

UN-REDD PROGRAMME



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UN-REDD Programme Handbook for National Programmes and Other National-Level Activities

UN-REDD PROGRAMME



The UN-REDD Programme is the United Nations collaborative initiative on Reducing Emissions from Deforestation and forest Degradation (REDD) in developing countries. The Programme was launched in 2008 and builds on the convening role and technical expertise of the Food and Agriculture Organization of the United Nations (FAO), the United Nations Development Programme (UNDP) and the United Nations Environment Programme (UNEP). The UN-REDD Programme supports nationally-led REDD+ processes and promotes the informed and meaningful involvement of all stakeholders, including Indigenous Peoples and other forest-dependent communities, in national and international REDD+ implementation.

Foreword and Acknowledgements

Given the complex and dynamic nature of REDD+ readiness and implementation efforts, the demand from countries for information cannot be underestimated. UN-REDD Programme partner countries have expressed their need for comprehensive and up-to-date information and guidance on how to engage with the Programme. It is therefore with great pleasure that the UN-REDD Programme launches this National Programmes Handbook, as a sign of the Programme's continued commitment to providing stakeholders with much-needed information on UN-REDD National Programmes and national-level activities in a format that is centralized and accessible. As such, this Handbook offers guidance on the full range of stages; from Programme identification and formulation, including Programme launching (also known as 'inception'), through to implementation and evaluation. Given that the UN-REDD Programme also provides targeted technical or advisory support in response to country needs, this Handbook provides preliminary guidance on the implementation of targeted activities as well.

To remain relevant as a source of guidance and information, the handbook will be expanded and regularly updated. This is necessary given the evolving nature of REDD+ and the UN-REDD Programme. As this is the first edition of the handbook, the Programme remains open to feedback as stakeholders begin to use the Handbook, to ensure it is always a useful tool for them.

The compilation of this Handbook was made possible by the willingness of many UN-REDD Programme agency colleagues, working at different levels of the Programme to share their knowledge and experiences with Programme design and implementation. The Handbook was written by Christopher E. Cosslett, consultant to the UN-REDD Programme Secretariat and Clea Paz Rivera, Programme Officer, National Programmes in the UN-REDD Programme Secretariat. The Secretariat and the authors would like to thank to all FAO, UNEP and UNDP staff working for the UN-REDD Programme for their support and contributions to the process.



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Head, UN-REDD Programme Secretariat

List of Abbreviations and Acronyms

AA	Administrative agent
CG	Coordination group
CO2e	Carbon dioxide equivalent
FAO	Food and Agriculture Organization of the United Nations
FCPF	Forest Carbon Partnership Facility
FPIC	Free, Prior and Informed Consent
IPCC	Intergovernmental Panel on Climate Change
ITA	International Technical Advisor
MoU	Memorandum of Understanding
MPTF	Multi-Partner Trust Fund
MRV	Measurement, reporting and verification
NP	National programme
NPD	National programme document
NPWG	National programme working group
PB	Policy Board
PMU	Programme Management Unit
PSC	Programme Steering Committee
RC	Resident Coordinator
REDD	Reducing emissions from deforestation and degradation
R-PP	Readiness Preparation Proposal
RTA	Regional Technical Advisor
TAP	Technical Advisory Panel
UN	United Nations
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change

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Introduction

Abatement of forest-based emissions is critical to limiting global warming. The UN's Intergovernmental Panel on Climate Change (IPCC) estimated in 2007 that the forest sector and other sectors that impact land use – through deforestation, forest degradation and other changes in forests – contribute approximately 17 per cent of global greenhouse gas emissions,¹ or approximately 5.8 Gt of carbon dioxide equivalent (CO₂e), per year. These emissions mainly take place in tropical developing countries.

The goal of significantly reducing emissions from deforestation and forest degradation can best be achieved through a strong global partnership to create a REDD+ mechanism² under the United Nations Framework Convention on Climate Change (UNFCCC). Such a partnership must be based on a commitment, on one hand, by developing countries to embark on low-carbon, climate resilient development and on the other hand, by developed countries to provide predictable and significant funding as an incentive for reducing forest-based carbon emissions.

The potential gains from such a partnership are enormous. For example, it has been estimated that a 25 per cent reduction in annual global deforestation rates could be achieved by 2015 if financing of US\$22-38 billion were made available from 2010-2015 for results-based incentives and capacity building, complementing other bilateral and multilateral REDD+ efforts.³

Deforestation and forest degradation also have severe adverse impacts on forest biodiversity, the availability of wood and non-wood forest products, soil and water resources and local livelihoods. Improving land use is therefore essential not only to achieve REDD+ but also to make progress towards achievement of the Millennium Development Goals, particularly those of reducing poverty and ensuring environmental sustainability.

The United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation (hereafter 'UN-REDD Programme') was created in September 2008 to assist developing countries to build capacity to reduce emissions and to participate in a future REDD+ mechanism. The UN-REDD Programme builds on the convening role and technical expertise of the three Participating UN Organizations: the Food and Agriculture Organization of the United Nations (FAO), the United Nations Development Programme (UNDP) and the United Nations Environment Programme (UNEP). The Programme works in close partnership with other REDD+ initiatives, especially those operated by the World Bank, and supports the implementation of UNFCCC decisions. As a multilateral, country demand-driven initiative, the UN-REDD Programme has a critical role to play both to support the emerging interim arrangements for REDD+ financing and coordination, and to support the incorporation of an effective REDD+ mechanism within a post-2012 climate change agreement.

¹ IPCC, 2007. Fourth Assessment Report. <http://www.ipcc.ch/>

² For the purpose of the present document, REDD+ refers to 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.

³ Report of the Informal Working Group on Interim Finance for REDD+ (October, 2009).

In order to optimize the approach and effectiveness of the UN-REDD Programme, the three Participating UN Organizations have prepared a [Programme Strategy](#) covering the period 2011-2015. This five-year strategy was adopted by the agencies and endorsed by the UN-REDD Programme Policy Board in November 2010. In August 2011, a document titled “Support for National REDD+ Actions – Global Programme” was endorsed by the UN-REDD Programme Policy Board. As defined by these documents, the UN-REDD Programme provides two main types of national-level technical co-operation. The first, and thus far most common form of co-operation, consists of *National Programmes (NPs)*, through which the UN-REDD Programme supports developing countries’ efforts to prepare and implement comprehensive national REDD+ strategies. The second type of co-operation, called *Targeted Support*, consists of specific support under one or more of the UN-REDD Programme’s six work areas. Targeted support is intended to be small-scale, demand-driven and technical or advisory in nature. Additional details regarding NPs and Targeted Support are provided in Part 1 below.

Effective management and oversight of NPs and Targeted Support depends on clearly defined processes and associated guidance, covering everything from the initial stages of programme identification and formulation to launch (known as ‘inception’), full implementation, evaluation, etc. The demand for guidance has been particularly acute given the need to adapt to a rapidly evolving external environment related to REDD+. However, the wide range of guidance materials, as well as their evolving nature, has made it difficult for many stakeholders—including project managers—to know precisely what are the latest ‘rules of the game.’

The UN-REDD Programme Handbook for National Programmes and other National-level Co-operation offers a central source of guidance for stakeholders. At present, the Handbook is focused on issues related to implementation of NPs, which is not surprising given that nearly all UN-REDD Programme support to date has been delivered via this modality. However, the Handbook also provides preliminary guidance for implementation of Targeted Support. It is expected that future editions / updates of the Handbook will provide expanded guidance on this potentially significant form of UN-REDD Programme support.

The Handbook consists of two main sections. Part 1 presents an overall introduction to the UN-REDD Programme as a whole and to UN-REDD Programme national-level technical cooperation in particular. It begins with a description of programme structure, management and oversight, including the roles of the Policy Board, Secretariat, Administrative Agent and Participating UN Organizations. A second section provides an overview of NPs and Targeted Support. Third, the Readiness Preparation Proposal (R-PP), which is the harmonized documentation under which NPs are developed, is introduced. Finally, a brief overview of the UN-REDD Programme guiding documents and approaches to safeguards is provided.

Part 2, which represents the core of the Handbook, is organized around the NP cycle—from formulation of the Readiness Preparation Proposal (R-PP) to implementation, reporting, monitoring, evaluation and closing. It presents detailed guidance to practitioners related to three defined stages of the NP cycle, based on procedures jointly agreed by the UN-REDD Programme agencies. These sections are designed

to provide operational guidance to National Authorities, UN Agencies and NP teams⁴ concerning activities to be undertaken, procedures, roles and responsibilities, and decisions made, throughout the NP cycle.

While designed to provide comprehensive coverage of the NP cycle, and ultimately Targeted Support, the Handbook is also meant to be readable and ‘user-friendly.’ Rather than incorporating or even summarizing all relevant guiding documents, templates, etc.—which would have made the document both unwieldy and quickly outdated—it introduces these materials while linking them to relevant stages in the project cycle. For example, if it is important for a project developer to follow guidance related to Free, Prior and Informed Consent (FPIC) at a certain stage of project development, this need is highlighted in the Handbook, together with relevant links.

To ensure that the contents of the Handbook address the key issues and questions facing stakeholders, a questionnaire was circulated amongst practitioners in each of the NP countries. The results of this survey have helped greatly to illuminate substantive areas in need of additional guidance and procedural and operational clarity. Key observations emerging from the questionnaire process are reflected in the relevant sections below; the Handbook thus incorporates the best practices and lessons learned to date by a range of stakeholders during the design and implementation of NPs.

One factor which became apparent during the preparation of the Handbook was the extent to which procedures were continuing to evolve. As a result, it will be important to frequently update the guidance contained in the Handbook, particularly via an online version. This will include a mechanism through which users may provide feedback that can be used for updating and improving the Handbook. In addition, it was considered important to have hard copies available, particularly for countries with less extensive or fast internet access.

