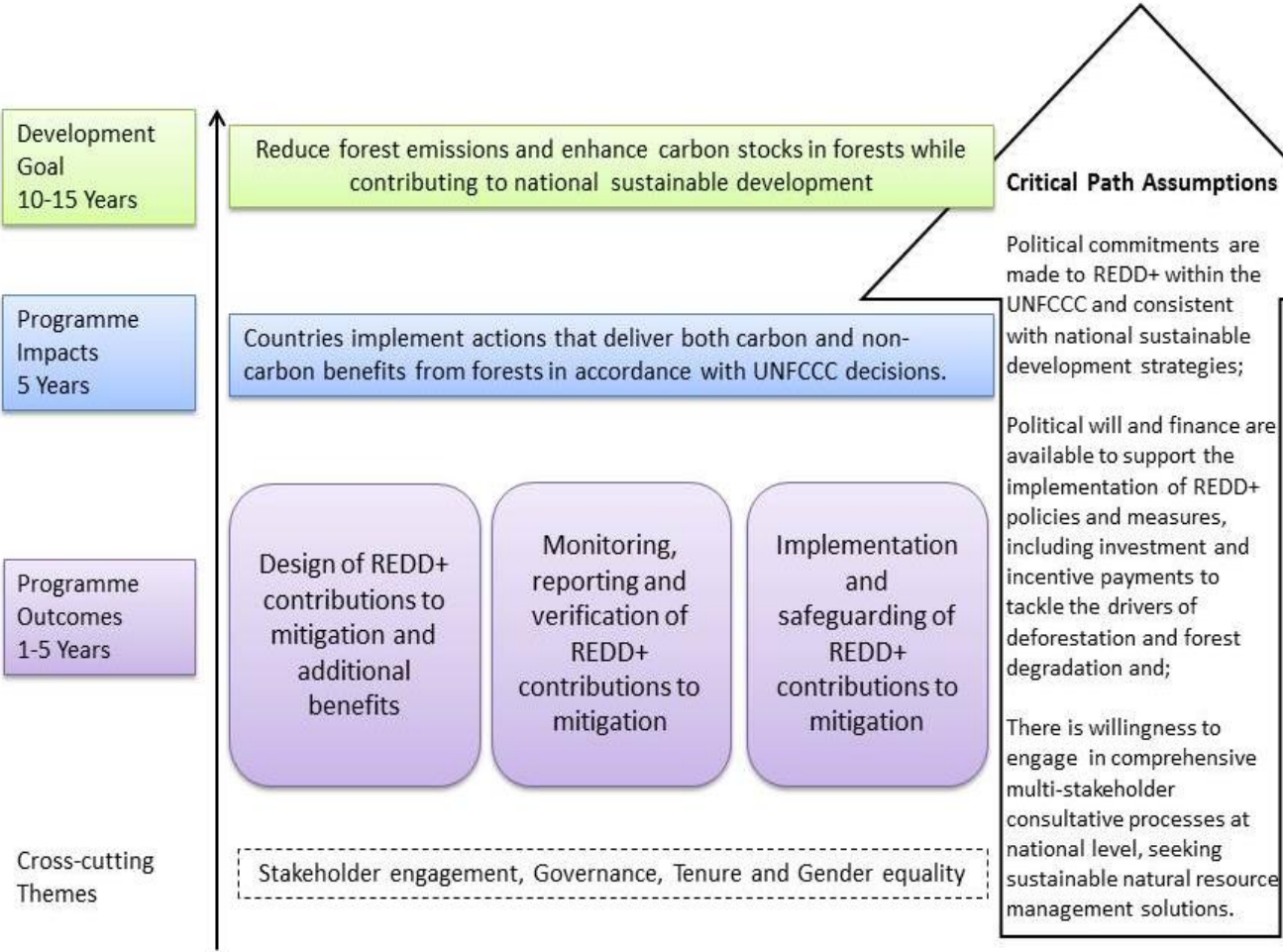

Figure 2: UN-REDD Programme 2016-2020, visual representation of the results framework

4 Fund Governance

31.   The governance arrangements provides for more efficient decision-making regarding the UN-REDD Programme Fund, including contributions earmarked for specific countries or outcomes. The change in approach is guided by the principles of national ownership, inclusiveness, transparency, accountability, participation and consensus. The proposed governance structure will allow the full and effective participation of all key UN-REDD Programme stakeholders (Partner countries, Donors, Indigenous Peoples, Civil Society Organizations, participating UN Agencies) while ensuring streamlined decision-making processes and clear lines of accountability.

32.   The governance arrangements are built on and informed by five principles, namely inclusiveness, transparency, accountability, consensus-based decisions, and participation. The overall governance arrangements, decision and financial flows are depicted below in Figure 3.
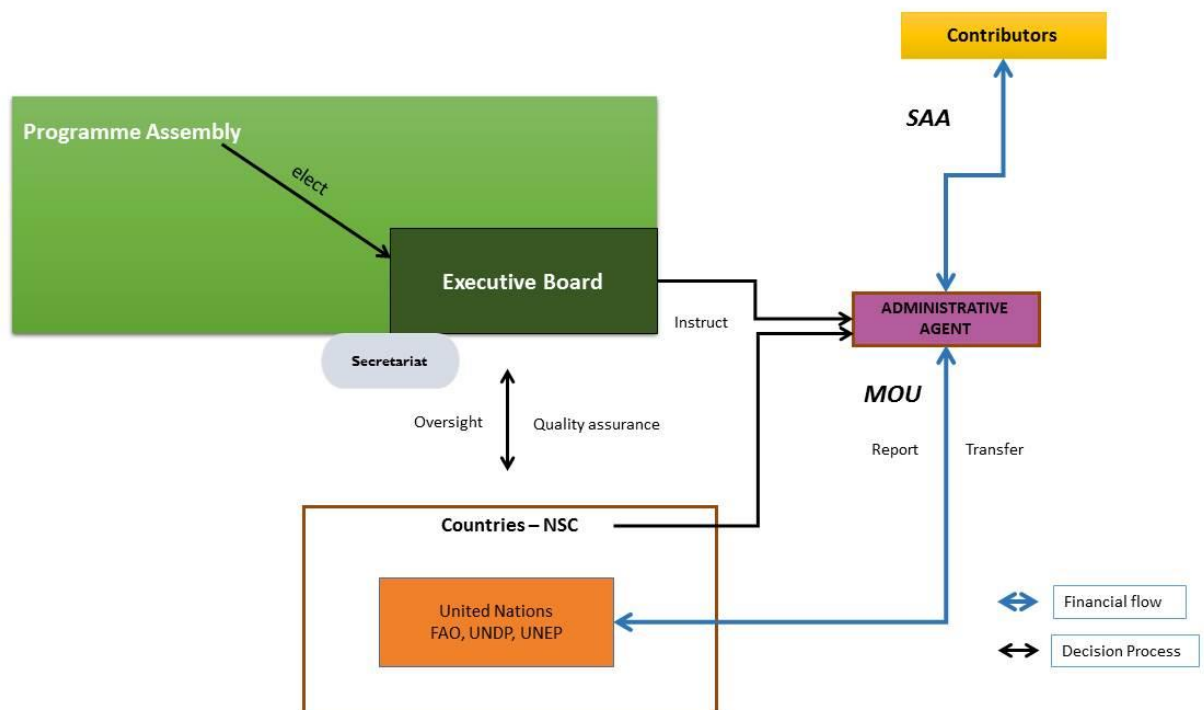

Figure 3: Governance Arrangements

4.1   UN-REDD Programme Assembly

33.   The Assembly of the UN-REDD Programme Fund is a broad multi-stakeholder forum whose role is to foster consultation, dialogue and knowledge exchange among the UN-REDD stakeholders. Its responsibilities shall be:

i)   To discuss progress, challenges and lessons learned and to share REDD+ best practices, as well as recommending actions to improve the Programme's performance and impact;

ii)   To promote collaboration with other initiatives, including the Forest Carbon Partnership Facility (FCPF), Forest Investment Programme (FIP), BioCarbon Fund, Green Climate Fund (GCF) and the Global Environment Facility (GEF);

iii)   To discuss developments in the international REDD+ processes and initiatives and potential impacts on and synergies with the Programme; and

iv)   To advise the Executive Board (EB) of the results of its deliberations on the matters referred to above and on any matter that is referred to it by the EB.

34.   During each meeting of the UN-REDD Programme Assembly, each of the constituencies represented in the EB shall elect its representatives and alternates to the EB.

The **composition** of the UN-REDD Programme Assembly is as follows:

- Representatives of each of the donors to the UN-REDD Programme Fund;

- Representatives of each of the UN-REDD Partner countries;

- Representatives of the national Indigenous Peoples (IPs) and Civil Society Organization (CSO) that are members of a UN-REDD National Steering Committee;

- Representatives of regional or international IPs and CSOs;

- Representatives of the other UN-REDD-related international programmes and funds, such as the FCPF, FIP, BioCF, REDD Early Movers (REM), GCF and GEF;

- Representatives of the Private Sector; and

- Representatives of each of the three participating UN organizations.

