



Draft Monitoring Framework for the Support to National REDD+ Action 2013-2014

UN-REDD PROGRAMME TENTH
POLICY BOARD MEETING

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Draft Monitoring Framework for the Support to National REDD+ Action 2013-2014

Outcome 1: REDD+ countries have systems and capacities to develop and implement MRV and monitoring

Outcome level (2013-2014)	Indicators	Baseline	Target	Means of Verification	Risks	Assumptions
	Number of countries with enhanced institutional arrangements to meet monitoring and measurement, reporting and verification functions for REDD+, including institutions with capacities and information to meet reporting requirements of UNFCCC in relation to REDD+	12-13 countries are starting to establish comprehensive monitoring approaches, with capacities and information base at different levels in almost all REDD+ countries	By 2014, all REDD+ countries receiving support from the UN-REDD Programme have taken steps to enhance institutional arrangements for ensuring monitoring and MRV functions for REDD+ are carried out, and have measurably enhanced their capacities and information base	- Evaluations of UN-REDD Programme outcomes - Progress reports on country REDD+ strategies - Evaluations of monitoring training and knowledge sharing by country institutions' staff - Assessments of country monitoring approaches	- Sufficient level and quantity of international expertise not available (medium risk) - International expertise fails to converge on monitoring approaches and framework (medium risk) - Countries do not sufficiently incorporate REDD+ monitoring in broader development contexts (medium to high risk) - Monitoring approaches and strategies are insufficiently connected to the needs of policy processes, and/or policy processes fail to incorporate knowledge and information from REDD+ monitoring (high risk)	

Draft Monitoring Framework for the Support to National REDD+ Action 2013-2014

Outputs	Indicators (Specific, Measurable, Achievable, Realistic and Timely)	Baseline (in 2012)	Target by the end of 2014	Means of verification	Risks	Assumptions
Output 1.1: Activities, tools and methods for MRV and Monitoring are developed at country level.	Number of UN-REDD countries benefitting from training and support in developing, sharing and applying tools and methods, for developing NFMS and related MRV.	13 countries have built capacity to different levels through training for developing NFMS and implementation of MRV.	By 2014, 17 UN-REDD countries and 20 UN-REDD partner countries that have received technical support to develop sufficient tools, methods and guidance for REDD+ monitoring by the UN-REDD Programme and partners have improved their capacity to implement their own MRV systems.	• An assessment of countries' MRV capacity and the needs/ gap remaining • Technical papers and reports from training • Workshops • Website • Datasets compiled • Analysis compiled	• High staff turnover of those in the countries who have been trained leads to loss of institutional memory	• Country level human resources are sufficient to benefit from support.
Output 1.2: Country-level capacities to implement monitoring and MRV functions are developed.	Number of UN-REDD countries and institutions demonstrating enhanced capacities on developments to meet UNFCCC requirements in relation to the establishment of NFMS, MRV issues and GHG inventories.	12 UN-REDD member countries have received training support on NFMS and REDD+ MRV, including national GHG inventories and all countries have produced at least one National Communication, including a GHG inventory	By 2014, a total of 22 countries have incorporated the knowledge and skills developed during UN-REDD Programme activities on the various components of NFMS and MRV issues, including GHG inventories. This includes support on data collection, analysis for forest inventories and monitoring methods, MRV action plans, and development of NFMS.	• National Communications and Biennial update reports, including GHG inventories, submitted to UNFCCC; • National documents, reports, plans (All of these should be produced through country-led processes and institutional arrangements.)	• REDD+ specific GHG inventory work may not be linked up to broader GHG inventory work in the country depending on the effectiveness of institutional arrangements • High staff turnover of those in the countries who have been trained leads to loss of institutional memory	• Country level human resources are sufficient to demonstrate capacity built by producing their own MRV materials.

Outcome 2: Credible, inclusive national governance systems are developed for REDD+ implementation

Outcome level (2013-2014)	Indicators	Baseline	Target	Means of Verification	Risks	Assumptions
	Percentage of REDD+ strategies, roadmaps or phase 2 documents that have been developed inclusively and have proposed robust legal, institutional and fiduciary arrangements ¹ .	The UN-REDD Programme has been actively involved in the development of only two phase 2 proposals (Viet Nam and DRC), while assessments on the robustness of governance sections of existing national REDD+ strategies have not been conducted systematically. ²	By 2014, 50% of strategies, roadmaps or phase 2 documents supported by the UN-REDD Programme are deemed robust on governance and have been developed inclusively	- External assessments of REDD+ strategies, roadmaps or phase 2 documents, if they exist - Assessment by the UN-REDD Programme of such documents - Survey of national stakeholders on inclusiveness of strategy development process	Political: Efficiency and effectiveness during policy implementation is prioritized at the expense of equitable management of REDD+ policies and measures (safeguards) Social: the design of REDD+ policies is influenced by existing powerful actors; institutional frameworks rely on champions rather than structural processes Operational: Phase 1 of the readiness process takes longer than expected	

¹ As per the guiding framework of the UN-REDD Social and Environmental principles and Criteria (SEPC), adopted by the UN-REDD Programme Policy Board. For fiduciary arrangements, evaluation tools include the UNDG harmonized Approach to cash transfer and the upcoming MPTF fiduciary assessment tool, and as well as other standards such as the Public Expenditure and Financial Assessment (PEFA).