Among other objectives, it is hoped that the Handbook will help to ensure that UN-REDD NPs and Targeted Support are delivered in a manner consistent with the guidance provided by the UN-REDD Programme’s Policy Board and the experience and technical expertise of the three Participating UN Organizations. The expected result is programmes of UN-REDD national-level co-operation that are of a consistently high standard and comparable across countries, while also catering to national circumstances and requirements.

⁴ The report uses the term ‘NP team’ to refer to an informal grouping of key stakeholders involved with the NP cycle, including PMU staff, Regional Technical Advisors (RTAs), and focal points within government and participating UN organizations.

PART 1: The UN-REDD Programme and National-level Co-operation

This part of the Handbook presents an overview of issues common to the UN-REDD Programme in general and UN-REDD Programme national-level co-operation in particular. It consists of five sections. It begins with a description of programme structure, management and oversight, including the roles of the Policy Board, Secretariat, Administrative Agent and Participating UN Organizations. A second section provides an overview of NPs and Targeted Support. The following sections provide overviews of the Readiness Preparation Proposal (R-PP), which is the harmonized documentation under which NPs are developed, and the National Programme Document (NPD). Finally, a brief overview of UN-REDD Programme guiding documents and approaches to safeguards is provided.

Programme structure, management and oversight

This section introduces the global- and regional-level structures involved with planning, administration, management and oversight of national-level co-operation supported by the UN-REDD Programme. Their functions, roles and responsibilities during specific stages of the NP cycle are described in relevant sections of Part 2.

Policy Board

The UN-REDD Programme is governed by a Policy Board which is responsible for oversight, strategic direction and financial allocations of the UNDP Multi-Partner Trust Fund (MPTF), formerly Multi-Donor Trust Fund. It is composed of representatives from member countries (three from each regional constituency –Africa, Asia-Pacific and Latin America and the Caribbean), the three largest donors to the MPTF, civil society organizations, indigenous peoples and FAO, UNDP and UNEP. Decisions are taken by consensus, facilitated by two co-chairs (one UN Agency and one member country). In addition, the board includes a civil society organization and an indigenous peoples' representative from each of the three regions as observers. Countries from each regional constituency that are not currently members may participate as observers. The secretariats of the UNFCCC and GEF, as well as the World Bank—representing the Forest Carbon Partnership Facility (FCPF)—are permanent observers. The MPTF Office is an *ex-officio* member of the Policy Board. The co-chairs have frequently invited additional observers to participate and enrich the discussions in specific meetings.

The Policy Board decides on fund allocation for national and global programmes from the UN-REDD Programme Fund, administered by the UNDP MPTF Office, and provides guidance to the UN-REDD Programme, reviews progress, and helps articulate the demand for support and response needed. The Board may take advice from the Independent Advisory Group on Rights, Forests and Climate Change.

[Terms of Reference](#) and [Rules of Procedure](#) for the Policy Board are available on the UN-REDD Programme [website](#).

Secretariat

The UN-REDD Programme Secretariat is located in Geneva, Switzerland and is an inter-agency unit of the three UN-REDD Programme Agencies. Among other things, the Secretariat supports the Policy Board by organizing meetings, producing reports and monitoring implementation of Policy Board decisions. It is a central point of contact for the UN-REDD Programme and liaises with other REDD+ initiatives. This includes liaising with existing and potential donors in order to mobilize funds. The Secretariat provides leadership in strategic planning, and the development and management of reporting, monitoring and evaluation frameworks for the Programme, raising awareness of, and championing the UN-REDD Programme and providing vital information to external partners. The Secretariat also facilitates inter-agency collaboration and communication, to ensure the Programme is implemented effectively. The Secretariat activities are more specifically described in its Terms of Reference.

Administrative Agent

At global and national level,⁵ the MPTF is the Administrative Agent of the UN-REDD Programme Fund. The MPTF Office administers funds based on decisions of the Policy Board and serves as the administrative interface with donors. UNDP's accountability as the Administrative Agent (AA) is set out in the policy "[UNDP's Accountability when acting as Administrative Agent in MDTFs and/or UN Joint Programmes using the pass-through fund management modality](#)".

The MPTF Office as AA is responsible for:

- Receive contributions from donors that wish to provide financial support to the Fund;
- Administer such funds received, in accordance with this Memorandum of Understanding including the provisions relating to winding up the Fund Account and related matters;
- Subject to availability of funds, disburse such funds to each of the Participating UN Organizations in accordance with instructions from the Policy Board, taking into account the budget set out in the approved programmatic document, as amended in writing from time to time by the Policy Board;
- Consolidate statements and reports, based on submissions provided to the Administrative Agent by each Participating UN Organization, as set forth in the TOR, and provide these to each donor that has contributed to the Fund Account and to the Policy Board;
- Provide final reporting, including notification that the Fund has been fully expended or has been wound up in accordance with the Fund TOR,;

⁵ For UN-REDD National Programmes the pass-through modality with the MPTF Office as Administrative Agent, will also be applied in accordance to page 2 of the 2011 UN REDD MoU, which refers to UN REDD "Programme Documents" (including joint national programmes and the global programme)

- Disburse funds to any Participating UN Organization for any additional costs of the task that the Steering Committee may decide to allocate (as referred to in Section I, Paragraph 3) in accordance with TOR.

The Administrative Agent may undertake additional functions at the request of the Participating UN Organizations.

Overall Roles of the Participating UN Organizations

In June 2008, the three Participating UN Organizations and the MPTF Office signed a Memorandum of Understanding (MoU) establishing the UN-REDD Programme Fund and setting out administrative arrangements. Underlying this MoU is the [UN-REDD Programme Framework document](#), which is the founding document of the Programme, agreed on by the three UN-REDD Programme agencies.

FAO, UNDP and UNEP have important comparative advantages in supporting the establishment of an international REDD+ regime. As neutral bodies, the agencies are working as “honest brokers” to support country-led development programmes and to facilitate the informed involvement of national stakeholders, particularly indigenous peoples and forest-dependent communities. They are also using their convening power to bring together specialists to develop the global monitoring, assessment, financial and measurement, reporting and verification components. The application of FAO, UNDP and UNEP rights-based and participatory approaches is also helping to ensure that the rights of indigenous peoples and forest-dependent communities are protected and that they and relevant institutions are actively involved in the design and implementation of REDD+ strategies and plans. Where they are present in country, the Participating UN Organizations provide an important national-level support structure for countries. In all cases, the organizations’ governing bodies, expert networks and convening capacity provide invaluable mechanisms for information exchange, access to technical and scientific expertise and capacity strengthening.

A partnership of the three Participating UN Organizations is consistent with the “Delivering as One” approach advocated by some UN members. Building on existing initiatives and networks and using existing modalities for [UN Joint Programmes](#) has enabled rapid initiation of programme implementation and channeling of funds for REDD+ efforts. It has also encouraged coordinated and collaborative UN support to countries, thus maximizing efficiencies and effectiveness of the Agencies’ collective input. Participating UN Organizations need to work according to the “Delivering as One” approach in order to build one UN-REDD NP per country. To this end, the UN-REDD Programme’s delivery model is intended to be consistent with the United Nations’ [Delivering as One](#) approach that maximizes efficiencies and effectiveness in programme implementation, building on the catalytic and convening powers of the three UN-REDD Programme agencies. While the UN-REDD programme is consistent with the “Delivering as One” spirit, UN-REDD funding qualifies as “earmarked thematic funding” and for that reason is not fit for channelling through the One UN Funds (which by definition is “unearmarked” or “softly earmarked” gap funding).

The above partnership is enabled by the fact that each of the Participating UN Organizations brings complementary fields of expertise and mandates to the UN-REDD Programme. Thus, a lead organization has been designated for each of six defined UN-REDD Programme work areas, as follows:

- Measurement, reporting and verification (MRV) and monitoring (Lead Organization: FAO)
- National REDD+ governance (Lead Organization: UNDP)
- Transparent, Equitable and Accountable Management of REDD+ funds (Lead Organization: UNDP)
- Engagement of indigenous peoples (IP), civil society and other stakeholders (Lead Organization: UNDP)
- Ensuring multiple benefits of forests and REDD+ (Lead Organization: UNEP)
- REDD+ as a catalyst for transformations to a green economy (Lead Organization: UNEP).

The Participating UN Organizations have chosen different ways to organize and locate their teams, ensuring the maximum support to national readiness efforts, backed up by international “normative” support functions. This has included policy and technical advisors representing each organization— regional advisors for UNDP and UNEP and headquarters- and regionally-based advisors for FAO. Together, these individuals form regional, inter-agency teams. In addition, regional-level staff report to headquarters-based principal policy / technical advisors, who are linked together in a National Programme Working Group (NPWG).

As endorsed by the UN-REDD Programme Policy Board, the Participating UN Organizations have constituted a group called the Coordination Group (CG). This group provides strategic oversight to the Programme and its Secretariat to improve the UN-REDD Programme’s capacity and responsiveness to new demands as they emerge. The executive and senior management of all three Participating UN Organizations stand fully behind the UN-REDD Programme as a model of interagency collaboration within the UN.

Building on the foundation set out in the Framework document, the UN-REDD Programme Strategy (2011-2015) calls for a significant scaling up of readiness activities and support to countries, depending on country circumstances. Since the agencies are responsible for delivering the Programme’s outputs, scaling up must be complemented by strengthening and redirection of agency human resources, infrastructure and institutional arrangements towards the Programme. The resources for scaling up also involve significant support from the organizations themselves, which view the UN-REDD Programme as one of their flagship programmes and central to their mandates on climate change and environmentally sustainable development.

National Programmes and other national-level co-operation

Currently, national-level technical co-operation provided by the UN-REDD Programme falls into two categories: National Programmes (NPs) and Targeted Support. These are outlined in turn below.

National Programmes

Through NPs in Africa, Asia-Pacific and Latin America and the Caribbean, the UN-REDD Programme is supporting governments to prepare national REDD+ strategies, build monitoring systems, engage stakeholders and assess multiple benefits. Designed collaboratively by a broad range of stakeholders, NPs give priority to developing sustainable national approaches that promote equitable outcomes and to ensuring that countries use reliable methodologies to assess emission reductions. They are informed by the technical expertise of FAO, UNDP and UNEP.