35.   The programme will seek sponsorship, depending on fund availability, for representatives of Partner countries, IPs, CSOs and local communities that are associated with the UN-REDD Programme or that work on REDD+ matters.

36.   The Assembly shall elect Co-Chairs to preside over plenary sessions of the meeting, one being from a UN-REDD Partner country and the other from a donor to the UN-REDD Programme Fund. Candidates for these offices shall be nominated by the Executive Board after consultations.

37.   As a general rule, only the representatives specified above may participate in meetings of the Assembly. However the Co-Chairs of the Assembly may invite other relevant participants on an ad hoc basis, where appropriate. The Assembly will be convened in 2016, 2018 and 2020, preferably taking advantage of other relevant international meetings (such as the REDD+ Exchange). The reports of meetings of the Assembly shall be published by the Secretariat on the UN-REDD Programme website.

4.2   Executive Board

38.   The Executive Board (EB) of the UN-REDD Programme Fund has general oversight for the Programme, taking decisions on the allocation of the UN-REDD Fund resources. It meets bi-annually, in person or through other means, or more frequently as required to efficiently carry out its **roles and responsibilities**, which include the following:

i)   To provide oversight and operational guidance to the UN-REDD Programme, exercising general oversight for the UN-REDD Fund;

ii)   To approve and propose revisions to the UN-REDD Programme Result Framework as necessary;

iii)   To request fund transfers to the Administrative Agent (signed off by the UN member);

iv)   To approve direct costs related to fund operations supported by the Secretariat;

v)   To develop and implement resource mobilization strategies to capitalize the fund;

vi)   To approve eligibility criteria for receiving support and to establish a list of approved countries;

vii)   Regarding the use of non-earmarked funds or earmarked funds to outcomes:

a)   To consider and approve the criteria by which global thematic, regional or country programmes will be reviewed, assessed and prioritized;

b)   To consider and approve a transparent process for expression of interest in submitting global thematic, regional and country programmes and to apply the criteria that has

been approved, to establish a prioritized list for consideration;

    c)   To consider and approve global thematic, regional and country programmes submitted for funding; and

    d)   To consider and approve any other budgetary allocation of non-earmarked funds;

viii) Regarding the allocation of earmarked funds to countries:

a) To take note of the allocation of contributions towards implementation of country programmes aligned with the UN-REDD Programme Result Framework and delegate the approval of the programmes to the respective NSC;

ix)   To review and approve the Programme's periodic progress reports (programmatic and financial) consolidated by the Secretariat and the Administrative Agent, based on the progress reports submitted by the participating UN organizations;

x)   To monitor the UN-REDD Fund status and maintain an overview of the progress against the approved Programme Result Framework, through the UN-REDD Programme's consolidated monitoring, reporting and evaluation process;

xi)   In exercising its portfolio overview function, to solicit specific clarification on individual programmes in case of poor performance, significant changes or exceptional circumstances undermining the achievement of anticipated results within the given time-frame;

xii)   To commission reviews and reports on 'lessons learned' on the performance of the UN-REDD Programme, and to discuss follow-up actions with participating UN organizations and national partners. Such reviews may also be commissioned where so suggested by the UN-REDD Programme Assembly;

xiii)   To make recommendations to update the UN-REDD Fund Terms of Reference and related documents, for consideration by the signatories of the Standard Administrative Arrangement (SAA) and the Memorandum of Understanding (MoU);

xiv)   To support coordination with other global initiatives related to REDD+, including but not limited to, FCPF, FIP, BioCF, REDD Early Movers, GCF and the GEF; and

xv)   To consult with the UN-REDD Programme Assembly as necessary to achieve the purposes of the UN-REDD Programme, and to give due consideration to the discussions of the Assembly and any documented outcomes.

39.	At its first meeting, the EB will review and approve its own Rules of Procedure. The Rules of Procedure may be amended by the EB when deemed necessary to enhance its functioning.

40.	The composition of the EB is as follows:

Representatives

- Donors contributing to the UN-REDD Programme Fund shall be represented by three members;

- UN-REDD Programme countries shall be represented by three members, one per region (Africa, Asia and the Pacific, Latin America and the Caribbean);

- IPs shall be represented by one permanent observer;

- CSOs shall be represented by one permanent observer;

- The participating UN organizations (FAO, UNDP and UNEP) shall be represented by one member; and

- The MPTF-Office, as ex-officio.

Alternates

Alternates from the following constituencies may attend meetings of EB, but may not normally participate in the discussion except when replacing a Representative:

- One alternate from a UN-REDD programme country (the next incumbent EB member in the order of rotation) from each of the three UN-REDD regions;

- One alternate from each of the donors not serving as members;

- One alternate from the CSO constituency;

- One alternate from the IPs constituency; and

- One alternate from each participating UN organization that is not serving as a member.

Rotation

41.	The members and permanent observers representing each constituency, except MPTF, shall rotate immediately after the last EB meeting of each year. However, for the donors, the constituency may decide that the same donors may continue to serve as members at each rotation. The members and permanent observers of the Executive Board shall be succeeded by the alternates from the same

constituency. The succession of members, permanent observers and alternates for each constituency shall have been determined by that constituency and announced during the preceding meeting of the Assembly. However, a constituency may revise the succession at any time by informing the Secretariat, through one of its representatives in the EB. The Rules of Procedures will provide further guidance on the rules of rotation, their implementation and means to support the constituencies.

Organisation of meetings

42.   The representative of the participating UN organization that is serving as a member of the EB shall also serve as the Chair. Any member or permanent observer of the Executive Board may request his or her alternate from the same constituency to replace him or her for a meeting or session. The Chair may invite relevant experts to attend a meeting of the EB when appropriate, including experts from relevant governments, regional counterparts, donors and UN agencies or other entities as deemed necessary. The members and permanent observers will be provided with financial and secretariat support to consult with their constituencies to ensure that they are properly informed and that their views are appropriately represented.

Decisions

43.   All representatives at a meeting have the right to participate fully in the deliberations. Decisions are taken by the members by consensus with due consideration of the recommendations of permanent observers. In the course of any discussion where a decision is to be made, Executive Board members should disclose in advance any personal or organizational interest in any decision where there may be a real or perceived conflict between their own interests, or those of the organization they represent, and those of the UN-REDD Programme.

Reports

44.   The Secretariat shall publish the reports of meetings of the EB on the UN-REDD Programme website and on the Fund's website at the MPTF Office GATEWAY (http://mptf.undp.org).

4.3   National Steering Committees

45.   Once an allocation for a specific country is approved or confirmed by the EB, it will be overseen and guided by a multi-stakeholder National Steering Committee (NSC), co-chaired by the designated government official and the Country Director or Representative of the lead UN agency.

46.   The main task of the NSC is to guide and oversee implementation of the national UN-REDD Programme support. Its roles and responsibilities shall include:

   i)   Ensuring a participatory design of the country programme, in alignment with national priorities and the concept Country Programme approved by the EB;

   ii)   Approving the full programme document, including output level results, implementation set-up and allocation of funds within the different components[5];

   iii)   Requesting fund transfers to the Administrative Agent in the case of earmarked funding (signed off by the UN member);

   iv)   Overseeing the implementation of the signed programme document;

   v)   Reviewing and approving periodic project narrative reports submitted by the implementing partner(s);

   vi)   Approving any necessary programmatic or budgetary programme/project revisions within the limits of the approved Programme Document;

   vii)   Requesting reviews and mid-term and terminal independent evaluations of the country programme; and

   viii)   Reviewing risk management strategies and ensuring the programme is managing and proactively mitigating risks.

47.   The configuration of NSCs will be country-specific and aligned with the priorities and dynamics of the country. It will aim to reflect the multi-stakeholder nature of UN-REDD, driving towards the following principles in its composition:

   ▪   Government and participating national organizations;

   ▪   Participating UN agencies;

   ▪   At least one self-selected representative from CSOs and one from IPs;

   ▪   The constituency of donors to the UN-REDD Programme Fund will have the right to participate; and

   ▪   Other relevant stakeholders may be invited to meet the planning, deliberation and monitoring roles of the NSC, including representatives from academic/research institutions, local communities or the private sector.

---

[5] *Additional information provided in the programming cycle*

48.   Where national-level REDD+ coordination platforms already exist, the need to establish a separate NSC for the UN-REDD Programme will be assessed during the scoping stage, considering the possibility to adopt these platforms *in lieu* of the NSC. A key consideration is that these platforms may need to be adjusted to meet the participatory characteristics of the UN-REDD Programme as indicated above.

49.   Similarly, where NSCs are established for a UN-REDD country programme, as and when other REDD+ initiatives or support is made available to that same country, these NSCs could evolve to act also as the coordination platform of these other initiatives, if so desired and agreed by concerned stakeholders.