² We welcome any information on this from our Policy Board members

Outputs	Indicators (SMART)	Baseline (in 2012)	Target by the end of 2014	Means of verification	Risks	Assumptions
Output 2.1: Nationally owned credible and inclusive systems of analysing, assessing and addressing governance challenges and collecting and sharing governance data	a. No. of UN-REDD countries that have undertaken Participatory Governance Assessments (PGAs) – that provide analyses that form the basis for addressing governance challenges – or have a systematic way of providing and updating governance data related to REDD+, and have incorporated governance recommendations into their REDD+ planning processes. b. No. of countries where the PGAs feed into relevant parts of the national Safeguards Information System. c. No. of countries that have prepared for PGAs with initial analyses	a. The PGA for REDD+ is initially piloted in 4 UN-REDD partner countries. Most other UN-REDD countries lack a coherent plan to address governance issues related to their REDD+ strategy, and rarely collect and disseminate governance data on a regular basis. b. Of these countries, none has to date integrated the results in the safeguards information system c. There usually is distrust with governance data presented to civil society and local communities produced by government actors and vice versa. Currently, national Safeguards Information Systems are poorly developed, if at all, and governance data to include is scarce	a. The 4 countries piloting PGAs for REDD+ have developed and incorporated governance recommendations b. 4 countries feed PGAs into relevant parts of the national SIS c. At least 3 new PGAs are initiated.	a. National planning documents b. National Safeguards Information Systems/ reports a-d. National REDD+ strategies, policies and action plans a-d. National UN-REDD Programme documents (and other UN-REDD supported plans describing activities in the countries) a-d. NGOs campaign materials referring to the results of PGAs	- Political will is lacking within countries to undertake governance reform that provides prospects for effective REDD+ implementation. - Distrust exists between civil society actors and local communities on the one hand and government actors on the other may jeopardize the collaboration “Participation fatigue” by civil society actors and local communities jeopardizes actors willingness to initially join the PGA process	- Commitment to governance reform by countries is sufficient for them to participate fully in analyses and the PGA for REDD+, and to initiate the necessary reform. - Capacity exists or can be built within countries for analysing and addressing governance challenges during the reporting period. - Governance data resulting from joint decisions on priorities and methodology, extensive rounds to ensure the validity of the data is more likely to be seen as credible and robust than data results which are merely being presented to relevant stakeholders - Involvement in the process of analyzing the governance situation and proposing recommendations for reform, and getting data to

						support this, creates an ownership with the involved stakeholders for further follow-up
Output 2.2: National implementation of REDD+ readiness strengthened through National Programme support. ³	a. % of countries with a National Programme or with targeted support that have requested technical and policy backstopping support that actually receive it b. % of countries without a National Programme or targeted support receiving initial support (= at least one technical or advisory mission).	a. Close to 60% of countries that have requested assistance have received it through in-country UN-REDD or joint missions. b. 70% of REDD+ partner countries without a National Programme have benefited from at least one technical or advisory UN-REDD mission.	a. 80% of countries that have requested assistance that actually receive it b. 80% of countries without a National Programme receiving at least one technical or advisory mission	a. Reports on targeted support under the SNA b. Mission reports	Delivery rates affected by external factors – such as political changes or as a result of the UNFCCC negotiation process	Capacity exists or can be strengthened to take up National Programme workplans
Output 2.3: Forest related Legal Frameworks analyzed and strengthened for implementing REDD+ programmes and strategies at country level	a. Number of UN-REDD countries that have assessed their legal frameworks for forests and land for implementing REDD+ programmes and strategies. b. Number of UN-REDD countries enacting legal reforms for implementing REDD+	a. 5 countries have received UN-REDD legal advice and targeted legislative support for the implementation of REDD+ at the country level, but have not acted to analyze or strengthen legal frameworks. b. UN-REDD countries are in the very early stages of enacting legal reforms	a. By 2014, at least 8 countries have acted to analyze and strengthen legal frameworks for implementing REDD+ and strategies at the country level. b. At least 3 countries have enacted legal reforms necessary for implementing REDD+	a. Implementation reports, b. Agreement documents by countries b. Legal reforms enacted	Political obstacles prevent legal reform	- National legal frameworks are sufficiently transparent to analysis - Political will exists for analysis and necessary change of legislation

³ As per the Support to National REDD+ Action Budget and workplan 2013-2014, this includes policy and technical advisory services to support the development and implementation of National Programmes, advisory services for UN-REDD partner countries initiating readiness processes (such as the development of REDD+ readiness roadmaps), quality assurance functions for National Programmes and targeted support, and facilitation of south-south knowledge exchange and regional dialogue between UN-REDD countries.