NPs are identified and led by the host government and supported by UN country and regional teams. It is important for governments to determine the scope of activities and the roles of the Participating UN Organizations. UN-REDD NPs are designed to be flexible enough to harmonize with other REDD+ initiatives within country, and take advantage of the comparative advantages of the Participating UN Organizations.

The nine initial UN-REDD Programme pilot countries for implementation of NPs were:

- **In Africa:** Democratic Republic of the Congo, Tanzania and Zambia
- **In Asia and the Pacific:** Indonesia, Papua New Guinea and Viet Nam
- **In Latin America and the Caribbean:** Bolivia, Panama and Paraguay.

In addition to these initial pilot countries, in 2011 the UN-REDD Programme Policy Board approved funding for NPs in five more countries, namely **Cambodia, Ecuador, Nigeria, the Philippines and Solomon Islands**.⁶

Selection of additional countries for implementation of NPs takes place according to criteria approved at the sixth PB meeting in 2011. The three criteria are as follows:

1. **Contribution of the UN-REDD Programme to the national readiness process:** The UN-REDD Programme seeks to maximize the impact of its interventions by fulfilling country REDD+ readiness needs emphasizing countries that either have not yet received support for REDD+ readiness or those where there are opportunities to add value and maximize coordination with other REDD+ bilateral and multilateral initiatives (as reported on the Interim REDD+ Partnership database or subsequently to the UNFCCC);
2. **Effective engagement of UN agencies at a country level:** In order to quickly respond to country needs, the capacity of FAO, UNDP and UNEP to effectively engage and support the implementation of national programmes needs to be taken into account. The Participating UN Organizations will conduct an assessment of relevant factors, including:
 - Existing engagement in the national readiness process, forestry sector, climate change and/or other relevant initiatives

⁶ Updated information regarding the status of approval and implementation of individual National Programmes is available at <http://www.un-redd.org/AboutUNREDDProgramme/NationalProgrammes/tabid/584/Default.aspx>.

- UNDAF and Country Programme priorities, contribution of core funding and capacity of local offices
- Past experience of local offices in managing similar initiatives, pipeline of related projects, and opportunities to co-finance through the Support to National REDD+ Action - Global Programme (SNA)

3. REDD+ potential: The UN-REDD Programme is committed to make a contribution to global climate change mitigation through REDD+. The REDD+ potential of countries is therefore an important consideration and will be assessed using data on forest percentage of land area, annual change rate, and potential importance of forests to the poor.

Based on application of the criteria, selected countries are invited to present NPs for consideration by the Board.

Principles to be applied for National Programmes:

The Participating UN Organizations have agreed to apply the following principles for developing and implementing National Programmes:

Preamble

- Respect the United National Development Group’s (UNDG) Guidance Note on Joint Programming, which states:

“The decision to select one or a combination of fund management options for a joint programme should be based on how to achieve the most effective, efficient and timely implementation, and to reduce transaction costs for national partners, donors and the UN.”
- Commit to:
 - Minimizing national counterpart transaction costs;
 - Putting the interests of the national counterpart ahead of agency interests;
 - Taking advantage of agencies’ comparative advantages in implementation support
- Recognise that National Programmes are country-driven and designed to serve countries REDD+ readiness needs.

Principles

- The UN REDD Programme will identify a lead agency that will be accountable to the Management Group for programme delivery in that country.
- The determination of which agency should play the lead role in any particular country should be made on the basis of which agency has the comparative advantage in providing effective, efficient and timely implementation. This includes:

- UN Country Team roles set out in the UNDAF;
 - Relationship and past project implementation experience with the national counterpart;
 - In-country capacity to support the implementation modality;
 - Guidance from the UN Resident Coordinator.
- In instances of national implementation, the national counterpart should expect to receive funds from one agency, based on the agreed National Programme. If there is more than one national counterpart, there may be more than one UN agency transferring funds.
 - Where it is not possible to have only one UN agency transferring funds to a national counterpart, multiple agency channels should use the same cash transfer modality, based on the Harmonized Approach to Cash Transfer (HACT) process, and coordinate the timing of cash transfers to the single national counterpart.
 - The Lead agency will support the PMU (or equivalent). The PMU will include a coordinator, recognized by each agency as supporting the overall National Programme.
 - An agency may agree with a national counterpart to provide direct technical assistance. The budgeted amount that is used for directly implemented technical assistance shall be agreed with the national counterpart before the NP allocations are submitted for approval.
 - Directly implemented technical assistance shall be provided through a National Programme workplan, managed by the PMU (or equivalent).
 - UN agency direct support costs should be charged to the Support to National REDD+ Action - Global Programme (SNA).
 - Where UN agency direct support costs are charged to a NP budget, they should be agreed (in writing) in advance with the national counterpart.

Targeted support

The UN-REDD Programme Policy Board in its seventh meeting requested the UN-REDD Programme to present by its eighth meeting clarification regarding procedures for countries to access targeted support within the Support to National REDD+ Action - Global Programme (SNA). The following represents a clarification on the scope of targeted support and procedures for partner countries of the UN-REDD Programme to make a request.

The Support to National REDD+ Action - Global Programme (SNA) was endorsed by the Policy Board in August 2011 and started implementation on 1 November 2011, following the Policy Board's approval of the first year's budget. The document defines the concept of targeted support as demand-driven specific support under one or more of the UN-REDD Programme six work areas that should serve as a bridge between National Programmes and the SNA. In line with the nature of the SNA, all partner countries of the UN-REDD Programme are eligible to receive targeted support, subject to the availability of funds and the programming priorities of the work areas. In practical terms, targeted support means specific technical advice and other capacity strengthening support that a country may request on a

critical REDD+ readiness aspect it has identified, which is not covered through other multilateral or bilateral initiatives or by its National Programme, and where the UN-REDD Programme has comparative advantage to provide such support.

The Support to National REDD+ Action - Global Programme Framework Document also defines the scope of targeted support as small-scale, demand-driven, and technical or advisory in nature and to be provided to countries by the Participating UN Organizations 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 this additional specific support.

The UN-REDD Programme agencies will also continue to provide backstopping for the development and implementation of National Programmes. Whenever such backstopping is covered financially by the SNA rather than the National Programme in question, this is considered as targeted support.

Partner countries of the UN-REDD Programme may request such support either through the Secretariat or, in the case of backstopping of existing National Programmes, directly from the agencies. The Secretariat will ensure all country requests for targeted support it receives are channeled to the relevant agency team and copied to the other agencies' teams and the UN Resident Coordinator (RC). The Secretariat will also coordinate the annual reporting to the Policy Board in the context of the "Support for National REDD+ Actions" programme reporting.

1. Targeted support can be requested by partner countries of the UN-REDD Programme which are undertaking REDD+ efforts with a view to design and implement a national REDD+ strategy or action plan, including those which are designing or implementing National Programmes.
2. The targeted support should be scoped within any of the six work areas defined in the UN-REDD Programme Strategy and should represent additional and specific contribution to national REDD+ efforts with a view to fill gaps or to leverage other activities.
3. The requests for targeted support should be presented by partner countries of the UN-REDD Programme, in coordination with the agencies' teams and the Resident Coordinator, to the UN-REDD Programme Secretariat. Requests for backstopping of National Programmes can be sent directly to the Participating UN Organizations.
4. The requests will be registered by the UN-REDD Programme Secretariat and forwarded to the agencies' REDD teams for decision on whether the request can be met, based on :
 - Consistency of the request with the objectives of the UN-REDD Programme ;
 - Potential contribution of the targeted support to national REDD+ efforts ;
 - Participating UN Organizations' availability of technical and financial resources;
 - Alignment with the agencies' programming priorities for the relevant work areas.
5. The Participating UN Organizations will communicate directly with the countries on the targeted support requests and will report on the agreements reached through the Secretariat.
6. Any request for targeted support already agreed by the agencies before Policy Board eight are not affected by those procedures.

Harmonized UN-REDD/FCPF Readiness Preparation Proposal (R-PP)

Responding to the Policy Board request, and beginning with the eighth meeting of its Policy Board (PB8) in early 2012, the UN-REDD Programme is using a harmonized Readiness Preparation Proposal (R-PP) template when requesting Policy Board approval of a funding allocation for a new NP. The R-PP is designed to assist a country prepare itself for involvement in REDD-plus, under either the FCPF or the UN-REDD Programme. It provides a framework for taking stock of the national situation with respect to deforestation, forest degradation, and the other REDD-plus activities, and also for addressing this situation by undertaking analytical work and by publically consulting on the core components of REDD-plus readiness. Through its R-PP, a country lays out a roadmap of preparation activities needed to undertake work within these defined core components. The components and sub-components of the R-PP are presented in **Table 1** below.

The scope of the R-PP is broad and generally goes well beyond what can be achieved through either FCPF or UN-REDD Programme support. In recognition of this, each sub-component description within the R-PP includes a budget indicating resources available not only from FCPF or the UN-REDD Programme but also from Government and from other development partners, as well as gaps in funding. This information is also summarised in Component 5 of the R-PP, ‘Schedule and Budget’. In this way, the objective of the UN-REDD NP (see below) is not to achieve the entire R-PP but rather to deliver a defined portion thereof; the approved R-PP thus defines the overall framework under which the UN-REDD NP contributes.

In addition to providing this overall framework, the R-PP also describes the technical and financial support towards R-PP implementation to be provided by the UN-REDD Programme under its NP. This information is provided by component and sub-component, and is summarised under Component 5. The same information is presented, with in some cases additional detail, in the UN-REDD NPD (see below).