4.4   UN-REDD Programme Secretariat

50.   The UN-REDD Programme Secretariat supports UN-REDD governing bodies and the overall operations of the Fund. It will advise the Executive Board on strategic priorities, programmatic and financial allocations and will in particular organize the programming and appraisal processes. It is the UN-REDD Programme's central point of contact and liaises with other REDD+ initiatives. This includes liaising with existing and potential donors in order to mobilize funds. The Secretariat facilitates planning and the development and management of consolidated reporting, monitoring and evaluation frameworks of the Programme, raising awareness of, and promoting the UN-REDD Programme and it provides vital information for external partners. The Secretariat also facilitates interagency collaboration and communication, to ensure the Programme is implemented effectively.

51.   Budget allocations to cover the costs of the Secretariat and governance of the Programme will be approved by the Executive Board, and would be charged to the UN-REDD Fund account as direct costs. During the implementation of the new UN-REDD Strategy, these costs will be adjusted so as to (i) be aligned with UNDG guidelines and thresholds of 3%, and (ii) duly reflect the complexity and multi-stakeholder nature of the UN-REDD Programme. Priority for fund allocation will be given to programmes, making sure the requisite costs of providing necessary policy and technical support to partner countries are covered over the total duration of their programmes. In case there are insufficient funds, the EB will maximize fund allocation to policy and technical support to partner countries.

52.   The roles and functions of the Secretariat will be considered at the first meeting of the EB.

4.5   The Participating UN Organisations

53.   Each Participating UN Organization shall assume full programmatic and financial accountability for the funds disbursed to it by the AA. Each Participating UN Organization shall establish a separate ledger account under its financial regulations and rules for the receipt and administration of the funds disbursed to it by the AA from the Fund account. This separate ledger account shall be administered by each Participating UN Organization in accordance with its own regulations, rules, directives and procedures, including those relating to interest.

4.6   Administrative Agent

54.   The UN-REDD Fund will be administered by the UNDP Multi-Partner Trust Fund Office (MPTF Office), as the Administrative Agent. The Administrative Agent will conclude a MOU with Participating UN Organizations and a SAA with contributing partners, following UNDG standard formats.

The functions of the AA include:

55.   **Fund design**: Support for developing the Fund TOR. This includes notably support for the design of the fund architecture (i.e. governance arrangements), the preparation of the legal instruments based on standard legal agreements, and the development of a logical framework based on the theory of change

56.   **Fund administration**:   It will receive, administer and transfer funds to participating UN organizations upon instructions from the EB and the NSCs, and submit yearly consolidated financial reports to the EB, NSCs and all contributing Partners that have provided financial contributions to the UN REDD Fund. The Administrative Agent will disburse funds to the Secretariat for direct costs based on the decision of the EB. On an annual basis, the Administrative Agent will notify the EB of the amounts used for such purposes Programme Fund.

57.   Subject to the availability of funds, the Administrative Agent shall normally make each disbursement to the Participating UN Organization within five business days after receipt of instructions from the EB or NSCs, accompanied with the approved Project Document and the relevant transfer forms, signed by all parties concerned.

4.7 Transitional measures

58. From 1st January 2016, the new governance arrangements for UN-REDD will be fully effective and functional.

59. On a transitional basis, the current representatives at the UN-REDD Policy Board will nominate, by the end of 2015, the members, permanent observers and alternates for the Executive Board to serve for the year 2016. They will nominate the Executive Board representatives from their respective constituencies, as follows:

- 3 donor representatives and the alternates;

- 3 REDD+ country representatives (one per region) and 3 alternates (1 per region);

- 1 permanent observer and 1 alternate from Indigenous Peoples;

- 1 permanent observer and 1 alternate from Civil Society Organisations;

- 1 UN-REDD agency representative and 2 alternates.

60. The inaugural UN-REDD Assembly will take place during 2016 (intended for mid-2016) and will serve to select the representatives and alternates of the EB, as set out in section 4.3 above, which will start their tenure from 1st January 2017.

5 Contributions to the Fund

61. Contributions to the UN-REDD Programme Fund may be accepted from governments, inter-governmental or nongovernmental organizations. Contributors are encouraged to provide un-earmarked contributions, however given the phased and multi country approach of the Programme, contributors may earmark their contribution by Outcome or/and Countries.

62. At any one time, earmarked contributions shall not constitute in value more than 40 % of the overall amount of funding transferred to the Fund since its establishment in 2008. This is intended to ensure a balance between the number of countries supported on the basis of the global allocation of funds agreed by the EB, and the number of initiatives that are supported as a result of earmarked contributions.

6 Programming Cycle

63. One of the key lessons learned in the previous phase is the importance of front-loading programming so that no large programmes are approved towards the end of the lifetime of the Fund.

The cycle is therefore set out to enable the completion of programming within the first 2 years of the establishment of the fund, with its remaining lifetime being fully dedicated to implementation, consolidation, evaluation and collection of lessons learned. This approach assumes the availability of predictable and sufficient pledges, as well as upfront provision of resources for the technical assistance, policy advice and quality assurance of all approved programmes. Depending on the availability of funding, the EB shall consider alternative approaches with a view to maximize benefits to partner countries. The full programming cycle will be provided in an operations note and fine-tuned to meet the scale, scope and needs of the Programme.

64.   It is anticipated that during the first two years tangible results will continue to be delivered via the programmes grandfathered from the 2008-2015 phases and will contribute to the RBM system of the 2016-2020 phase. Considering that not all financial contributions may be effected within the first two years, the programming cycle foresees the approval of overall funding envelopes, however the transfer of funds will be undertaken in tranches for programmes with a total envelope of 5 Million US$ or more. These tranches will be defined upon approval of the envelope by the EB and contingent on performance metrics.

65.   In order to support countries in the most adequate manner, commensurate with the advancement of their REDD+ efforts, other support received and absorptive capacity, 3 modalities of support are envisaged (Table 1): (i) Country Programmes – covering support relating to readiness and PAMs; (ii) Targeted Support (TS) – below 1 Million and consisting of discrete interventions; and (iii) Thematic, global or regional Programmes – defined as delivering technical and policy support to more than one country. An operations note delineating each of the modalities and processes in detail will be provided upon initiation of the fund.

67.   In summary these modalities are presented in Table 1.

Table 1: Envisaged support modalities

Support Modality	Country Programmes	Targeted Support	Thematic (Global or Regional)
Technical scope	PAMs and readiness	Readiness focused on one area of support	Broad scope, including methodological design
Country endorsement	Prior to initiation of scoping At validation of Programme Document (PD)	Country to submit the request for TS	Not applicable
Fund allocation decision	NSC for earmarked EB for non-earmarked	Annual envelope by EB Individual TS devolved to agencies	EB
Reporting	Semi-annual and annual financial and substantive for individual country programmes	Quarterly reporting to EB on allocation of individual TS Substantive reporting at envelope level	Semi-annual and annual financial and substantive

68.   From here onwards, the programming cycle, decision-making flow and supporting documents apply to country-level programming (for non-earmarked 6.1.1 and earmarked contributions 6.1.2) as this is envisioned to constitute the bulk and majority of programming. For thematic programmes, a simplified programming cycle is defined, consisting mainly of the submission of a PD and submission form to the EB followed by fund allocation on the basis of EB approval.

6.1   Country Eligibility and Identification of UN-REDD Support

69.   The first step in the UN-REDD programming cycle involves the identification of countries that are eligible for UN-REDD support and clarifies the nature of support they are eligible for (Figure 4). In assessing eligibility, the Programme's EB will apply a set of eligibility criteria defining key requirements for each support modality that will help achieve the Programme goals and targets. The eligibility criteria will allow the EB to identify the number of countries that will benefit from UN-REDD

support in the following areas: Country Programmes for PAMs and Readiness Activities, Targeted Support (TS) (Small scale funding) and Knowledge Management (KM) (No financial contribution from the Programme). Following identification of eligibility and the nature of support, the programming cycle continues depending on how the funding received either i) Earmarked Funding[6]; or ii) Non-earmarked Funding .
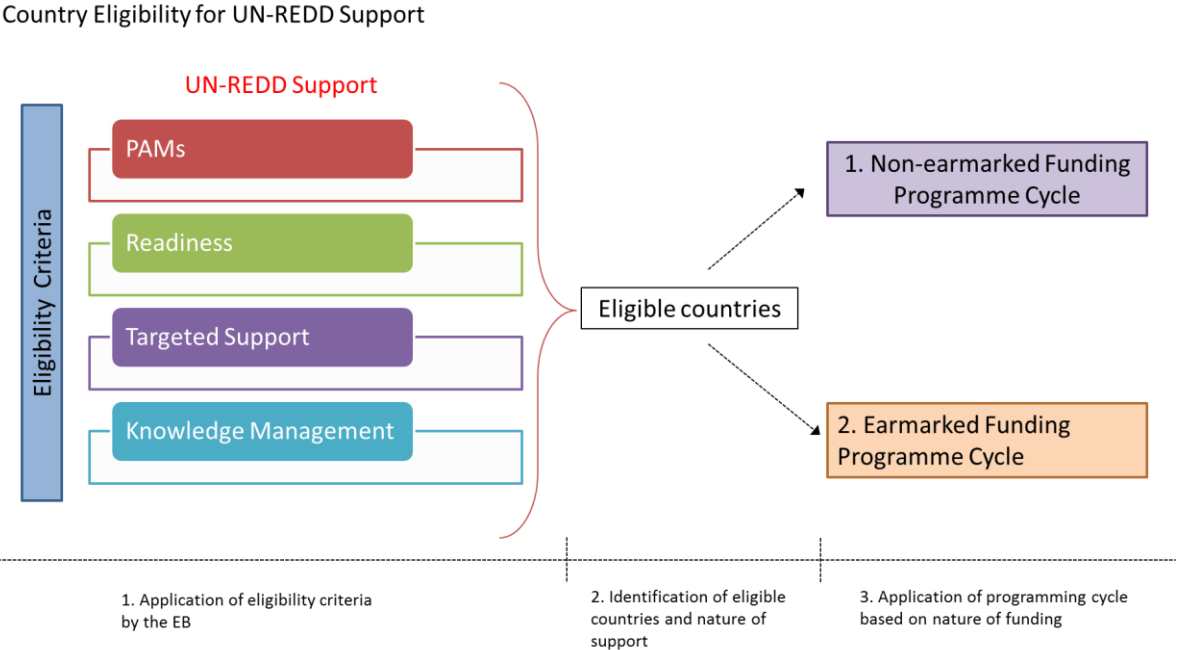
Country Eligibility for UN-REDD Support