Output 2.4: National capacity for performance based payments and inclusive benefit distribution systems (BDS)enhanced.	a. No. of UN-REDD countries that have appropriate, well-defined financial structures (national REDD+ plans or other mechanisms) to manage REDD+ funding according to the priorities of the REDD+ strategy and to international standards b. No. of countries that have defined Benefit Sharing Systems (including non-cash positive incentives) in accordance with UN-REDD criteria (equity, transparency, inclusive process, grievance mechanism).	a. Two UN-REDD countries (Viet Nam and DRC) are proceeding to the design phase of a national financial architecture. b. Although work has been done to develop a benefit sharing system and some existing systems can be adapted (e.g. Ecuador, Vietnam, Costa Rica, Mexico, Indonesia, DRC), no UN-REDD country has a finalized or piloted a national BDS for REDD+.	a. At least 5 countries have well defined financial structures to receive and manage REDD+ funding b. At least 5 countries have defined benefit sharing systems for sharing REDD+ finance.	a-b. National REDD+ Strategies,Action plans or other Government policies that lay out a well defined financial structure or benefit sharing system for REDD+ funding.	- Financial management systems in countries are not sufficiently robust, flexible or transparent to permit the development of a payment system acceptable according to international standards - Similar constraints exist for the development of effective BDS	REDD+ strategies will progress sufficiently to start defining BDS in detail
Output 2.5: Policies and measures related to sustainable forest management are identified and promoted at national level.	Number of UN-REDD countries implementing and promoting improved sustainable management practices in the forest in the context of addressing mitigation and adaptation.	While some work has been initiated, no UNREDD Programme countries have implemented SFM in the context of REDD+.	By 2014, 3 countries have implemented and promoted improved sustainable management practices in the forest in the context of addressing mitigation and adaptation, as well synergies between REDD+ and FLEGT.	- New government policies or practices by government and civil society to promote sustainable management of forest - progress report in the implementation of the VGs.	Competing economic Incentives, Including External Markets, Work Against sustainable forest management	Capacity exists within relevant government agencies to enact and implement SFM policy
Output 2.6: Corruption risks in REDD+ are assessed and managed	a. No. of UN-REDD countries that finalize corruption risk assessments and political economy analyses, and capacity development plans for mitigating risks b. No. of countries that integrate the results of risk assessments and	a. Eight UN-REDD countries have initiated corruption risk assessments as part of their PGA or specific targeted support while one (Viet Nam) has a developed proposal to counter corruption in its phase 2 proposal;	a. Twelve countries, finalise corruption risk assessments and capacity development plans b. The same number as in (a.) integrate results of corruption risk assessments and capacity development	a. Corruption Risk assessment reports a. Capacity development plans b. REDD+ national strategies b. National UN-REDD Programme documents	Powerful interests influence the results of the assessments or minimize the breadth or reach of the actions proposed	Sustainable partnerships can be fostered between national REDD+ teams, civil society organizations and anti- corruption bodies to carry on the efforts

	capacity developments in their national REDD+ strategies, roadmaps or national UN-REDD programmes.	b. No countries have reflected anti-corruption in national UN-REDD Programmes documents.	plan in their readiness activities.			
Output 2.7: Institutional capacity for land tenure (with a view to also address drivers of deforestation and forest degradation) is strengthened	Number of UN-REDD countries increasing capacity on governance of land tenure to defined/ agreed level.	Capacity development for governance of land tenure has only just begun in UN-REDD countries.	By 2014, 3 countries have increased capacity on governance of land tenure to defined/ agreed level.	• Minutes of meetings held to promote guidelines and documents. • National guidelines • National workplans and meeting reports	• Opposition by powerful interests to land tenure reform	• Capacity and political will exists for land tenure reform
Output 2.8: REDD+ strategies are gender sensitive and women participate effectively in national REDD+ systems.	a. Number countries that integrate activities to strengthen women's effective participation and decision making into their UN-REDD national programmes, work plans, national REDD+ strategies and other UN-REDD supported activities b. Number of countries that use tools, such as gender analysis, gender sensitive monitoring and evaluation, and gender responsive budgeting to ensure that their UN-REDD national programmes, workplans, national REDD+ strategies and other UN-REDD supported activities are gender sensitive	a. Approximately 2-4 countries have undertaken significant UN-REDD supported activities to strengthen women's effective participation and decision making in REDD+ readiness processes b. Knowledge and evidence based data on gender issues for REDD+ is scarce but more attention is being given to the issue than in earlier years.	a. At least 6 countries, including 2 countries through receiving targeted support, have integrated gender equality principles and women's empowerment activities in their national REDD+ systems, and other UN-REDD supported activities. b. 6 countries use gender analysis tools to ensure that their national REDD programmes and other UN-REDD supported activities are gender sensitive	a-b. National REDD+ Strategies and Action Plans a-b. UN-REDD quarterly and annual work plans a-b. UN-REDD semi-annual and annual reports, a-b. Other reporting and monitoring, websites and publications. b. Local or national Gender Analysis for REDD+	• Evidence base could prove hard to develop in many countries • Social resistance to gender equality in participation and decision making	• Political will exists for enhancement of gender equality

Outcome 4: Indigenous Peoples, local communities, civil society organizations and other stakeholders participate effectively in national and international REDD+ decision making, strategy development and implementation

Outcome level (2013-2014)	Indicators	Baseline	Target	Means of Verification	Risks	Assumptions
	Number of IP, local communities CSO and other stakeholder organizations represented in REDD+ decision making, strategy development and implementation at the national and international level.	National-level and international-level representation of IP and CSO stakeholder organizations is mentioned in the NPDs of X ⁴ UN-REDD Programme countries, and implementation has begun.	By 2014 there will be 20% increase in representation of IP and CS stakeholder organizations in national and international fora and REDD+ processes for decision making, strategy development and implementation.	- Policy Board and international meeting reports - UN-REDD National Programme annual reports and evaluation reports	- Countries unwilling to support participation of stakeholders - IP, local communities, CSOs and other stakeholders refuse to participate in REDD+ readiness - IPs lack legal and political recognition in some countries	- National governments will be willing to engage meaningfully with IP and civil society stakeholders as per national and international rights-based instruments - The majority of key IP and civil society stakeholders will continue to engage with UN-REDD Programme activities.
Outputs	Indicators (SMART)	Baseline (in 2012)	Target by the end of 2014	Means of verification	Risks	Assumptions
Output 4.1: Indigenous Peoples, local communities, civil society organizations, and other relevant stakeholders are informed of national and international REDD+ processes, policies and activities.	a. %increase of relevant UN-REDD stakeholder organizations at the international level who have benefitted from REDD+ informing activities, such as workshops and training b. %increase of relevant stakeholder organizations at the national level in partner countries with UN-REDD National Programmes who have been fully informed of REDD+ through	a. Approximately XX⁵ relevant stakeholder organizations at the international level have been included in REDD+ informing activities a. X number of relevant stakeholder organizations at the national level in partner countries with UN-REDD National Programmes of	a. 20% increase in key international and regional indigenous peoples and civil society networks involved in international processes that have been informed on REDD+ through workshops and training. b. 20% increase in indigenous peoples and civil society organizations or networks at the national level that are fully informed on REDD+ in each country with a UN-	a-b. REDD+ information workshop reports a-b. Participant lists for similar training events a-b. Post workshop evaluations of stakeholder knowledge	There are social obstacles at national level for inclusion of indigenous groups in UN-REDD programmes.	Most stakeholder will be open to engaging