Table 1: Components and sub-components of the R-PP

Components	Sub-components
1. Organize and consult	1a: National Readiness Management Arrangements
	1b: Information Sharing and Early Dialogue with Key Stakeholder Groups Consultation and Participation Process
	1c: Consultation and Participation Process
2. Prepare the REDD-plus Strategy	2a: Assessment of Land Use, Forest Law, Policy and Governance
	2b: REDD-plus Strategy Options
	2c: REDD-plus Implementation Framework
	2d: Social and Environmental Impacts during Readiness Preparation and REDD-plus Implementation

Components	Sub-components
3: Develop a National Forest Reference Emission Level/ Reference Level	3: Develop a National Forest Reference Emission Level and/or a Forest Reference Level
4: Develop a National Forest Monitoring System and an Information system	4a: National Forest Monitoring System
	4b: Designing an Information System for Multiple Benefits, Other Impacts, Governance, Safeguards
5: Schedule and Budget	5: Schedule and Budget
6: Design a Programme Monitoring and Evaluation Framework	6: Design a Programme Monitoring and Evaluation Framework

If a country has an R-PP already assessed by the FCPF and developed using the harmonized template (version 6), this can be used for submissions to the UN-REDD Programme. However, for countries that have RPPs based on previous versions of the template, an updated RPP based on version 6 should be used for submissions. As with other cases, the UN-REDD Programme review process will be applied, using reviewers from the common roster of experts with the FCPF and including [Technical Advisory Panel](#) (TAP) members when possible.

National Programme Document (NPD)

Building on the framework presented in the R-PP, the National Programme Document (NPD) describes the UN-REDD Programme contribution to implementation of the R-PP and to the national REDD+ readiness process. It provides the vehicle through which the Participating UN Organizations provide financial and technical support to achieve these results. The document specifies the cooperation or assistance agreements that form the legal basis for the relationships between the Government and each of the Participating UN Organizations.

The NPD contains the following sections (see [NPD annotated template](#) for additional details):

- Cover page
- Executive summary
- Results framework
- Coordination arrangements
- Management and coordination arrangements
- Fund management arrangements
- Monitoring, evaluation and reporting
- Legal context or basis of relationship
- Work plans and budgets

It should be noted that, with the exception of the executive summary, the NPD does not form a part of the submission for the Policy Board.

During the finalization phase (see Part 2 below), the NPD, R-PP and signed submission form are submitted together when requesting the first transfer of funds.

Guiding documents, tools, and approaches to safeguards

The [annotated R-PP template and annexes](#) includes guidance regarding the formulation and implementation of the R-PP. However, given that this is a harmonized document, it places emphasis on guidance which is common to all of the delivery partners. This section therefore provides a brief introduction to guiding documents, tools and approaches to safeguards which are specific to the UN-REDD Programme.

Table 2 below shows the correspondence between the UN-REDD Programme specific guiding documents, tools, and approaches and the components of the R-PP. It should be noted that some of the documents are referred to in the RPP template, but some are additional.

Table 2: UN-REDD Programme guiding documents, tools and approaches according to components of REDD+ Readiness (as reflected in harmonized R-PP)

Component	UN-REDD Programme guiding documents, tools and approaches
1: Organize and consult	<ul style="list-style-type: none"> • Guidelines on Stakeholder Engagement for REDD+ Readiness with a Focus on the Participation of Indigenous Peoples and Other Forest-Dependent Communities* • UN-REDD Programme Guidelines on Free, Prior and Informed Consent (FPIC) (under preparation)*
2: Prepare the REDD-plus Strategy	<ul style="list-style-type: none"> • Guidelines on Stakeholder Engagement for REDD+ Readiness with a Focus on the Participation of Indigenous Peoples and Other Forest-Dependent Communities • Social and Environmental Principles and Criteria (SEPC) • UN-REDD Programme Guidelines on Free, Prior and Informed Consent (FPIC)
3: Develop a National Forest Reference Emission Level and/or a Forest Reference Level	<ul style="list-style-type: none"> • The Monitoring and Measurement, Reporting and Verification (M & MRV) Functions for REDD+ Mitigation Actions (draft)
4: Design Systems for	<ul style="list-style-type: none"> • The Monitoring and Measurement, Reporting and Verification (M & MRV) Functions for REDD+ Mitigation Actions (draft)

Component	UN-REDD Programme guiding documents, tools and approaches
National Forest Monitoring and Information on Safeguards	<ul style="list-style-type: none"> • Social and Environmental Principles and Criteria (SEPC) • Participatory Governance Assessment • Guidelines for monitoring the impacts of REDD+ on biodiversity and ecosystem services (draft, Feb 2011) • An annotated guide to useful resources for monitoring the impacts of REDD+ on biodiversity and ecosystem services (draft, Feb 2011).
5: Schedule and Budget	· NA
6: Design a Programme Monitoring and Evaluation Framework	· National Programme's Planning, Monitoring and Reporting Framework

* To be applied on a mandatory-basis to all UN-REDD Programme supporting activities

Part 2: Managing the National Programme Cycle

Introduction to the NP Cycle

The UN-REDD Programme developed and presented to the fifth session of its Policy Board (PB5) the elements of the NP cycle according to three chronological stages. These are:

- **Stage 1 - Scoping:** This stage encompasses all of the activities carried out during the six- to twelve-month period beginning with the decision by the Policy Board that a country should in principle receive funding for an NP and finishing when the Policy Board approves the allocation of funding based on submission of a draft NPD.
- **Stage 2 - Finalization:** This stage encompasses all of the activities carried out during the approximately six-month period between Policy Board approval of the funding allocation and the release of funds from the Multi-Partner Trust Fund (MPTF). An important milestone here is the signature of the NPD.
- **Stage 3 - Implementation:** This stage encompasses all of the activities carried out during the three months leading up to the elaboration of a country's National Programme Inception Report submittal, followed by approximately two years of further implementation activities. In addition to inception, this stage also includes a closing 'sub-stage'.

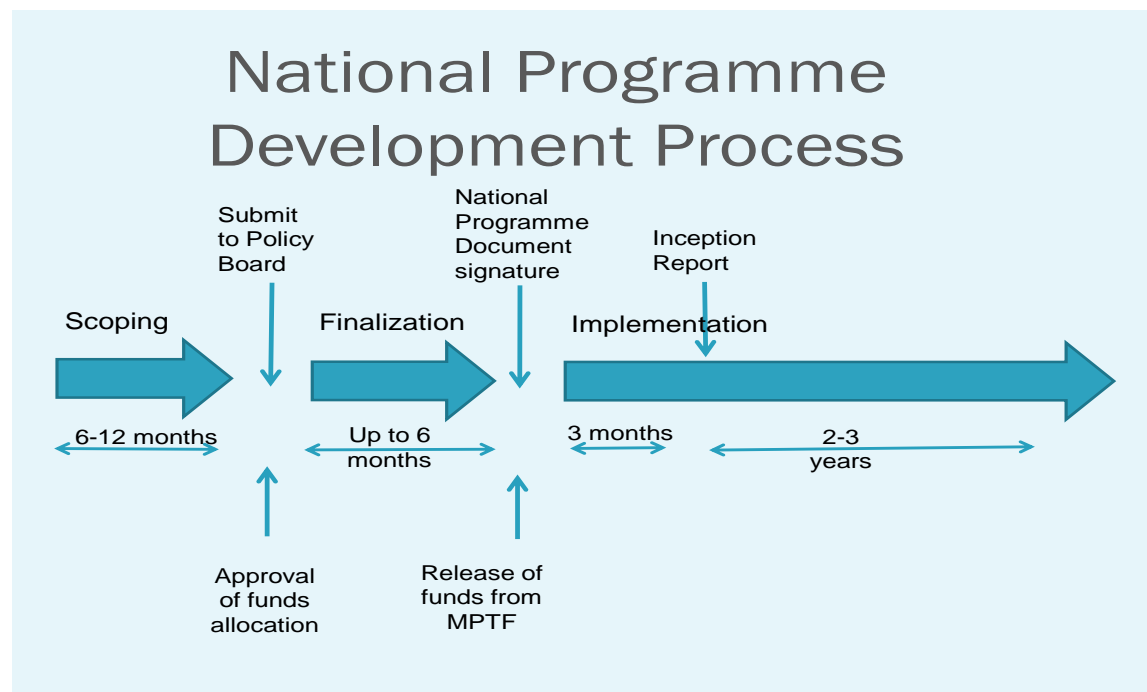


Figure 1: Stages of the NP Cycle

Figure 1 above illustrates the three stages of the National Programme cycle.

The remainder of Part 2 presents chronological guidance according to the above three stages of the NP cycle. In addition to describing the process to be followed, including those related to stakeholder consultations, each section discusses the issues encountered in finalizing the NPD and ways in which these may be addressed. In doing so, it draws on experience gathered during implementation to date, as collected through the questionnaire.

Stage 1: Scoping

Stage 1 of the NP cycle is the scoping stage, during which the draft R-PP is prepared and approved by the UN-REDD Programme Policy Board. It is also recommended that the draft NPD be developed in parallel during this period. These and other related steps are described below.