Figure 4: Overview of identification of countries that are eligible for UN-REDD support and clarification of the nature of support they are eligible for.

---

[6] Earmarked funding to countries will only be possible once this step has been completed and a list of eligible countries approved by the Executive Board.

6.1.1 Funding allocation to eligible countries (Non-earmarked)

70.   Subsequent to the application of eligibility criteria, funds are allocated on the basis of a call for proposals assessed against a set of selection criteria to be agreed by the EB at its first meeting. The programming cycle identifies six different steps: (1) identification, (2) scoping and design, (3) review and appraisal, (4) implementation, (5) Closing, and (6) Lessons Learned, presented in Table 2 and Figure 5.

Table 2: Programming cycle for Non-earmarked funding to an eligible country

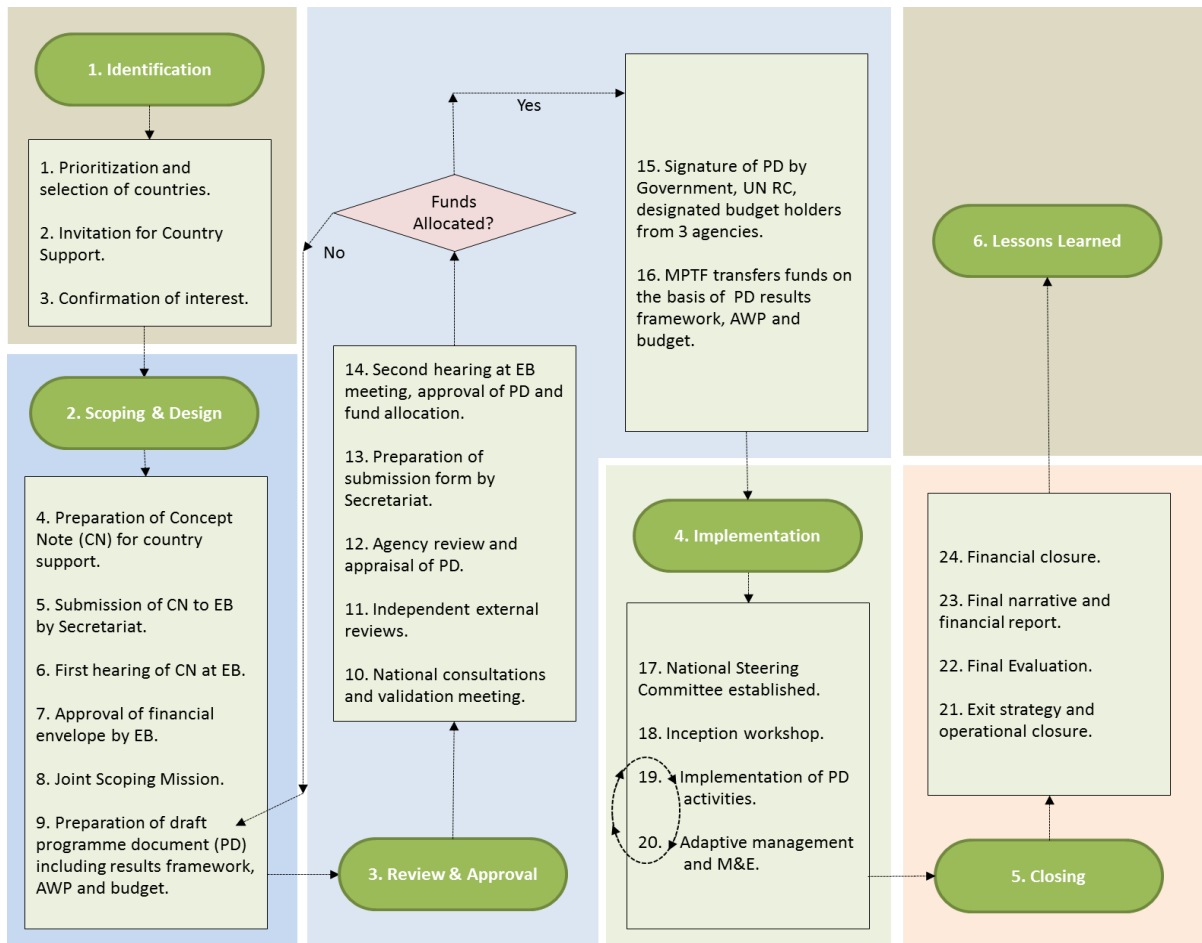| Step	Action	Responsibility	Key outcomes
Step 1 Identification	1. Prioritization and selection of countries	EB	
	2. Invitation for Country support	EB + Secretariat	Letter of invitation
	3. Confirmation of interest	Government	Letter of confirmation
Step 2 Scoping & Design	4. Preparation of CN	Government + UN REDD Lead Advisor and Country Support Team + UN country offices	Concept Note (CN)
	5. Submission of CN to EB for comment	Government + UN REDD Lead Advisor and Country Support Team + UN country offices + Secretariat	
	6. First hearing of CN at EB	Government	Presentation
	7. Approval of financial envelope	EB	Decision on financial envelope
	8. Joint Scoping Mission	Government + UNREDD Lead Advisor and Country Support Team+ UN country offices	Scoping Mission Report
	9. Preparation of draft PD including results framework, annual work plan and budget	Government + UNREDD Lead Advisor and Country Support Team + UN country offices	Draft PD
Step 3 Review & Approval	10. National Consultation & Validation Meeting	Government + UN RC + UN country offices, UNREDD Lead Advisor and Country Support Team, civil society, private sector, and IP representatives	Minutes of the Validation Meeting
	11. Independent external reviews	Independent Consultants	External reviews

	12. Agency review and appraisal[7]	UN agencies	Appraised Programme Document
	13. Preparation of submission form	Secretariat	Submission Form
	14. Second hearing at EB meeting – approval of PD and fund allocation	EB	Presentation of PD, EB Decisions on endorsement and fund allocation
	15. Signature of PD	Government + designated budget holders from UN agencies	Signed PD after Secretariat QA
	16. Fund transfer	MPTF	Notification of fund transfer
Step 4 Implementation	17. Establishment of NSC[8]	Government + UN country offices + civil society and IP representatives	
	18. Inception workshop	Government + UN-REDD Lead Advisor and Country Support Team + UN country offices + civil society and IP representatives	Inception Report
	19. Implementation of PD activities	Government + UN-REDD Lead Advisor and Country Support Team + UN country offices	
	20. Adaptive management, M&E	Government+ UN-REDD Lead Advisor and Country Support Teams + UN country offices	Semi-annual/annual narrative and financial reports, NSC meeting report, evaluation reports
Step 5 Closing	21. Exit strategy and Operational closure	Government, UN country offices, UN-REDD Lead Advisor and Country Support Team, Secretariat	
	22. Final Evaluation	Independent Consultants	Final evaluation
	23. Final narrative and financial report	UN-REDD country team	Final narrative and financial report, certified financial statement
	24. Financial closure	MPTF and agencies	Notice of financial closure

---

[7] The appraisal process includes clearance by the Management Group members of the agencies.
[8] See Governance section 4.3

Step 6	25. Lessons learned	UN-REDD Programme	Experience notes, adjustments to programming and other knowledge management products

Figure 5: Workflows illustrating the programming cycle relating to Non-earmarked funding

6.1.2 Earmarked funding allocation to eligible countries

71. As a *sine qua non* condition, all earmarked funding will be aligned with the Programme Results Framework, contribute to its indicators and be subject to a joint appraisal with the participating UN Organizations. It will be applicable only for countries that will have been deemed eligible by the EB following the application of eligibility criteria. The EB will be notified of the contributions of such an earmarked allocation.