⁴ Baseline number for this Outcome is in the process of being confirmed

⁵ Baseline numbers in this and other Outputs under Outcome 4 are in the process of being confirmed.

	Programme activities.	targeted support activities that have been fully informed of REDD+ through Programme activities.	REDD National Programme.			
Output 4.2: Principles, guidelines and procedures for stakeholder engagement in national and international REDD+ processes developed through inclusive consultation	Number of guidelines and tools made available to UN-REDD countries in the appropriate format.	Joint FCPF/UN-REDD Stakeholder Engagement Guidelines have been developed.	At least one other set of guidelines covering the key issues of FPIC and/or grievance and accompanying tools is available for all countries receiving direct support from the UN-REDD Programme in key languages.	• Documentation of guidelines and tools • Documentation of the process by which they were developed, in UN-REDD publication(s)	• Capacity constraints prevent completion of the documents/ tools.	• It will be possible to reach a mutual consensus on standards and principles for stakeholder engagement • Staff and funding resources are available to UN-REDD personnel to undertake participatory drafting of the documents.
Output 4.3: Implementation of effective stakeholder engagement practices and guidelines supported in REDD+ countries	a. % of partner countries that have workplans, national REDD+ strategies and other UN-REDD supported activities that demonstrate uptake and application of stakeholder engagement guidelines, and associated tools, including FPIC and grievance procedures . b. % of partner countries that have activities to support the implementation of FPIC	a. The joint FCPF/UN-REDD Stakeholder Engagement Guidelines are being applied in X⁶ countries in the development and implementation of National Programme and R-PPs, but not applied systematically. b. X%⁷ of partner countries have activities to support FPIC and grievance	a. At least 60% of countries with UN-REDD National Programmes or Targeted Support have activities to support the implementation of the joint FCPF/ UN-REDD Guidelines on Stakeholder Engagement, FPIC and grievance. b. At least 20% of countries with UN-REDD National Programmes have activities to support the implementation of FPIC and grievance	a-b.National Programme and R-PP documents including REDD+ stakeholder engagement/participation strategies a-b.National annual and semi-annual reports a-b.Activity reports and documents	• Countries lack the resources to implement fully the recommendations in guidelines. • Political/ social obstacles to full implementation of some guidelines, such as FPIC and grievance procedures. • Activities originating before relevant guidelines were developed cannot be retrospectively	• Governments agree to support the application of standards and principles included in the guidelines that are developed

⁶ This value needs to be estimated.

⁷ This value needs to be estimated.

	and grievance				brought up to standard in the timeframe of the National Programme/R-PP funding	
Output 4.4: Stakeholders are supported to engage in and influence national and international REDD+ processes	a. % of countries with UN-REDD National Programmes that have effective engagement mechanisms (such as stakeholder fora, technical working groups, or steering committees with decision-making roles) that have been developed inclusively. b. % increase in stakeholder organizations supported by the UN-REDD Programme to participate in international REDD+ processes.	a. X⁸ countries with longer running National Programmes have developed stakeholder engagement plans, and/or have national level decision making mechanisms that include key stakeholders, and have piloted stakeholder engagement activities b. Over 150 indigenous peoples and civil society representatives, from X networks/ countries participate⁹ in key regional and international REDD+ processes and meetings over 2011-2012, including Policy Board meetings.	a. At least 80% of countries with UN-REDD National Programmes have concrete mechanisms to support the inclusion of stakeholders in national REDD+ processes, including representation on Steering Committees with decision-making roles. b. 20% increase in stakeholders from regional and international networks for indigenous peoples and civil society that have participated in international REDD+ processes.	a. National Programme and R-PP documents, including REDD+ stakeholder engagement/participation strategies a. National REDD+ annual and semi-annual reports b. Reports and minutes from global REDD+ meetings a-b. Inputs submitted by IP and CSO stakeholders are reflected in formal statements, work plans, technical notes and similar official REDD+ documents..	• IPs, local communities, civil society organization and other relevant stakeholders refuse to participate in national and international REDD+ readiness • Political/ social obstacles to full engagement in some REDD+ processes	• Resources are available to support participation by IPO and CSO members in national and international processes • IPOs and CSOs have the human resource capacity for this participation; training needs have been assessed and implemented.

⁸ This value needs to be estimated.