Table 3: Overview of Stage 1

Step	What?	Who?	Timeline
1.1 Preparation of draft R-PP and draft NPD	Formulation mission(s)	Government+ focal points from the three Participating UN Organizations + country offices	
	Formulation mission wrap up meeting		
	Internal review and clearance by Participating UN Organizations	Participating UN Organizations	
1.2 Validation of draft R-PP	Validating the draft R-PP	Government + UN RC + civil society, private sector, and IP representatives	At least 1.5 months before PB meeting
1.3 Independent external review and PB approval of the UN-REDD Programme contribution to the R-PP	Sending document and consultation meeting minutes to the Secretariat	Government through the UN RC	At least 1 month before PB meeting
	Tasking independent revision	Secretariat	10 working days before PB meeting
	Preparing submission form	Secretariat	
	Translating documents	Secretariat	
	Sending documents to PB members and publishing in website and workspace	Secretariat	
	Presentation of R-PP to the PB	Government	
Decision on budget allocation request	Policy Board		

Step 1.1: Formulation of draft R-PP and draft NPD

Once the decision has been taken that a given country will implement a UN-REDD NP (see Part 1, “National Programmes”), development of the R-PP document may begin in earnest. The process is managed jointly by Government, the UNDP Country Office and regional focal points from FAO, UNDP and UNEP. Financing for the formulation process is provided by the UN-REDD SNA, with co-financing from the Participating UN Organizations. It begins with the fielding of a UN-REDD Programme joint mission for programme formulation, which may last approximately 10-14 days. Sample terms of reference for the formulation mission are available [here](#). Members of the formulation mission should include regional focal points from each of the UN-REDD Programme agencies. The mission typically meets with relevant government and non-government stakeholders, including relevant IP and CSO representatives, to consult, validate and /or work on the NPD and to assist the country with the preparation of the NPD for submission to the UN-REDD Programme Policy Board. In particular, the mission may consult with the following stakeholders:

- relevant government agencies, to discuss the legislative context, and past current and planned policies and activities affecting the national REDD+ readiness process;
- the representatives of the UNDP and FAO offices (where the latter exist) regarding ongoing support from the UN System to the country and joint delivery mechanisms for supporting the national REDD+ readiness process through the UN-REDD Programme;
- NGO/CSOs working on forest/natural resources/climate change/rural development/human rights and indigenous peoples topics, to gain an understanding of NGO/CSO perspectives, and to reflect their roles and concerns in the NPD;
- relevant development partners and donors, to discuss current and planned programmes of relevance to REDD+ and coordination and collaboration in supporting the country in REDD+ readiness.

This and any subsequent missions will also work with the counterpart agency to develop / finalize the NPD based on the above consultations and discussions with stakeholders; this will include developing and updating a work plan that clearly indicates the gaps that need to be filled, deadlines for revised drafts and related activities and responsibilities.

At the end of the mission, a wrap-up meeting is held in order to share the mission’s initial conclusions with stakeholders.⁷

Following the initial formulation mission, the agency focal points, with the support of external consultants as necessary, continue to develop a draft of the document, using the latest annotated R-PP template. Each agency has its own set of quality assurance processes in place to ensure that the draft emerging at the end of this step is of a high quality. This may include application of any relevant guiding

⁷ See [Guidelines on Stakeholder Engagement for REDD+ Readiness with a Focus on the Participation of Indigenous Peoples and Other Forest-Dependent Communities](#) for guidance on these and other consultations.

documents, tools and approaches to safeguards both UN-REDD Programme-wide (see **Table 4** below) as well as agency-specific ones.⁸

At the same time that the draft R-PP is being prepared, a draft of the NPD should also be under preparation. As described in Part 1, this document serves as a grant agreement between the three Participating UN Organizations, on one hand, and the Government, on the other. The outline and template for the NPD is available [here](#). Key issues to be discussed and if possible agreed on, at this point in the process are summarized in **Box 2** below.

FULL COST RECOVERY

In general, direct support costs are charged to the SNA-GP. In accordance with the principle of full cost recovery set out in the 2011 UN-REDD MoU⁹, direct support costs may be charged to a NP budget. In such cases, the direct support costs will be agreed in advance with the national counterpart.

Box 2: Checklist of key elements to be included in draft NPD

- a. Results framework, identifying the goal, objective and clear and measurable indicators for the UN-REDD support
- b. [Annual work-plan with harmonized budget categories](#) (description of budget categories [here](#)),
- c. Budget for common expenses: coordinator, assistant, travel, communications, and final evaluation of the National Programme.
- d. In annex:
 - i. HACT
 - ii. Composition and mandate of committees
 - iii. Links to UNREDD guidelines and approaches to safeguards
 - iv. TOR of coordinator and key PMU staff (templates/examples should be provided)
 - v. Potential dispute mechanism to be used
 - vi. Presentation of the consultation process so far

During the process of formulating the R-PP and NPD, a number of guiding documents need to be followed. Some of these are common to FCPF delivery partners, in some cases having been harmonized for this purpose. Other guiding documents are specific to the UN-REDD Programme. An emerging approach on social and environmental standards for REDD Readiness and accountability is reflected in the [Common Approach to Environmental and Social Safeguards for Multiple Delivery Partners](#), which is applied by the Participating UN Organizations when they are acting as delivery partners of the FCPF.

⁸ UNDP is currently developing a quality assurance mechanism.

⁹ See para 8 on page 6 of the 2011 UNREDD MoU.

Table 4 below identifies the guiding documents and tools that come into play during the various stages of the NP.

Table 4: Guiding documents and tools applicable during each stage of the National Programme cycle (Stage 1 = Scoping, Stage 2 = Finalization, Stage 3 = Implementation)

Guideline	Description	Application during stage?		
		1	2	3
<u>Guidelines on Stakeholder Engagement for REDD+ Readiness with a Focus on the Participation of Indigenous Peoples and Other Forest-Dependent Communities</u>	These joint FCPF / UN-REDD Programme guidelines cover the key elements of effective stakeholder engagement in the context of REDD+ readiness. They outline: 1) Relevant policies on indigenous peoples and other forest-dependent communities; 2) Principles and guidance for effective stakeholder engagement; and 3) Practical "how-to" steps on planning and implementing effective consultations.	x	x	x
<u>Social and Environmental Principles and Criteria (SEPC)</u>	These UN-REDD Programme guidelines consist of broad principles, within which more detailed criteria describe important issues to be considered in developing and implementing REDD+ programmes. The Principles are overarching, fundamental, active statements about the achievement of a desired outcome (e.g. 'Promote sustainable livelihoods and poverty reduction'). The Criteria are the conditions that need to be met by UN-REDD Programme funded activities to contribute to the achievement of the Principle. The SEPC were welcomed by the Policy Board during its 8 th Policy Board meeting as a guiding framework to ensure that its activities promote social and environmental benefits and reduce risks from REDD+.	x	x	x
<u>Identifying and mapping the biodiversity and ecosystem-based multiple benefits of REDD+: A step-by-step guide (with mapping tool)</u>	Guidance and a detailed technical manual on identifying, mapping and understanding the spatial relationship between ecosystem carbon stocks, other ecosystem services, biodiversity, land-use and pressures on natural resources. The resulting maps can contribute to decision-making on the location of REDD+ activities, bringing multiple benefits into the picture. The associated ArcGIS 9.3.1 tool provides a series of raster analysis tools for this purpose.			x
<i>The Monitoring and Measurement, Reporting and Verification (M & MRV) Functions for REDD+ Mitigation Actions (Draft)</i>	Draft guidelines for the monitoring and MRV requirement for REDD+ mitigation actions under the UNFCCC. This document is part of a larger set of guidelines that will address all information and monitoring needs from REDD+ implementation	x	x	x
<u>Participatory Governance Assessment</u>	Tool designed to provide a framework for a participatory process at the country level to conduct governance assessments for information sharing on how REDD+ safeguards are promoted, addressed and respected in a systematic manner. These assessments also produce disaggregated and non-ranking governance indicators, making them different from "top down" approaches to assessing governance.			
<i>Guidelines for monitoring the impacts of REDD+ on biodiversity and ecosystem services (draft, Feb 2011)</i>	Draft guidelines intended to provide clear recommendations to UN-REDD Programme countries on monitoring the impacts, both positive and negative, of REDD+ on biodiversity and ecosystem services. A draft guide to (a) resources that provide basic information on biodiversity and ecosystem services, (b) guidance on monitoring these, and c) some useful tools on (a) and (b).			x

Guideline	Description	Application during stage?		
		1	2	3
UN-REDD Programme Guidelines on Free, Prior and Informed Consent (FPIC)	A key component of effective stakeholder engagement and consultation is the right to free, prior, and informed consent (FPIC). For this reason, the UN-REDD Programme has outlined a normative, policy and operational framework for UN-REDD Programme partner countries to seek FPIC. This will in turn support partner countries to comply with UN-REDD Programme guidelines and principles, including the requirement to undertake broad consultations and seek consent at the community level as and when appropriate, as determined by the partner country in consultation with relevant rights-holders in line with the guidance provided in the UN-REDD Programme Guidelines on FPIC.			x

Step 1.2: Validation of draft R-PP

Once stakeholders have had a chance to review the draft R-PP, a National Validation Meeting is held. This meeting brings together governmental and non-governmental stakeholders identified during Step 1.1 above and is an initial step in ensuring national ownership of the R-PP as well as civil society and private sector engagement. It is worth noting that the Validation Meeting is for review of the draft R-PP and not the NPD.

Key participants in the National Validation Meeting (see also **Box 3**) are as follows:

- The UN Resident Coordinator (or designate)
- National Government counterpart (or designate)
- Civil Society/indigenous people's representative(s).

Where a National REDD + Steering

Committee or equivalent mechanism has been established, this body should coordinate and chair the National Validation Meeting. Wherever possible, existing appropriate coordination mechanisms should be used. The National Validation Meeting has the responsibility either to validate the project design and/or to request that specific changes be implemented.

Box 3: Identifying participants for the R-PP validation meeting

The representative(s) who participate(s) in the 'validation meeting' must subscribe to one of the following criteria:

Option 1

- is selected through a participatory and consultative process;
- has previous experience working with the government and UN system,
- has demonstrated experience serving as a representative, receiving input from, consulting with, and providing feedback to, a wide scope of civil society/Indigenous Peoples' organizations; or

Option 2

- participated in a UN-REDD Programme scoping and/or formulation mission and sit(s) on a UN-REDD Programme consultative body established as a result of the mission; or

Option 3

- is an individual(s) recognized as legitimate representative(s) of a national network of civil society and/or Indigenous Peoples' organizations (e.g. the GEF Small Grants National Steering Committee or National Forest Programme Steering Committee)

In order to be endorsed by the UN-REDD Programme Secretariat for approval by the UN-REDD Programme Policy Board, draft R-PPs must be accompanied by signed minutes of the National Validation Meeting. These minutes are also posted on the UN-REDD Programme website as part of the Policy Board documentation.