72. The option for earmarked funding requires dedicated support from the Programme through a top-up contribution covering scoping/design, technical assistance and quality assurance costs associated with such a programme. This will be covered through a companion coefficient contributed by the donor on top of the contribution for the programme itself; the companion coefficient will be determined by the EB. It is intended to cover programme cycle management activities for scoping and design of the programme as well as quality assurance, technical assistance and policy advice for implementation. These funds will be transferred to a global programme upon the first transfer of funds to the country programme once it is approved by the NSC. It will cover the global technical assistance and quality assurance deployed to support programme countries, similarly to programmes that are financed through non-earmarked funding and will be commensurate with the funds set-aside for non-earmarked programmes.

73. The programming cycle for the earmarked funding modality entails six key steps (Table 3 and Figure 6): (1) identification, (2) scoping and design, (3) review and approval, (4) implementation, (5) Closing, and (6) Lessons Learned. These are presented in the following table and diagram. The main programming tool for an earmarked country programmes will remain the Programme Document (PD).

Table 3: Programming cycle for Earmarked funding to an eligible country

Step	Action	Responsibility	Key outcomes
These steps apply only after the eligibility of the country *to UN-REDD Programme support has been determined* by the EB			
Step 1 Identification	1. Donor indicates interest.	Donor	Indication of pledge
	2. Consultation with UN agencies.	Donor + UN agencies	
	3. Consultation with Government.	Donor + UN agencies + Government	

Step 2 Scoping & Design	4. 4. Joint Scoping Mission.	Donor (optional) + UN REDD Lead Advisor and Country Support team+ UN country offices + Government	Scoping Mission Report
	5. Preparation of draft PD including results framework, AWP and budget.	Government + UN REDD Lead Advisor and Country Support Team + UN country offices	Draft PD
	6. Decision by donors to make an earmarked contribution	Donor	Confirmation of support through the signing of a SAA
Step 3 Review & Approval	7. Establishment of NSC	Government + UN country offices + civil society and IP representatives+ UNREDD Lead Advisor + donors	
	8. Preparation of the Programme Document	Government + UN country offices + civil society and IP representatives+ UNREDD Lead Advisor	Programme Document Produced
	9. National Consultations and Validation Meeting.	Government + UN country offices + civil society, private sector, and IP representatives	Minutes of the Validation Meeting Validated PD
	10. Independent external reviews.	Independent Consultants	External reviews
	11. Agency review and appraisal[9]	UN agencies	Appraised Programme Document
	12. Preparation of submission form.	Secretariat	Submission Form
	13. Approval of PD and allocation of funds by NSC. Including the Allocation of technical assistance budget to the global programme	NSC	Decision on budget allocation
	14. Notification to the EB.	Secretariat	Notification to EB

---

[9] The appraisal process includes clearance by the Management Group members of the agencies.

	15. Signature of PD.	Government + UN RC + designated budget holders from 3 agencies	Signed PD
	16. Fund transfers[10]	MPTF	Notification of fund transfer
Step 4 Implementation	17. Inception workshop.	Government + UN focal points + UN country offices + civil society and IP representatives	Inception Report
	18. Implementation of PD activities.	Government + UN country offices Supported by the UNREDD Lead Advisor and Country Support Team	Technical reports, progress reports, financial reports
	19. Adaptive management, M&E.	UN country offices and UNREDD Lead Advisor and Country Support Teams	Semi-annual/annual narrative and financial reports, NSC meeting report, evaluation reports
Step 5 Closing	20. Exit strategy and operational closure.	Government, UN country offices, UN-REDD Lead Advisor and Country Support Teams, Secretariat	
	21. Final Evaluation (if paid from programme, this should happen before operational closure).	Independent consultants	Final evaluation
	22. Final narrative report.	Government + UN-REDD Lead Advisor and Country Support Team + UN country offices	Final narrative and financial report, certified financial statement
	23. Financial closure (within 18 months after operational closure)	MPTF, UN agencies, Government	Notice of financial closure

---

[10] For Programmes over 5 Million US$, it is expected that fund transfers will be done in tranches. The UN agencies, donors and the supported government will agree upon a total sum that is advanced and transferred in stages (beginning of programme, after mid-term review, etc.) depending on the completion of agreed targets and milestones.

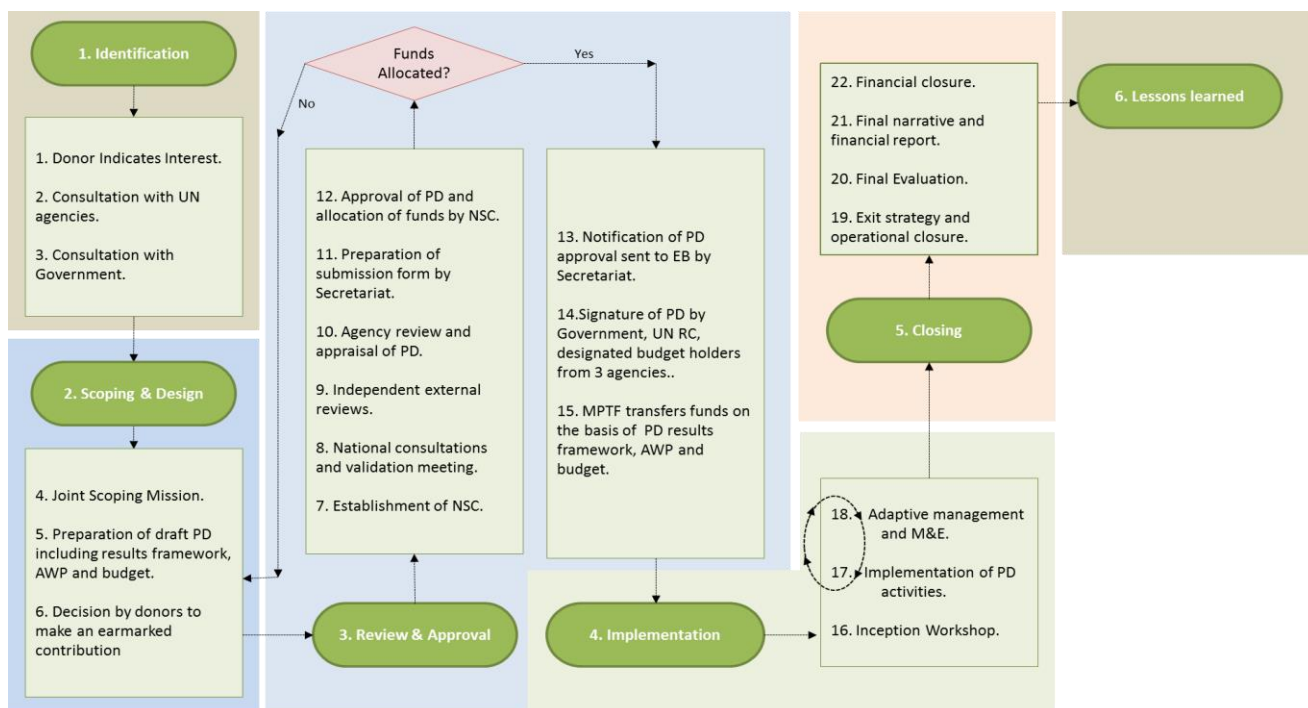| Step 6	24.Lessons learned	Government + UN-REDD Lead Advisor and Country Support Team + UN country offices	Experience notes, adjustments to programming and other knowledge management products

Figure 6: Workflows illustrating the programming cycle relating to earmarked funding.

6.2 Fund allocation to thematic programmes (global and regional)

74.   This section describes the programming cycle for the allocation of funding to programmes and initiatives that encompass more than one country and are either of regional or global scope for both non-earmarked funds and funds earmarked to a specific outcome (Table 4 and Figure 7). Such programmes will preferably cover a single outcome of the results framework for accountability and reporting purposes; only occasionally will they comprise more than one outcome. Such case includes the allocation of resources to global technical support, which will provide technical assistance, policy advice and quality assurance to all programmes financed through non-earmarked funds. This allocation should not exceed a maximum percentage[11] of the active non-earmarked funding envelope implemented by Country Programmes, while the global technical support for earmarked contribution will be allocated following the process described in 6.1.2. Similar to Country Programmes, hematic programmes should be financed on a multi-annual basis.

---

[11] The percentage will be decided by the EB.