⁹ This value needs to be estimated. it would be useful to qualify "participation". It can be done in the next stages of this exercise

Output 4.5: Private sector engagement in REDD+ readiness and broad stakeholder consensus on private sector engagement is built	Number of UN-REDD partner countries with (i) specific plans for private sector engagement developed through a consultative process.	The UN-REDD Programme has not supported any countries on the formal engagement of the private sector as part of REDD+ planning.	Three countries with work plans for how to engage the private sector that has been developed from a series of active engagement with key sections of the private sector and a broad range of relevant stakeholders.	National workplans for private sector engagement, signed public-private partnership	• The private sector is not a homogenous sector and in some countries may be too weak for it to play a significant role, or too powerful for there to be stakeholder consensus over its role.	• Private sector is interested in engagement in the REDD+ process. • It is possible to achieve broad stakeholder consensus on the role to be played by the private sector.
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Outcome 5: Safeguards are addressed and respected and multiple benefits of REDD+ are realized

Outcome level (2013-2014)	Indicators	Baseline	Target	Means of Verification	Risks	Assumptions
	Number of countries having frameworks or roadmaps for addressing and respecting safeguards minimizing social and environmental risks and enhancing benefits, taking into consideration the UN-REDD social and environmental principles and criteria as a guiding framework.	Beyond initial design considerations, there is limited evidence that countries have comprehensive roadmaps or approaches in place to address and respect safeguards	By 2014 at least 4 UN-REDD Programme partner countries have frameworks or roadmaps for addressing and respecting safeguards.	Published regulations and other policy documents; web platforms providing stakeholders information on safeguards; proceedings or reports of safeguards workshops and consultations.	• Non-market, benefits of forests are ignored, despite their critical economic and ecological importance • Land-use and forest management decision-making remains narrowly sectoral	• Based on demand, there is a need to develop, within a national a REDD+ strategy explicit measures to assure the flow of multiple benefits from forests under REDD+ • Future negotiations on REDD+ continue to recognize that forests under REDD+ need to deliver multiple benefits • Payments for forest ecosystem services receive more attention.
Outputs	Indicators (SMART)	Baseline (in 2012)	Target by the end of 2014	Means of verification	Risks	Assumptions
Output 5.1: Countries make use of tools, guidance and support to develop approaches to capture multiple benefits	a. Number of UN-REDD partner countries utilizing multiple benefits tools and analyses to inform their REDD+ decision-making. b. Number of new countries undertaking analysis of multiple benefits utilizing tools and assessments	Although six countries have begun multiple benefits assessments, the results have yet to be incorporated in REDD+ strategies and decision-making Note: Tools and guidance have been developed focusing on mapping, impacts of different REDD+ actions on multiple benefits, and monitoring of these; and on application of SEPC to programme and strategy development. These have been applied to different extents in some countries	a. At least 5 countries have which have started using multiple benefits tools and analyses, incorporate the results into REDD+ decision-making. b. At least 5 new countries undertake analysis of multiple benefits utilizing tools and assessments	a-b. National annual and semi-annual reports a-b. Mission reports a. National REDD+ strategies b. Guidelines for the selection of pilot projects b. Phase 2 proposals	• Countries become concerned solely with the carbon value in forests and lose interest in the assessment of multiple benefits	• It will be possible for countries to reach consensus on safeguard policy frameworks within which multiple benefits can be taken into account • National REDD+ decisions-making and planning advances within the timeframe

		(Indonesia, Bhutan, DRC, Tanzania, Nigeria, and Ecuador). Economic valuation of ecosystem services and spatial decision support tools are in early application.				
Output 5.2: Countries make use of support to develop approaches to address and respect safeguards	a. Coordinated, participatory framework on social and environmental safeguards and the relevant tools and support, is available to partner countries from the UN-REDD Agencies. b. Number of UN-REDD partner countries that have developed a national approach to safeguards.	a. UN-REDD Programme coordinated approach is fully defined but requires further consideration of the roles of and linkages between relevant tools and support, both UN-REDD and those of external initiatives. b. 4 countries with NPs are working on national approaches to safeguards (Indonesia, Ecuador, DRC, Philippines), supported to varying degrees by UN-REDD tools	a. A framework for national approaches to safeguards has been developed in a consultative process by the UN-REDD Programme b. At least 6 countries have adopted measures to address and respect safeguards, guided by a clear and flexible approach developed by the UN-REDD Programme.	a. UN-REDD and UN agency policy documents and communications materials. a-b. UN-REDD Semi-Annual and Annual Reports b. Draft national action plans on safeguards b. UNFCCC submissions by the partner countries on safeguards	Changes in priorities at the national or international level result in difficulties to finalize safeguard approaches.	- It will be possible for countries to reach consensus on key REDD+ safeguards - Information will be shared effectively across institutions, with good collaboration between national government agencies
Output 5.3: Countries make use of support to provide information on how safeguards are addressed and respected	Number of UN-REDD countries in which there is a clear design process outlined for the national safeguard information system and there is progress with implementation.	Initial scoping and consultations for safeguard information system designs have begun but there are no UN-REDD countries where the process has been taken further.	At least 4 countries have outlined a design for a SIS and are in the process of implementing it.	- Documentation of SIS design process in National REDD+ Strategies - Summary of information on safeguards included in the first biennial update report in 2014, if applicable - UNFCCC submissions by countries on safeguard information systems.	Capacity for designing and implementing a SIS is limited.	Information will be shared effectively across institutions, with good collaboration between national government agencies

Outcome 6: Green economy transformation and REDD+ strategies and investments are mutually reinforcing