Step 1.3: Independent external review and PB approval of the UN-REDD Programme contribution to the R-PP

Following in-country validation of the R-PP, the National Government counterpart (or designate) requests the UN Resident Coordinator (or designate) to submit the draft R-PP to the UN-REDD Programme Secretariat. The UN Resident Coordinator (or designate) then submits the draft R-PP document, together with documentation of the validation meeting(s).

Following the recommendation of the fifth meeting of the UN-REDD Programme Policy Board (PB5), draft R-PPs are sent to three reviewers for independent technical review. In selecting these reviewers, preference is given to individuals who are on a country's TAP. The Secretariat is not bound by the views of the experts, but will make a synthesis of these reviews available to the Policy Board.

Review of R-PPs is done according to the following criteria:

- Extent of ownership of the R-PP by government and non-government stakeholders
- Level of consultation, participation and engagement
- Programme effectiveness, coherence with country strategies and other relevant initiatives, and cost-efficiency
- Management of risks and likelihood of success
- Consistency with the UN-REDD Programme Strategy
- Compliance with UN-REDD Programme operational guidance and the Harmonized R-PP Template

Following external review, the Secretariat prepares for submission of the NP to the Policy Board. The submission consists of three documents, the first of which is the [Submission form](#). This form, which represents the decision document for the NP, includes a number of important elements, i.e., an executive summary, budget, details of the Secretariat review of the NP, an Independent Technical Review, the Secretariat response and, finally, the Decision of the Policy Board and any relevant comments.

In addition to the submission form, the R-PP itself, as well as Minutes of the Validation Meeting, are presented.

For R-PPs being presented to the Policy Board, the Secretariat will provide a summary in English, French and Spanish. The full version of the document is presented in English only.

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

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

Following the completion of each meeting, the Policy Board issues a report which includes its comments on any submissions made to that meeting.

The Secretariat will notify the respective UN Resident Coordinator of the Policy Board's decision within two working days. The reasons for rejection or partial approval of any R-PP / NP will be communicated to the country and other concerned parties through the UN Resident Coordinator.

Stage 2: Finalization

Stage 2 of the NP cycle focuses on the revision and finalization of the R-PP and NPD. It commences with the Policy Board's positive decision on the request for budget allocation and concludes with the receipt of the signed NP by the UN-REDD Programme Secretariat. At that point, NP implementation (Stage 3) is ready to begin.

Key aspects of the NP formulation need to be resolved during Stage 2. In particular, substantive comments received on the draft R-PP need to be responded to and a series of issues related to NP management need to be addressed. In doing so, NP development teams need to take care to implement relevant approaches to safeguards and guidance related, e.g., to consultations (see Table 4 above). Once these issues have been handled and associated changes made in the R-PP and NPD, then these documents can be put through the final approval process.

It is important to recognize that, following a [decision by the 4th Policy Board](#), Stage 2 has a timetable associated with it. More specifically, the PB stated:

“To encourage rapid progress from preparation to implementation of the National Programmes, the Board decided that the NPD should be finalized no later than six months from the date of approval of funding allocations by the Policy Board....if it is not possible to finalize the document within six months, the submitting country is requested to ask the Board for [an extension](#), justifying the reasons for it.”

Table 5: Overview of Stage 2

Step	What?	Who?	Timeline
2.1 Finalize R-PP, incorporating PB comments	Circulating PB decision and comments	Secretariat	Stage 2 as a whole should be completed within six months following the PB meeting
	Incorporating comments, based on additional data gathering and consultations as appropriate	Government+ focal points from the 3 agencies + country offices	
	Prepare a risk analysis		
2.2 Finalize NPD	Agreeing on management and coordination arrangements	Government+ focal points from the 3 agencies + country offices	
	Agreeing on fund management arrangements		
	Develop results framework for UN-REDD Programme support		
	Draft annual budget and work plan with harmonized budget categories		
2.3 Obtain final R-PP / NP approval	Incorporating comments and preparing revision matrix	Government+ focal points from the 3 agencies + country offices	
	Obtain UN agencies clearance for signing the document, following each agencies' quality assurance process	Agency focal points (RTAs)	
	Sending revised document and response matrix to the Secretariat	Focal points or country office copying the Government	
	Verifying incorporation of comments	Secretariat	
	Document signature	Government+ UN RC + designated budget holders from the 3 agencies	
	Sending signed doc to the Secretariat	UN RC	

Step 2.1: Finalize R-PP based on PB comments

At the beginning of Stage 2, the PB comments reflected in the approved Policy Board Meeting report, along with the Secretariat and independent reviewers' comments reflected in the Submission form, are forwarded to regional team members by the Secretariat. Depending on the extent of the comments received, there may be a need to organize a mission to the country to discuss the comments and required revisions. Also depending on the kinds of comments received, more extensive in-country consultations may need to be organized. The nature and extent of any consultations at this stage should be in accordance with relevant guiding documents.¹⁰

Along with the revised R-PP, a [revision matrix](#) is also prepared, indicating the places and manner in which the draft R-PP has been revised in response to comments from the PB, Independent Reviewers and Secretariat.

Step 2.2: Finalize NPD

As described in Step 1.1 above, it is recommended that the development of the NPD should begin concurrently with the preparation of the R-PP. This will help to shorten and make more efficient the formulation process. It should also be cost effective, e.g., to take advantage of regional team members existing missions rather than having to organize additional ones. The elements of the NPD are summarized in Part I above and described in detail in the NPD template.

Step 2.3: Obtain final R-PP / NP approval

The final NPD, RPP, Annual Workplan, budget and [revision matrix](#) are transmitted to the Secretariat by the regional team and government focal point. After three working days, the Secretariat verifies whether the changes have been incorporated in the RPP and whether the NPD has been prepared in accordance with UN-REDD Programme guiding documents. If so, then the document is ready for signature.

The NP is signed by:

- The National Government authorized representative(s) (e.g. National Government coordinating entity, implementing partners)

¹⁰See [Guidelines on Stakeholder Engagement for REDD+ Readiness with a Focus on the Participation of Indigenous Peoples and Other Forest-Dependent Communities](#) for guidance on these and other consultations.

- UN Resident Coordinator
- UNDP Country Director/Resident Representative
- FAO Country representative
- UNEP's authorized representative.

The signed NP is transmitted to the Secretariat by the UN Resident Coordinator. The Secretariat then submits the following to the Administrative Agent:

- Copy of the signed NPD with the approved budget
- Submission Form, signed by the Co-chairs of the Policy Board
- Annual Work plan and Budget with harmonized budget categories.

The Administrative Agent will ensure consistency of the approved Joint Programme with the applicable provisions of the Standard Administrative Arrangements (SAA) entered between donors and the Administrative Agent, and the Memorandum of Understanding (MOU) between the Participating UN Organizations and the Administrative Agent.

Stage 3: Implementation

Table 6: Overview of Stage 3

Step	What?	Who?	Timeline
3.1 Initial funds transfer	Requesting fund transfer to the MDTF office	Secretariat	5 working days after receiving request
	Fund disbursement to the agencies	MTDF	
3.2 Inception phase	Inception workshop	Government+ focal points from the 3 agencies + country offices + civil society and IP representatives	Within 6 weeks of project launch
	Starting up activities	Government+ focal points from the 3 agencies + country offices	May begin prior to financial launch; continues until finalization of inception report
	Preparing and sending inception report to Secretariat	Government+ focal points from the 3 agencies + country offices	Within one month following inception workshop
3.3 Implementation	NP Implementation	Government+ focal points from the 3 agencies + country offices	2-3 years

Step 3.1: Initial funds transfer

Within five working days following receipt of the necessary documentation, the Administrative Agent shall release funds to the Participating UN Organizations, as set out in Section II of the Memorandum of Understanding for the [Multi-Partner Trust Fund](#).

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

Step 3.2: Inception phase

Stage 3 consists of an initial period known as the “Inception Phase”, during which a number of tasks are undertaken aimed at laying a complete management foundation for the substantive work to follow. Key factors for project teams to be taking into account and emphasizing during this stage are described below.

ESTABLISHING A PROGRAMME MANAGEMENT UNIT (PMU)

Establishing the PMU is the first priority of the Inception Phase. In general, the following steps need to be completed:

- **Recruitment of PMU staff:** This process begins with review and elaboration of the descriptions of programme staff contained in the NPD. Revised ToRs should be discussed and/or with the three agencies and the National Programme Director. In cases where UNDP is responsible for setting up the PMU, staff positions will be advertised by the local UNDP office. CVs of short-listed candidates for senior PMU positions, including national and international senior technical advisors, should be shared with FAO and UNEP, whose representatives may also be invited to participate in interviews. Staff will typically be issued with UNDP contracts. Since this overall process is time-consuming, all efforts should be made to commence the recruitment process as early as possible; for example, it may be possible at a minimum to advertise the positions and begin the selection process prior to gaining final signatures on the NPD. However, the programme document will need to be signed and the National Programme Director on board in order to finalize staff contracts.
- **Identification and preparation of office space for the PMU:** The PMU may be most conveniently located within the same location as the National Implementing Partner, assuming the latter has space

Box 4: Inception Workshop

The objectives of the Inception Workshop are to:

- Ensure that the Project Team and support structures have authority over and ownership of, the NP;
- ensure understanding of the NP’s goal, objectives and expected outcomes as well as roles and responsibilities of all involved parties;
- ensure full engagement of partners consulted in the previous stakeholders’ consultation phase;
- enable a clear understanding of the concept of Adaptive Management, including technical and administrative implementation procedures;
- discuss the project Results Matrix and implementation strategy and collect information for any required adjustments.