Table 4: Programming Cycle for Global or Regional thematic programmes (including Technical Support)

Step	Action	Responsibility	Key outcomes
Step 1 Identification of needs	1. Need Assessment based for instance on Technical support needed to cover full operation of the existing programmes	Secretariat + UN Agencies	Global or regional financing priorities
	2. Decision on Priorities and multi- annual funding envelopes	EB	Request to prepare PD
Step 2 Design	3. Preparation of draft PD including results framework, annual work plan and budget	UN Agencies	Draft PD
Step 3 Review & Approval	4. Preparation of submission form	Secretariat	Submission Form
	5. UN agencies	Appraised Programme Document	Agency review and appraisal
	6. Second hearing at EB meeting -approval of PD and fund allocation	EB	Presentation of PD, EB Decisions on endorsement and fund allocation
	7. Signature of PD	Designated budget holders from UN agencies	Signed PD
	8. Fund transfer	MPTF	Notification of fund transfer
Step 4 Implementation	9. Implementation of PD activities	Government + UN Agencies (UN-REDD Lead Advisor and Country Support Team + UN country offices)	
	10. Adaptive management, M&E	Government+ UN-REDD Lead Advisor and Country Support Teams + UN country offices	Semi-annual/annual narrative and financial reports, evaluation reports
Step 5 Closing	11. Exit strategy & operational closure	UN Agencies	
	12. Final Evaluation	Independent Consultants	Final evaluation
	13. Final narrative and	UN Agencies	Final narrative and financial report,

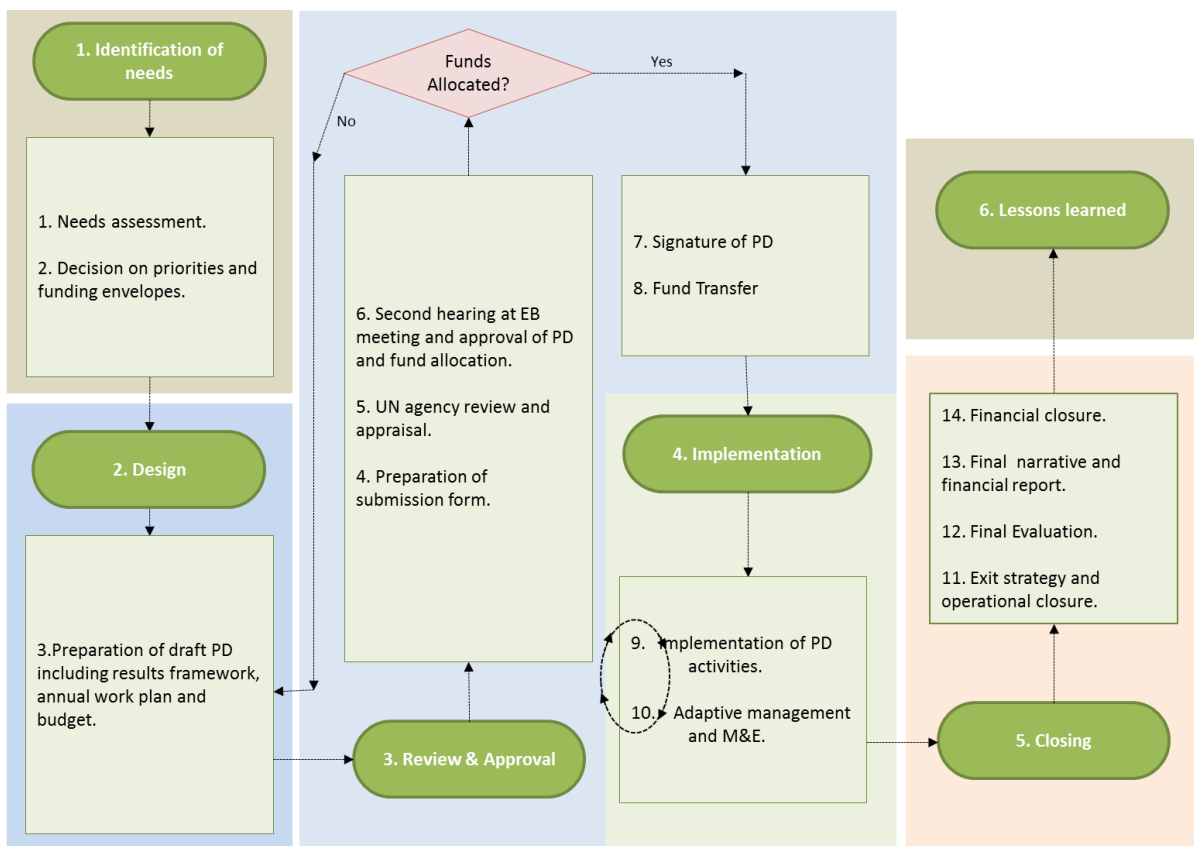|	financial report		certified financial statement
	14. Financial closure	MPTF	Notice of financial closure
Step 6	15. Lessons learned	UN-REDD	Experience notes, adjustments to programming and other knowledge management products

Figure 7: Programming Cycle for Global and Regional Thematic Programmes

6.3   Funding allocation for Targeted Support

75.   Targeted Support describes the third funding mechanism that consists of specific support in alignment with the 2016-2020 UN-REDD Programme Results Framework. It is intended to be small-scale, demand-driven and technical or advisory in nature and to be provided to countries by the participating UN agencies in response to country needs. Countries requesting Targeted Support are expected to have developed or be in the process of developing a National REDD+ strategy so that they can specify gaps that could be filled by additional specific support. The programme cycle consists of five main steps: (i) budgeting, (ii) scoping, (iii) approval, (iv) implementation, and (v) closing (Table 5 and Figure 8). Targeted Support can only be used in countries that do not have a UN-

REDD country programme for readiness or implementation and will be received on a rolling basis with quarterly reporting to the EB on requests received and their status.

Table 5: Programming cycle for Targeted Support

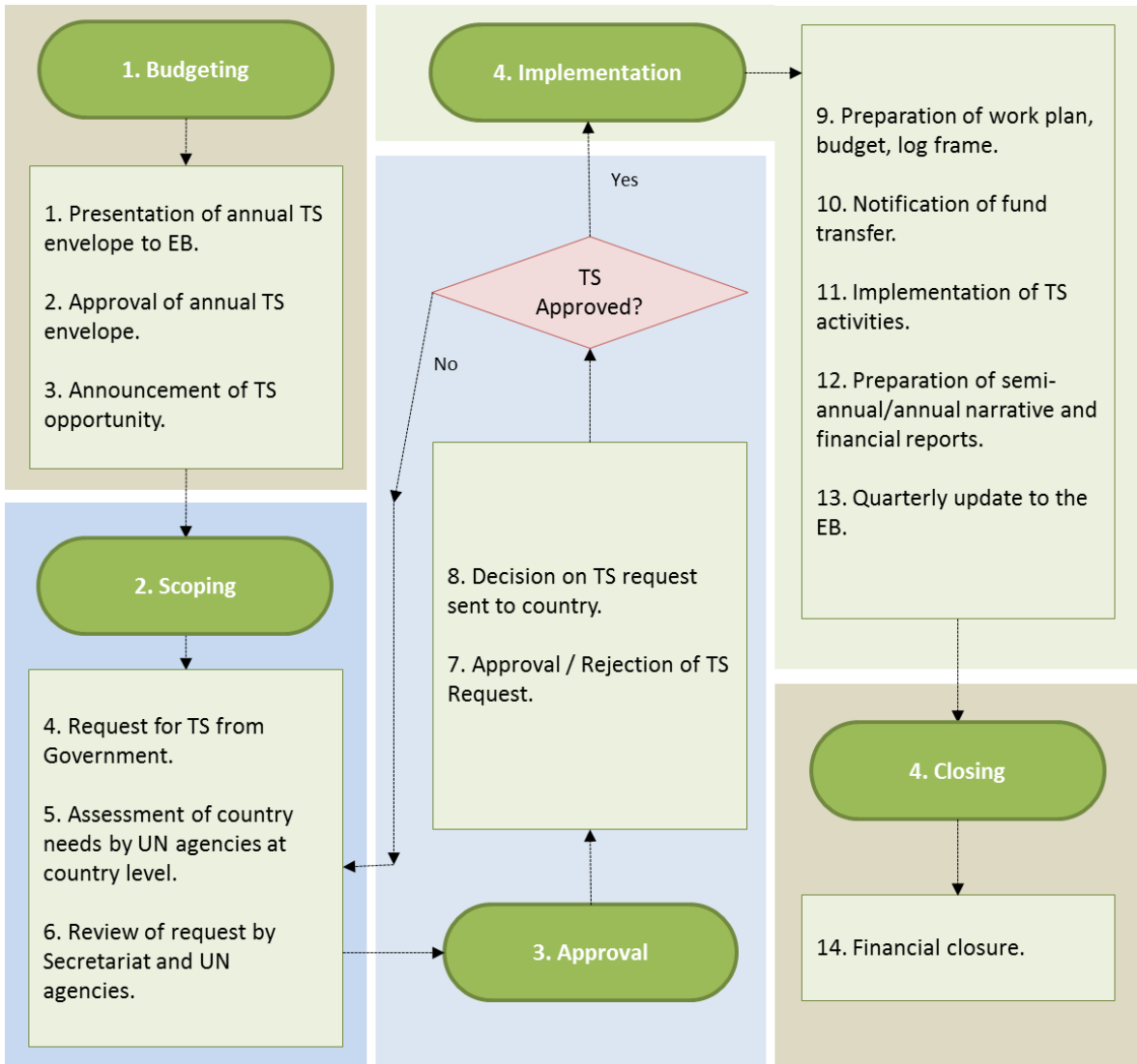| Step	Action	Responsibility	Key documents
Step 1 Budgeting	Presentation of annual TS envelope to EB.	Secretariat/MG/UN Agencies	Draft budget
	Approval of annual TS envelope.	EB	Approved budget
	Announcement of TS opportunity.	Secretariat	Guidance Note
Step 2 Scoping	Request for TS	Government + National REDD+ focal point	Request for TS
	Assessment of country needs.	UN agencies at country level	
	Review of request	Secretariat + UN agencies	
Step 3 Approval	Approval / Rejection of TS request.	UN agencies	Decision on TS request
	Decision on TS request sent to country.	Secretariat	Decision on TS request
Step 4 Implementation	Preparation of work plan, budget, log frame.	Government + UN country offices	Work plan, budget, log frame
	Notification of fund transfer.	MPTF	Fund transfer
	Implementation of TS activities.	Government + UN country offices	
	Preparation of semi-annual/annual narrative and financial reports.	National REDD+ focal point + UN RC + UN-REDD country team	Semi-annual/annual narrative and financial reports
	Quarterly update to EB	Secretariat	EB update on TS
Step 5 Closing	Financial closure.	MPTF + Agencies	Statement of financial closure