Outcome level (2013-2014)	Indicators	Baseline	Target	Means of Verification	Risks	Assumptions
	Number of national or sub-national development strategies that recognize REDD+ based investments as a means for transformation, and number of investment agreements based on forest multiple benefit investment options.	Development strategies have not reached the point of recognizing REDD+ based investments as a means for transformation, nor have multiple-benefit investment agreements.	By 2014, three UN-REDD Programme country strategies recognize REDD+ based investments, with at least three investment agreements recognizably based on multiple benefit investment options	- Relevant policy instruments, strategies and plans - Investment agreements (FIP, MDBs, bilateral investors, etc.)	- Economic or ecological shocks force the search for short term coping solutions, rather than long-term solutions for development, mitigation and adaptation. - National investment plans are narrowly sectoral and continue to ignore 'externalities' - Best evidence and practice related to the use of discount rates continues to be ignored - Political economy of destructive forest uses remains unchanged	- In 2011 a number of countries have identified 'low carbon development' trajectories or 'green economy' goals, less than five of these have explicitly linked such outcomes to a pivotal role for REDD+ - REDD+ continues to be a viable instrument for investments in climate change mitigation, and generates a significant level of public sector funding
Outputs	Indicators (SMART)	Baseline (in 2012)	Target by the end of 2014	Means of verification	Risks	Assumptions
Output 6.1: A strong business case for REDD+ is made	a. Number of case studies and UN-REDD country reports of investment opportunities and challenges for REDD+. b. Global report on the 'investment case' for REDD+ in multi-functional landscapes¹⁰	a-b. No case studies or country reports explicitly about the investment case for REDD+ have been undertaken by the UN-REDD Programme.¹¹ (Note: Initial work is being undertaken to analyze forest-related investment opportunities; however	a. At least 5 case studies and country reports, prepared in collaboration with partner countries to identify investment opportunities and challenges. b. At least one, peer-reviewed and published global report on the investment case for REDD+	a. Completed case studies and country reports a. Mission reports b. Global report	Waning interest in some countries and concerns on what REDD+ can deliver	Investment opportunities relevant for REDD+ can be identified and demonstrated.

¹⁰ These indicators may not denote the strong business case for REDD+. Further elaboration required.

		given waning interest in some countries and concerns on what REDD+ can deliver, this work will advance knowledge and identify opportunities only in specific countries in the forest and related land use sectors.)				
Output 6.2: Countries develop investment options and strategies for REDD+, with technical advice provided	a. Guidance on integration of REDD+ and development planning has been developed in a participatory process with the UN-REDD Programme and partner country governments. b. Number of countries where clear inter-agency strategy is elaborated on links between different outputs and the green economy work area.	a. UN-REDD guidance is currently based on draft, internal documents, with limited piloting in partner countries. b. There are two countries where REDD+ strategies make links to national development planning but implementation is yet to begin.	a. UN-REDD guidance produced through a participatory process with at least 5 countries on integration of REDD+ and investment for development planning. b. At least 3 countries where REDD+ strategies are implemented, with explicit links, using developed UN-REDD guidance, between REDD+ and development planning, particularly in relation to green economies and poverty reduction strategies	a. UN-REDD strategy documents b. National REDD+ strategy documents b. Annual reports	Most REDD+ strategies make links to national development planning, but they are normally very general statements.	There is political will to mainstream REDD+ and sufficient cross-sectoral coordination
Output 6.3: Countries make use of technical advice and support to develop transition strategies for addressing drivers of deforestation and forest degradation in the context of a green economy.	a. No. of UN-REDD countries with transition strategies based on addressing drivers of deforestation and forest degradation in the	a. Although initial work has begun, no UN-REDD countries with full transition strategies. b. 2 countries provided with initial technical support on concepts	a. Two UN-REDD Programme countries with transition strategies based on addressing drivers of deforestation and forest degradation in the context of a green	a. Draft national transition strategies a. National development strategies b. Mission reports	National economic and development planning lacks the capacity or will to develop cross-sectoral transition strategies that will address drivers of	- National governments support the green economy development paradigm - Ministers and sectors relevant to drivers of deforestation are

¹¹ Need to confirm if this baseline is accurate.

	context of a green economy. b. No. of additional countries requesting and receiving technical support on the drafting of transition strategies based on drivers in the context of a green economy	and initial brainstorming on transition strategies based on drivers in the context of a green economy	economy. b. Support requested by and provided to 3 additional countries to initiate transition strategies based on drivers in the context of a green economy		deforestation.	willing to participate fully in the development of transition strategies
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Outcome 7: 1. UN-REDD Programme knowledge is developed, managed, analyzed and shared to support REDD+ efforts at all levels (lead/coordinated by the Secretariat)