An internal session can be held as a one-day (or longer) meeting during the workshop or may take place anytime during the Inception Phase; the agenda can be adapted accordingly. In either case the following specific activities should be covered:

- (i) Detail the roles, support services and complementary responsibilities of UN Agency Country and Regional Office staff vis à vis the Programme Team;
- (ii) Provide a detailed overview of UN-REDD reporting and monitoring and evaluation (M&E) requirements;
- (iii) Provide an opportunity to inform the Project Team on UN Agency project related budgetary planning, budget reviews and mandatory budget re-phasing; and,
- (iv) Provide an opportunity for all parties to understand their roles, functions, and responsibilities within the project’s decision-making structures, including reporting and communication lines, and conflict resolution mechanisms as well as discussing again, as needed, the Terms of Reference (ToR) for project staff and decision-making structures.

available. This should be confirmed, and necessary steps taken to prepare and furnish the premises, as soon as possible during the inception Phase.

- Defining lines of reporting: It is important for clear staff reporting lines to be established during the Inception Phase. Within the PMU, staff will be under the overall supervision of the National Programme Director and PMU Manager. However, one concern raised in other NPs is that staff recruited by one Agency, e.g., the PMU manager or the International Technical Advisor (ITA), may be seen by NP partners as mainly serving that agency's needs. To avoid this, performance of the PMU manager and of the ITA should be reported on by each of the Participating UN Organizations through a matrix reporting system such as those created under other UN joint programmes.

ESTABLISHING A NATIONAL STEERING COMMITTEE

For each NP, a Programme Steering Committee (PSC) should be established and hold its first meeting during the Inception Phase. The PSC will serve as the primary in-country body for programme oversight. It will typically be jointly chaired by a representative of the Implementing Partner / Designated Institution and the RC or his/her representative. Additional members of the PSC should include: representatives of each Participating UN Organization; representatives of participating Governmental bodies, and; the National Programme Director, who will typically act as Secretary to the PSC. The PSC should meet on a quarterly basis during the first year of project implementation, and at regular intervals thereafter. PSC decisions should normally be reached by consensus. Its responsibilities should include the following:

- discussing and agreeing on details of harmonized implementation arrangements for the NP;
- reviewing and reacting to substantive developments in the REDD+ 'environment' at national and international levels during the period since pro-doc approval;
- agreeing on strategies for outreach and co-ordination with other REDD+ activities in country;
- agreement on financial management issues; and
- agreeing on any outstanding issues related to PMU staffing.

DEVELOPING PROCEDURES FOR INTEGRATED WORK PLANNING

The Inception Phase will normally offer the first opportunity for key players to sit together to develop a programme of work for the first quarter(s) and year of NP implementation. The project team should hold informal meetings to discuss and agree on these first work plans and on procedures for preparation of subsequent ones. Procedures to be followed for their preparation should be approximately as follows:

- Draft quarterly and annual work plans and budgets should be prepared—either by the PMU if relevant staff have been recruited or by one or more of the Participating UN Organizations—and shared with remaining NP team members prior to the meeting.
- The work plan and budget should be broken down by agency. Agency budgets should in turn be broken down as follows: (i) funds to be transferred to the national implementing partner; and (ii) funds which the PMU requests the Agency to administer directly. The latter are typically for recruitment of international consultants and international procurement of equipment and supplies.
- Based on discussions within the project team, the work plan and budget should be revised by the PMU and forwarded to the Agencies and to the PSC for their approval.
- Following PSC approval of the first quarterly and annual work plans, and signature by the PSC, each Agency transfers the amount specified for transfer to the PMU
- If circumstances indicate that an activity should be carried out, or expenditure incurred, that was not included in the current quarterly work plan and budget, the National Programme Director will seek the agreement of the responsible Agency.

ENABLING COUNTRIES TO EXERCISE OPERATIONAL AND FIDUCIARY RESPONSIBILITY FOR THE PROGRAMME

During the Inception Phase, NP teams should:

- review operational, management and financial responsibilities as outlined in the NPD, with an eye to the need to ensuring that national systems and national institutions are being used wherever possible; and
- ensure that a risk management approach is designed and well understood by project stakeholders.

RECRUITING INITIAL ROUND OF CONSULTANTS

- PMU prepares draft ToRs, and attaches them to the quarterly work plan and budget to allow the responsible UN Agency to review and comment, so that the ToRs can be mutually approved by the PMU and the Agency at the same time as the work plan and budget.
- In the case of international consultants, the responsible Agency advertises using its normal procedures, and prepares a short-list of candidates which is submitted to the National Programme Director for review and approval. Wherever possible, the Agency and the National Programme Director participate in interviews or any other assessment procedures to select the consultant. Finally, the Agency issues the contract.
- In the case of national consultants, the PMU advertises using the UN Agency procedures and prepares a short-list (or may request the responsible Agency to undertake the procedure on its behalf). PMU and UN Agency then participate in interviews or other assessment procedures to select the consultant. Finally, the PMU issues a contract (or the PMU may request the responsible Agency to issue the contract on its behalf).

SUPPORTING NATIONAL REDD+ NETWORKS, WORKING GROUPS AND SECRETARIATS

The Inception Phase offers, in general terms, an opportunity to take steps that do not necessarily involve major expenditures but can nevertheless have significant impacts. Where detailed studies are not required, certain policy changes may fall within this category. The establishment of REDD+ coordination mechanisms is one readiness measure that need not necessarily await the launch of a UN-REDD NP.

During the Inception Phase, NP teams should:

- briefly review national progress to date in establishing REDD+ co-ordination mechanisms;
- review and update the status of donor support to coordination mechanisms;
- re-validate support to development of co-ordination mechanisms, as described within the NPD;
- identify any urgent measures needed to support coordination mechanisms and, where possible, integrate these within initial quarterly and annual workplans: and
- ensure that existing coordination structures are being fully utilized by the NP team from the outset.

ENCOURAGING THE PARTICIPATION OF NATIONAL AND SUB-NATIONAL GOVERNMENT, CIVIL SOCIETY AND IP STAKEHOLDERS

To be successful, the REDD+ process needs to reach well beyond the level of national governments to involve sub-national and district level authorities. NPs that are working at pilot sites will have a logical entrée to sub-national levels of government. In addition, the participation of civil society organizations and indigenous peoples and other forest-dependent communities, as well as the private sector, is considered an essential element in the process.

During the Inception Phase, NP teams should:

- review the results of stakeholder consultations held during the formulation;
- review, discuss and update as necessary the participation strategy described in the NPD;
- ensure that relevant local government officials are consulted and engaged within the process, including in any inception workshops; and
- ensure that civil society, and in particular indigenous peoples and other forest-dependent communities, are represented and encouraged to participate in Inception Workshops and other discussions, in line with UN-REDD Programme guiding documents.

ENSURE COORDINATION WITH DONORS WITHIN THE SECTOR

During the Inception Phase, NP teams should consider undertaking the following actions with respect to coordination of donors with the forestry / REDD+ sector:

- make efforts to deepen the NP team's understanding of the sectoral context within which the programme will operate, including exchange, review and discussion of documentation, meeting with counterpart project teams, comparison of workplans;
- encourage a broader understanding of the UN-REDD Programme among the above-mentioned counterparts;
- take advantage of the UN Resident Coordinator's (RC) strategic role as leader of the UN Country Team. The RC / RC Office can play a key role by providing support related to co-ordination and/or programme advocacy. This may be particularly important in cases where roadblocks of various kinds may be preventing the NP from getting started in a timely and efficient manner; and
- during the Inception Workshop, provide an opportunity for donors and national institutions to present the latest details regarding recent and upcoming activities.

ENSURING MULTI-SECTORAL COORDINATION AND INTEGRATION INTO NATIONAL DEVELOPMENT STRATEGIES

During the Inception Phase, NP teams should:

- review the country's UNDAF thematic group structure in order to identify an optimal approach for integrating the UN-REDD Programme;
- make a preliminary identification of synergies with other ongoing development activities;
- help to ensure that key sectoral stakeholders, as defined by the relevant UNDAF thematic structure, are being kept fully informed of developments with respect to the UN-REDD Programme and REDD+ in general; and
- revalidate whether the NPD has fully identified processes and mechanisms for inter-sectoral coordination, including identifying new or changing opportunities for UN-REDD NPs to become fully integrated within national development processes.

Step 3.3 Implementation

REPORTING REQUIREMENTS AND RESPONSIBILITIES

In the implementation phase, the Participating UN Organizations are required to provide narrative and financial reports on results achieved, lessons learned and the contributions made to the National

Programme¹¹. All Programmes receiving funding from the UN-REDD Programme MPTF has the following reporting requirements in the implementation phase:

- *Narrative and financial progress reports (NP Semi-Annual Reports)* for each six-month period ending 31 June. Deadline for submissions will be communicated to the NP staff well in advance, and determined in dialogue between the MPTF Office and the UN-REDD Programme Secretariat based on the timing of the following Policy Board. Prior to submitting the report it should be co-signed by a selected focal point from each of the three Implementing UN Organizations, as well as the Government.
- *Narrative and financial progress reports (NP Annual Reports)* for each twelve-month period ending 31 December. Deadline for submissions will be communicated to the NP staff well in advance, and determined in dialogue between the MPTF Office and the UN-REDD Programme Secretariat based on the timing of the following Policy Board. Prior to submitting the report it should be co-signed by a selected focal point from each of the three Implementing UN Organizations, as well as the Government.

All reports are to be submitted to the UN-REDD Programme Secretariat (un-redd@un-redd.org) by the communicated deadline. These reports serve all UN-REDD Programme reporting needs, including those of the UN-REDD Programme's Administrative Agent, the MPTF Office. The MPTF Office submits all reports, including the consolidated reports, to the UN-REDD Programme Policy Board and the donors of the UN-REDD Programme MPTF account.

In preparing the NP reports, the responsibilities are as follows:

- *Participating UN Organizations* prepare and sign-off the reports, determining its own internal process as appropriate and nominate one or more reporting focal points per country. The focal points will report on activities managed at regional/headquarter level, request inputs from National Programme Manager(s), and sign-off the narrative reports before sending it to the UN-REDD Programme Secretariat.
- *The National Programme Manager(s)*¹² should complete the narrative reports, including the financial information, of the National Programme and request comments and clearance of the report from the Government Counterpart; and return the report to the focal points.
- *The Government Counterpart* shall provide additional and complimentary information, as well as sign the report.
- *The UN Resident Coordinator* shall support coordination of the Participating UN Organizations at the country level to ensure that the necessary information is provided.