Figure 8: Programming Cycle for Targeted Support

7 Reporting, Monitoring and Evaluation

76.   Learning from the lessons of the previous Programme, the 2016-2020 phase will benefit from a clearer and more rigorous approach to results based management, including reporting, monitoring and evaluation.

77.   Indeed, the 2016-2020 results framework defines the hierarchy of impacts and results intended to be delivered by the Programme in such a way that these also define and link to how resources are deployed and programmed at country level. With the UNFCCC Warsaw Framework having been agreed, a set of scorecards providing for an overview for each of the elements of the Warsaw framework have been designed. These will be used for scoping (i.e. defining the gaps) and programming (defining the support and expected results) as well as for periodical reporting. The scorecards form part of the reporting process and will enable for the aggregation of information from national to Programme-wide level. Furthermore, these scorecards will be used review or evaluation exercises and will therefore provide a basis for consistent benchmarking, target-setting and assessment of results. This comes as a direct response to (i) the requests for more tangible information on progress and impacts; (ii) the recommendations of evaluations completed in the previous phase for the provision of more concrete and tangible ways to assess progress in an objective manner.

78.   Regular reporting will be an integral part of the monitoring and evaluation for systematic and timely provision of information on progress of the Programme. Reports will be results-oriented and evidence based. Annual and final narrative reports will compare actual results with expected results at the output and outcome level, and explain the reasons for over or underachievement. The final narrative report will also contain an analysis of how the outputs and outcomes have contributed to the overall impact of the approved programme. The financial reports will provide information on the use of financial resources against the outputs and outcomes in the agreed results framework. Reporting additionally provides the information needed to make evidence-based decisions for Programme management, improvement and policy formulation. Also, the program will be investing in strengthening national monitoring and evaluation systems, as this is regarded as important to eventually save resources that may otherwise be spent on overlapping activities supported by different partners.

79.   Participating UN Organizations (PUNOs) will be reporting on progress on Programme management semi-annually and annually, and on financial management semi-annually and annually in accordance with the MOU.

7.1   Evaluation of the UN-REDD Programme Fund

80.   An evaluation of the UN-REDD Programme Fund – at a fund level – shall be undertaken one year before the operational end date of the Fund, in accordance with the guidance from the UN Evaluation Group (UNEG) with an emphasis on a broad assessment of results and impacts at the level of the Fund. The EB may request a mid-term review of the Fund should there be a need to substantially revise any elements of the TOR or approach, including the provision for earmarking and its impact on the overall functioning of the fund. PUNOs will share information and progress updates, and undertake joint monitoring and evaluation where appropriate.

7.2   Evaluation of funded Programmes under the UN-REDD Programme Fund

81.   A final evaluation of individual Programmes beyond 3,000,000 US$ supported by the Programme Fund is anticipated to assess performance in terms of relevance, effectiveness and efficiency on output and outcome level, sustainability and up-scaling of results, and actual and potential impacts stemming from the Programme. The final evaluation will be done externally in accordance with the evaluation policies of the PUNOs. A specific budget to cover evaluation costs will be allocated within each programme. Mid-term reviews may be undertaken to inform the assessment of progress, adjustments to be made, and provide a basis for decision-making. These will be decided upon on a case by case basis.

82.   TS will be evaluated as an overall modality, the ToR, scope and timing of such an evaluation shall be determined in due time, with a budget for this purpose set-aside by the EB allocation for the TS Programme.

7.3   Audit

83.   The activities of the Administrative Agent and each Participating UN Organization in relation to the Fund will be exclusively audited by their respective internal and external auditors in accordance with their own financial regulations and rules. The corresponding external and internal audit reports will be disclosed publicly unless the relevant policies and procedures of each of the relevant Participants provide otherwise. The Internal Audit Services of the Participating UN Organizations involved in the Fund may consider conducting joint internal audits thereof in accordance with the Framework for Joint Internal Audits of UN Joint Activities, including its risk-based approach and provisions for disclosure of internal audit reports related to the Fund. In doing so, the Internal Audit Services of the Participants will consult with the Executive Board. The total costs of internal audit activities in relation to the Fund will be borne by the Fund.

8 Transparency and Accountability

84.   The Administrative Agent will keep all stakeholders of the Programme informed of the financial status of the Fund. Information provided includes the contributions from donor countries, decisions of the Governing Bodies, transfers of approved funding to the specific Programmes/PUNOs, and the annual expenditure for each funded activity. In addition, the website of the Administrative Agent (http://mptf.undp.org) will contain all relevant information on the Fund, including ToR, MoU, and the SAA, and annual reports of all funded activities.

9 Public Dissemination

85.   Each PUNO, as well as the Administrative Agent, will take appropriate measures to publicize the Programme Fund and to give due credit to the other PUNOs. Information given to the press, to the beneficiaries of the Programme Fund, all related publicity material, official notices, reports and publications, will acknowledge the role of the PUNO, the contributing donors, the Administrative Agent and any other relevant entities. In particular, the Administrative Agent will include and ensure due recognition of the role of each PUNO and Programme partners in all external communications relating to the Programme Fund.

86.   The Administrative Agent, in consultation with the PUNOs, will ensure that decisions regarding the review and approval of the Programme Fund as well as periodic reports on the progress of implementation of the Programme Fund, associated external evaluations are posted, where appropriate, for public information on the website of the Programme and the Administrative Agent (http://mptf.undp.org). Such reports and documents may include approved Country or Thematic Programmes and those awaiting approval, Programme Fund level annual financial and progress reports and external evaluations, as appropriate.

10 Other Issues

10.1 Termination of the Fund

87.   The Programme Fund will terminate its operation on 31st December 2020 with the completion of all programmes funded through the Programme Fund, the evaluation of this support and the production of a final report. The following tentative dates are foreseen for (a) approving the last fund allocations (31/12/18), (b) completion of all programmatic activities (31/12/20) (c) the dissemination of the final narrative report (31/05/21), (d) the final financial closure of all agencies projects (30/06/22), with agency certification received latest by 06/2023; (e) the financial closure of the Fund

(31/12/2023); and (f) the dissemination of the final financial report and certified financial statement (31/05/2024).

88.   The Executive Board will decide on an extension of the fund taking into consideration, among others: progress in achieving the Fund outputs and outcomes, rationale and reasons for extending the Fund, financial viability of the Fund so far, results to be expected during extension period, costs for coordination and administration during extension period, donors' willingness to support extension and additional capitalisation, if any, expected during extension period. Before the EB takes the decision, it shall seek the agreement of relevant donors, PUNOs and the MPTF Office.

11 Annexes

Annex i. UN-REDD Programme Results Framework

The Results Framework is a tool intended to render the Theory of Change operational and implementable. Stemming from that, the RF and TOC intersect at the higher level of outcomes, impact and development goal. The RF provides details enabling a further rationalization and organization of the TOC, in such a way that resources can be allocated, inputs can be planned for and progress can be tracked.

As indicated in section 3 of the TOR, the TOC emanates from the understanding that (i) forests constitute an important source and sink of carbon; (ii) REDD+ phases are not linear but rather intertwined and can proceed in parallel; (iii) the gap in financing and support for implementing the actions that will generate emission reductions or enhancement of stocks is delaying the generation of results and their associated results based payments; (iv) readiness is not a finite process and therefore countries can be supported to implement actions that will generate emission reductions while concurrently continuing their readiness efforts; (v) progress on readiness is necessary to move towards implementation, however it has been uneven across countries, and a number of them still need support for readiness.

The key hypotheses underlying the TOC and the RF are the following: in order to generate results that are eligible for results based payment and that contribute to a country's aspirations, (i) actions need to be designed to address key strategic priorities identified in a consensual way and that will address the key drivers of deforestation and barriers to enhancement or conservation; (ii) these actions need to stem from a robust understanding of drivers, that is agreed upon but all the interest groups concerned; (iii) in order to verify effectiveness, avoid any leakage, and ensure accountability MRV systems need to connect with and inform both the diagnostic as well as the implementation; (iv) considering the multiple uses and benefits of forests, safeguards of environmental and social nature should be identified during the design of actions, monitored and adjusted during implementation.