Outcome level (2013-2014)	Indicators	Baseline	Target	Means of Verification	Risks	Assumptions
	Recognition of UN-REDD Programme and its KM products as a key source of knowledge on REDD+	Programme products and events are developing recognition as a source of knowledge and information on REDD+ but recognition is not widespread.	By 2014, the Programme is firmly recognized as a key source and hub of knowledge on REDD+ through diverse media and means, including successful workshops, streamlined and coordinated KM products, publications and website hits	- Number of hits on www.unredd.net and www.un-redd.org. - Feedback by Policy Board members and partners - KM strategy and reviews - Satisfaction survey of Programme product users	- Failure to prioritize sharing knowledge in high- paced context - Siloed information and systems to share - Creating increased travel burden to countries by uncoordinated and overlapping workshops	- UN-REDD Programme has instrumental role in knowledge development and sharing - Staff complying with and contributing to agreed upon KM systems
Outputs	Indicators (SMART)	Baseline (in 2012)	Target by the end of 2014	Means of verification	Risks	Assumptions
Output 7.1. Knowledge management (KM) resources and systems are developed and improved	a. Percent of UN-REDD knowledge products referenced in a sample (defined in a footnote) of country material.. b. Proportion of active contributors on the website and workspace who are non UN Headquarters staff. c. Sustained or increased website traffic and increased percent of new workspace users. d. Linkages between website and workspace improved, (through the % of website country pages that mirror their	a. No products are referenced in country material s. b. All user groups (UN and non UN) consult the workspace and website regularly, but most¹² active contributors are UN staff (in headquarters). c. Average 1.2 million website hits per month during Jan-June 2012 with 63,600 unique visitors and 966 members; 13,611 workspace visits	a. At least 50% of products are referenced in county material b. Workspace country pages are up-to-date with information contributed from country-level colleagues, with 80% of country pages with updates no more than 3 months old with 20% of website and workspace contributors being non UN staff.	a. Google scholar searches for knowledge products. a. National Information, Education and Communications products. a. Feedback by Policy Board members and partners b.c. Workspace and website statistics and survey on usership, requests, workspace country pages d. Countries' pages	- Capacity of UN-REDD staff resources for collection of detailed monitoring data is limited. - Not all updates on the workspace may be appropriate or relevant for the website	- Knowledge management and dissemination is given a high priority at all levels of UN-REDD Programme - Systematic sharing of information on country pages is prioritized by colleagues and actually carried out by and monitored webmaster

¹² To be estimated.

	workspace pages in terms of monthly updates)	during Jan- June 2012 with ~100 new workspace users. d. 31% of website country pages sufficiently ¹³ mirror updates from workspace country pages, and vice versa	c. Website hits of a minimum of 1.2 million a month. d. 100% of website NP country pages reflect the monthly updates from same workspace country pages	on workspace and website		
Output 7.2: REDD+ knowledge is continuously generated, adapted and shared in various and innovative formats for learning, advocacy, promotion and capacity development	a. Number of Knowledge Products (KPs) published and the number of times/places where they are cross-posted or referenced b. Number of regional knowledge exchange workshops and number of participants, supported by this Output. c. Frequency of KM products referenced in NP documents.	a. Two Lessons Learned publications and one Policy Brief have been published b. No regional knowledge exchange workshop held. c. x ¹⁴ references to KM products in NP documents.	a. At least 5 strategic KPs produced and used (1 Lessons Learnt Booklet and 4 Policy Briefs). b. At least one regional exchange workshop (with x participants) per year conducted in line with the UN-REDD KM strategy and with participants applying the knowledge at national level. c. References to knowledge products in at least 8 NP countries documents.	a.b. Google scholar searches to show if knowledge products are referenced and/or used outside of Programme. b. Workshop reports. c. National Information, Education and Communications products.	• Siloed information and systems to share • Capacity limitations for generating and sharing information in innovative formats.	• It is possible to get a clear and objective measure of country knowledge needs • Regional workshops aid the generation and uptake of REDD+ knowledge • Lessons Learned publications and policy briefs are valued KPs that promote capacity development and learning.

¹³ "Sufficiently" defined as missing fewer than two updates.

¹⁴ This number needs to be determined.

Outcome 8: Timely and effective UN-REDD Programme Secretariat services provided to the UN-REDD partner countries, Policy Board and the UN agencies

Outcome level (2013-2014)	Indicators	Baseline	Target	Means of Verification	Risks	Assumptions
	Governance, monitoring and effective oversight of UN-REDD Programme	Policy Board established and functioning, with monitoring tools under development and periodic Programme review and evaluation	By end of 2014, procedures and practices are improved to ensure effectiveness, transparency and accountability of the Board, improved monitoring tools are in use and an external programme evaluation undertaken (2013)	- Website - PB reports - Programme outputs - Project Tracker - Reviews and evaluations	- Increased tasks and constituency, and unsecure donor base - Shifts in external environment and potential over expectations	- Timely outputs, and contributions – ultimately- to the efforts by countries in building their capacity on REDD+ - Quality services provided to the PB, partner countries, three agencies, and collaboration enhanced with other partners.
Outputs	Indicators (SMART)	Baseline (in 2012)	Target by the end of 2014	Means of verification	Risks	Assumptions
Output 8.1: Secretariat effectively managed, and overall efficient and effective interagency quality assurance and coordination mechanisms created	a. Degree of implementation of recommendations from External Programme Evaluation b. Degree of completion /implementation of review of MoU, Programme Strategy and Secretariat ToR.	a. No external Programme Evaluation undertaken. b. Review of MoU and Strategy not started; Secretariat ToR revised in 2012 but requiring further updates.	a. Completed Programme Evaluation, implementation of Management Response recommendations relevant to time period b. Revision of the MoU, Programme Strategy and Secretariat ToR coordinated and applied.	a. Report from the Programme Evaluation and monitoring of Management Response. b. Revised and adopted MoU, Programme Strategy and Secretariat ToR in use .	- Constraints of harmonising Programme needs and agencies internal requirements/systems. - Increased tasks and constituency beyond Secretariat's capacity.	UN agencies and the Secretariat have the capacity to meet all standards and administrative processes including compatible operational systems and other databases and tools.
Output 8.2: Interagency quality assurance for National Programmes provided	a. % of RPPs presented to the PB approved. b. % of National Programme reports and consolidated annual and semi-annual reports by the Programme's external evaluation rated as good.. c. Degree (%) to which recommendations from NP independent reviews are incorporated in the final	a. 2NPs presented to and approved by the PB board during the last 12 months b. 10 NP reports and 4 independent reviews (2 per NP) rated as good by the PB during 12 months. c. 2 NPs independently reviewed. 1 NP subject to final external evaluation and 6 NPs externally evaluated (3 planned for 2013).	a. 6 new NP submitted and approved by PB and NP documents finalized and signed. b. 90% of NP reports rated as good and consolidated reports rated as good by the Programme-wide external evaluators. c. Recommendations from independent reviews evaluations, relevant to the time period, incorporated in	a. Comments and decisions by PB. b. Programme-wide external evaluation report c. Independent technical review reports, and final National Programme documents with recommendations incorporated. d. Final evaluation reports posted in the website	- Changes in Government focal points or Project personnel that affect completion of the NPDs or reports. - Changes in Programme's quality assurance roles and responsibilities	- The incentives and technical support provided by the Programme are sufficient. - Countries have capacity to meet all standards and administrative processes.