¹¹ All reporting templates are available for download at the UN-REDD Online Workspace. For further guidance please refer to the National Programme Planning, Monitoring and Reporting Framework also available for download at the UN-REDD Online Workspace.

¹² For Final Reports, in case National Programme Managers have finalized their contracts, the UN organizations should assign responsibility to complete the report

- *The UN-REDD Programme Secretariat* will request and notify deadlines for all reports; monitor quality of the reports; deliver them to the administrative agent by uploading them to the MPTF Office Gateway; compile and disseminate the information on the implementation progress of National Programmes; and provide the Policy Board with updates on the implementation progress of the National Programmes every six months together with the MPTF Office.
- *The Administrative Agent* (MPTF Office) will prepare consolidated narrative progress and financial reports and statements, and will provide those consolidated reports to each donor that has contributed to the UN-REDD Programme MPTF account, as well as the UN-REDD Programme Policy Board.

MONITORING AND REVISION

Monitoring will focus on whether the Programme is achieving its stated actions and progress towards achieving stated results and will be done internally. As part of the monitoring functions, periodic reviews and rapid assessments of performance of activities under the UN-REDD Programme will be undertaken. Reviews may be requested by the country, the Participating UN Organizations or the REDD consultative bodies and/or partners in the country. The reviews are *ad-hoc* assessments of the performance of the National Programme and are conducted internally within the UN-REDD Programme. Also, as part of the global support functions of the programme, regional reviews of National Programme progress and publications of best practices may be initiated as part of the knowledge sharing between countries.

ANNUAL NARRATIVE REPORT

The *Annual Narrative Report* for the National Programmes, for each 12 months period ending 31 December (1 January-31 December), should be submitted to the UN-REDD Programme Secretariat no later than one month after the end of the applicable reporting period (31 January). Prior to submitting the report to the UN-REDD Programme Secretariat (un-redd@un-redd.org), the report should be co-signed by a selected focal point for each Participating UN Organizations, as well as be approved by the Government counterpart. For more background information, roles and responsibilities please refer to the *UN-REDD Programme Planning, Monitoring and Evaluation Framework Document*.

The National Programme report draws from your usual management tools (financial and technical) at the programme and national level to minimize the workload for programme teams. In addition, it establishes some generic thematic indicators that allow information to be aggregated and illustrate the contribution of the SNA to the National Programmes.

For more guidance regarding the annual narrative reports, please refer to the [Annual Narrative Report Template](#).

SEMI-ANNUAL REPORT TEMPLATE FOR THE NATIONAL PROGRAMMES

The *Semi-Annual Report* for the National Programmes, for each six months period ending 31 June (1 January-31 June), should be submitted to the UN-REDD Programme Secretariat no later than one month (31 July) after the end of the applicable reporting period. Prior to submitting the report to the UN-REDD

Programme Secretariat (un-redd@un-redd.org), the report should be co-signed by the selected focal point for each Participating UN Organizations, as well as the Government Counterpart. For more background information, roles and responsibilities please refer to the *UN-REDD Programme Planning, Monitoring and Reporting*

For more guidance regarding the Semi-annual narrative reports, please refer to the [Semi-annual narrative Report Template](#).

REVISING NPS

Procedures for making substantive revisions to NPs under implementation are as follows. Changes at the 'outcome' level of the Results Framework and changes to the agency allocations approved by the Policy Board require Policy Board approval. Such changes need to be submitted to the Secretariat for clearance and onward submission to the Policy Board before being signed at the country level. Substantial revisions may also require consultations with other stakeholders and possibly even re-validation if they are controversial.

MONITORING RISK

PMU staff will review the Risk Log. In the case of any risks for which the National Programme Director concludes that the risk status, or the probability or impact scores need to be amended, (s)he will recommend whether the existing Counter Measures/Management Response remain adequate or need to be amended also. The revised Risk Log will be sent to all Participating UN Organizations as soon as possible.

EXTERNAL COMMUNICATION

When developing communications products to support UN-REDD NP activities, this is the logo that should always be used:

UN-REDD
PROGRAMME



Various versions of the logo, including white-out versions, can be found in the following workspace folder: http://www.unredd.net/index.php?option=com_docman&task=cat_view&gid=496&Itemid=53.

When resizing the logo, the relative proportions/dimensions and colours of the logo should not be altered. To accommodate certain layouts (ie/ cover designs), it is permitted to separate the UN-REDD

Programme logo from the three agency logos on a given page. The UN-REDD Programme logo should only appear on materials that have been produced with funding from the UN-REDD Programme. Prior to launching materials that bear the UN-REDD Programme logo, review should be solicited from UN-REDD Programme staff, ideally from each of the three Participating UN Organizations. UN-REDD Programme staff should, in turn, ensure that the appropriate people internally have a chance to approve the use of the logo on the material.

On a yearly basis, corporate-level communications materials and tools are developed and made available on the global website (www.un-redd.org). Before UN-REDD Programme-branded material is developed at the National level, it is recommended that country focal points consult with the corporate communications focal point at the UN-REDD Programme Secretariat, to avoid the duplication of efforts and ensure branding is used in a consistent manner. This also creates the opportunity for national-level branded materials to be promoted through the various online communications channels used at the corporate level.

The UN-REDD Programme's corporate communications channels:

Website: un-redd.org

Collaborative workspace: unredd.net

Blog: unredd.wordpress.com

YouTube: youtube.com/unredd

Twitter: [unredd](https://twitter.com/unredd)

Facebook: UN-Redd Programme (FAO/UNDP/UNEP)

While the Programme's website (www.un-redd.org) is completely public, some sections of the Programme's collaborative online workspace (www.unredd.net) require a password to access and share information. To become a member of the UN-REDD Programme workspace, please contact admin@unredd.net.

Information given to the press, to the beneficiaries of the UN-REDD Programme, all related publicity material, official notices, reports and publications, shall acknowledge the role of the UN-REDD Programme donors, the UN Agencies, and any other relevant parties. Whenever possible and to the extent that it does not jeopardize the privileges and immunities of UN Agencies, and the safety and security of their staff, UN Agencies will promote donor visibility on information, project materials and at project sites, in accordance with their respective regulations, rules, policies and procedures.

Stage 4: Closing a National Programme

REPORTING REQUIREMENTS WHEN CLOSING A PROGRAMME

All Programmes receiving funding from the UN-REDD Programme MPTF has the following reporting requirements¹³ upon closing a National Programme:

- *Final narrative and financial report (NP Final report)* after the completion of all National Programme activities financed from the UN-REDD Programme MPTF. Deadline for submissions will be communicated to the NP staff well in advance, and determined in dialogue between the MPTF Office and the UN-REDD Programme Secretariat based on the timing of the following Policy Board. Prior to submitting the report it should be co-signed by a selected focal point from each of the three Implementing UN Organizations, as well as the Government.
- *Final certified financial statement*, to be provided no later than 30 June of the year following the financial closing of Project activities.

The responsibilities for preparing the report are the same as described for the NP implementation phase reports (see Section 3.2: Implementation). In case National Programme Managers have finalized their contracts, the UN organizations should assign responsibility to complete the report. The NP final report and the final certified financial statement serve all UN-REDD Programme reporting needs for closure of a Programme, including those of the UN-REDD Programme's Administrative Agent, the MPTF Office. The MPTF Office submits all reports, including the consolidated reports, to the UN-REDD Programme Policy Board and the donors of the UN-REDD Programme MPTF account.

EVALUATIONS

All programmes supported by the UN-REDD Programme MDTF will undertake a *final evaluation* which will assess the relevance and effectiveness of the intervention, and measure the development impact of the results achieved, on the basis of the initial analysis and indicators described at the time of programme formulation. The UN-REDD Programme Secretariat is responsible for preparing Terms of Reference for the National Programme final evaluations, ensuring its compliance with the MoU and the policies and procedures of each of the implementing UN Agencies. The budget for final evaluations should be included in the National Programme budget.

The overall UN-REDD Programme will be externally evaluated every two to three years.

A FINAL NATIONAL PROGRAMME NARRATIVE AND FINANCIAL REPORT,

After the completion of all National Programme activities financed from the UN-REDD Programme MPTF, to be provided no later than 30 April of the year following the financial closing of National Programme activities (See the National Programme [final reporting template](#))

¹³ All reporting templates are available for download at the UN-REDD Online Workspace. For further guidance please refer to the National Programme Planning, Monitoring and Reporting Framework also available for download at the UN-REDD Online Workspace.

A FINAL CERTIFIED NATIONAL PROGRAMME FINANCIAL STATEMENT,

This is to be provided no later than 30 June of the year following the financial closing of Project activities.

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

The UN-REDD Programme will use existing monitoring and evaluation tools from the UN-REDD Programme agencies in the context of results-based management (RBM). The purpose of the monitoring and evaluation will be to ensure that the UN-REDD Programme's expected results are achieved and that timely feedback is provided to assist in decision making.

To be sustainable, monitoring and evaluation systems and tools that the UN-REDD Programme adopts will be characterized by low maintenance and low cost systems, flexibility to respond to different information needs and accessibility to information. It will be a combination of formal systems such as databases and performance contracts, and more informal feedback from countries and the Policy Board. To facilitate monitoring and evaluation, the Secretariat has the responsibility to ensure that the UN-REDD Programme is implemented effectively.

At the Programme level, monitoring and evaluation will be achieved through a variety of ways. Monitoring will focus on whether the Programme is achieving its stated actions and progress towards achieving stated results and will be done internally. As part of the monitoring functions, periodic reviews and rapid assessments of performance of activities under the UN-REDD Programme will be undertaken.

The UN-REDD Programme will commission independent and rigorous evaluations on completed and on-going activities to determine whether they are achieving stated objectives and contributing to decision making. The overall Programme will be externally evaluated every two to three years.

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*Empowered lives.
Resilient nations.*



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