Taking the above into consideration, the Programme envisages continuing support towards readiness, as codified in outcomes 1 and 2; while also supporting implementation of PAMs (outcome 3). This last outcome constitutes a full area of work and could be considered as a logical consequence of the first two. From a sequencing point of view, indeed outcome 3 is only possible when outcomes 1 and 2 are sufficiently advanced, however for the purpose of enabling a two-pronged approach supporting readiness and implementation; the three outcomes have been included on par in the results framework. The distinction will be made through (i) eligibility criteria; (ii) resource allocation. The section below provides an elaboration for each outcome and how it is intended to contribute towards the desired impacts.

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.

In essence this outcome aims to support 2 elements of the Warsaw Framework, namely the strategies and action plans as well as the safeguard information systems. In doing so, countries will be able to identify what are the key drivers and barriers within their national context, build consensus around key measures, and identify what are the environmental and social dimensions that could be impacted by those key measures. Taking into account the recommendation of the

evaluation for intersectoral coordination, for private sector engagement and recognizing the need to connect stakeholder engagement to policy processes, work under this outcome envisages that public spaces for engagement, consultation and consensus building would be created and that this engagement will go beyond Indigenous Peoples and Civil Society Organizations to encompass all interest groups that may have a stake. This same approach as well would be applied for integrating gender considerations and concerns into these processes.

With support from this outcome, countries will be able to prioritize their REDD+ actions, identify strategic stakeholders and ensure that this is not done at the cost of other environmental or social priorities. While countries supported on this outcome will not generate tangible transformation, they will be able to use the results of this work to prioritize foreign and domestic investments for implementing the strategic priorities identified.

Outcome 2 – National contributions to the mitigation of climate change though REDD+ are measured, reported and verified with the necessary institutional arrangements in place.

As a performance-based mechanism, one of the critical requirements of REDD+ consists in the ability to measure and monitor change and the results of that change. Under this outcome countries will be supported to deploy all the necessary tools, capacities and systems – be they institutional or technical – in order to set up reliable, credible and sustainable MRV systems that (i) provide sufficient assurance to enable international results based payments and (ii) are grounded in national processes so that they are operated and maintained irrelevant of international payment schemes. The connections between outcome 1 and 2 are many, and will therefore entail iterative processes of adjustment and fine-tuning, so that the MRV system informs and corresponds to the priorities and safeguards fleshed out under outcome 1. However, going beyond the foundation and readiness, the support extended for MRV will also be availed to countries that are initiating the implementation of actions. It is anticipated that by doing so, the effectiveness of actions implemented will be tracked and monitored along the way to determine if they are likely to deliver the assumed transformation. Through this connection between MRV and implementation, corrective action may be taken early on and course of action changed in case the anticipated results are not materializing.

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.

This last outcome aims to support countries that are quite advanced in their readiness processes and have already identified their strategic priorities. The configurations under this outcome are many, and will depend on each country context. In countries where deforestation is a key concern, support will be extended to address drivers of deforestation with a view to reducing pressure on forests. In countries where the enhancement of carbon stocks was deemed a priority, the Programme will support in lifting the barriers that prevent or hinder action in that regard. Taking on the recommendation of the mid-term evaluation, safeguards are mainstreamed in this outcome as well, and specific consideration will be given to ensure implemented measures do not contradict or undermine agreed upon safeguards. As indicated above, this outcome will be connected to outcome 2, so that the MRV systems caters for the strategic priorities identified and provides a feedback mechanism on the effectiveness of measures undertaken.

The three outcomes can only be considered together, as indicated above they are mutually reinforcing and supportive.

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 tCO₂e/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

			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	sustainable natural resource management, social well-being and low-carbon solutions RISKS 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
PI. 2. Percentage of UN-REDD partner countries that demonstrate quantifiable social and environmental benefits generated through the implementation of REDD+, policies and measures	0% of UN-REDD partner countries	XX% of UN-REDD partner countries		
PI. 3. Percentage of UN-REDD partner countries that have implemented policy and/or institutional reforms designed to improve forest governance for REDD+ results	0% of UN-REDD partner countries	XX% of UN-REDD partner countries	Mitigation chapter in BUR and score card of key policies & governance indicators reviewed at national level through mid-term and final evaluations	

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**
PO 1.1 Degree of completeness of national REDD+ strategies and/or action plans (NS/AP) as defined by whether the NS/AP: − 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. Score from low to high completeness	X (XX%) of 60+ countries have a minimum score of 2 out of 4 on completeness index	Y (YY%) of 60+ countries have a minimum score of 2 out of 4 on completeness index	UNFCCC information hub & country reporting	ASSUMPTIONS: The REDD+ focal point and national climate change committee engage in inter-sectoral dialogue on the scope and priorities of the NS/APs Information on deforestation and forest degradation will be freely available and shared between national institutions (including for the SIS) Relevant institutions and stakeholders identify the main additional benefits and risks of REDD+ for inclusion in the NS/AP 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+. 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. RISKS: Countries with limited political space do
PO 1.2 Degree to which the NS/AP incorporates principles of social inclusion and gender equality, as defined by whether: − the NS/AP is developed through a multi-stakeholder, gender-responsive and participatory consultation and dialogue process; − the proposed policies and measures for REDD+ integrate gender-responsive actions; − the proposed policies and measures for REDD+	X (XX%) of 60+ countries have scored a minimum of 2 out of 3 on social inclusion	Y (YY%) of 60+ countries have scored a minimum of 2 out of 3 on social inclusion index	Country reporting	

consider the realisation of land and resource rights of indigenous peoples and local communities as well as their development priorities. Score of low to high social inclusion	index			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.
PO 1.3 Degree of anchoring of the NS/AP in the national development policy and institutional fabric as defined by whether: − 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. Score of low to high anchoring	X (X%) of 60+ countries have scored a minimum of 3 out of 5 on a anchoring index	Y (Y%) of 60+ countries have scored a minimum of 3 out of 5 on an anchoring index	Country reporting / reports from gender analyses & monitoring / UN-REDD reference on gender-sensitive REDD+	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. Ministries and institutions with knowledge and expertise relevant for REDD+ NS/APs are not consulted or involved in the process.

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: − 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. Score of low to high completeness	X% (XX%) of 60+ countries have a minimum of score of 3 out of 4 on the completeness index	Y% (YY%) of 60+ countries have a minimum score of 3 out of 4 on the completeness index	Country reporting	
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 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)	
Output 1.1	**To be defined at country level**			Financial needs (to be determined)
Output 1.2	**To be defined at country level**			Financial needs (to be determined)
Output 1.3	**To be defined at country level**			Financial needs (to be determined)
Output 1.4	**To be defined at country level**			Financial needs (to be determined)

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**
PO 2.1 Robustness of FREL/FRL submissions as defined by whether the submission: − 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). Score from low to high robustness.	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	ASSUMPTIONS 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) The results of MRV are transparently shared and accessible by relevant stakeholders Opportunities for meaningful inputs from CSOs, IPs and local communities, including equitably men and women, into MRV are available RISKS The NFMS is not embedded in government structures and/or is not given sufficient domestic financial and staffing support in UN-REDD supported countries High staff turn-over reduces the capacity of national NFMS institutional framework
PO 2.2 Robustness of BUR REDD+ annex submissions as defined by whether the submission: − 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 for measuring, reporting and verifying (MRV) the results.	XX (XX%) of 60+ countries submitted BUR REDD+ Annex with	30 (48%) of 60+ countries submitted BUR REDD+ Annex with	UNFCCC REDD+ website and technical report on the BUR REDD+ annex	

Score from low to high robustness.	minimum robustness scores of 2 out of 3	minimum robustness sores of 2 out of 3	published by the Secretariat via the web 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 − satisfies domestic information needs	X (XX%) of 60+ countries have an operationality	Y (YY%) of 60+ countries have an operationality index	Country reporting	

	index score of 4 out of 6 or more	score of 4 out of 6 or more		
− 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) Score from low to high operational effectiveness				
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. Score from 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 (eg satisfaction survey)	

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**
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: - 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	ASSUMPTIONS Countries implementing PAMs have completed NS/Aps which clearly define and prioritise drivers of deforestation and forest degradation as well as the + (plus) activities. Countries implementing PAMs have the capacity to measure emission reductions/enhancements with FREL/FRL and BUR submissions to the UNFCCC. 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. Sufficient results-based payments/finance accessible to countries through clearly established and transparent international mechanisms. Policies and measures (PAMs) being implemented are supported by decision makers at different levels of government REDD+ countries address policy gaps, policy conflicts and
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	overlapping mandates between different government agencies Reliable and credible institutions are set up to manage RBPs within participating countries Country approaches to safeguards are flexible, in order

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 RISKS 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)

Annex ii. Causal relationships diagram of the UN-REDD Theory of Change