	NPDs. d. Degree of completion of final NP evaluations	d. No completed final evaluations in 2012.	the documents. d. 3 final evaluations completed by the end of 2013. 3 evaluation plans developed for 2014 final evaluations			
Output 8.3: Interagency quality assurance for the Support to National REDD+ Actions (SNA) provided	a. Degree (%) of agreed recommendations for process, strategies and actions for SNA coordination made in NPWG and GPCG meetings that were acted on by the Secretariat and agencies by the end of the reporting period. b. % of positive comments of the PB on the progress of the SNA and on the Global Programme Annual and Semi-Annual Reports.	a. X% ¹⁵ of recommendations acted on. b. No feedback assessment available.	a. 100% of recommendations acted on. b. 80 % positive feedback	a. Quarterly reports of consolidated recommendations by NPWG and SNA/GPCG. b. Policy Board reports and PB inter-sessional communications to the Secretariat.	- Increased tasks resulting from recommendations require substantial additional time and human resources - Lean Secretariat staff structure does not allow for additional production of minutes and feedback assessment	- Quarterly Reports of meeting minutes can be produced in addition to other duties - Policy Board reports will register comments related to progress in SNA coordination and Global Programme Annual & Semi-Annual reports. - Secretariat will organize a registry of inter-sessional PB feedback on the progress of SNA coordination and on the Global Programme Annual & Semi-Annual reports.
Output 8.4 Policy Board, Strategic Group and Management Group is operational and effective	a. Percent of Policy Board decisions acted on b. Percent of positive rating of PB meeting organisation and documentation.	a. 85% of decisions acted on by PB meeting b. No PB meeting assessment form available.	a. Full set(100%) of PB decisions acted on by the time of the next PB meeting. b. 80% positive feedback of PB meetings.	a. Official communication to the Policy Board incl. PB reports, inter-sessional decisions documentations. b. PB assessment form	- Increased tasks and constituency - comprehensive PB/SG/MG decisions requiring substantial time and human resources. - Lean Secretariat staff structure that does not allow for adhoc capacity constraints.	- The PB Review recommends that 2 PB meetings are maintained per year - High proportion of meeting attendees fills the assessment form.

¹⁵ This value needs to be determined.

Output 8.5 Result-based management, including monitoring, evaluation and reporting, implemented across the UN-REDD programme	a. On a 1-5 scale of semi-/annual UN-REDD Programme reports meeting the standards¹⁶ for results-based reporting b. Improved tool for results based reporting and monitoring has been agreed and is in use.	a. UN-REDD Programme semi-annual report 2012 including National Programme and SNA equivalent to x¹⁷ on a scale of meeting the requirement in the UNDG's RBM Handbook. b. National Programmes and agencies use reporting template not fully results based (no project tracker in use).	a. All semi-/annual UN-REDD Programme reports results based meeting standards in the UNDG's Results-Based Management Handbook. b. Collection tool of information (improved template or project tracker) agreed and used by all National Programmes and agencies for reporting and monitoring.	a. <i>UNDG's Results-Based Management Handbook</i> and related guidance; Feedback on reports from PB; external Programme reviews and evaluations. b. Information fully transmitted using the improved template or tracker.	Difficult to report on results when there are delays in implementation due to political and socio-economic context in the countries changes, including loss of staff knowledge, with adverse impact on expected results.	- Staff at different levels receive RBM training. - Workplan targets realistically assessed, based on existing capacity & unique country situation. - For many results foreseen beyond 2014 <i>progress</i> against the results can only be reported. - Template, project tracker developed in time for semi-annual report 2013. - Agreement on level of reporting (Outcome, Output, Activity).
Output 8.6 External partnerships enhanced and resource mobilization strengthened	a. Number of renewed/enhanced donor commitments to the Programme. b. Number of partnership/coordination arrangements with other relevant REDD+ initiatives.	a. One new donor, making a total of 6 donors, during 2012 and an annual SNA budget of US\$¹⁸ million and of US\$¹⁹ million for NPs. b. Four coordination arrangements/cooperation (FCPF, FIP, REDD+ Partnership and EFI).	a. Fundraising activities and plans executed with at least 2 additional donors and secured funding of at least US\$¹⁹ million (SNA) and US\$¹⁹ million (NPs) annually. b. Coordination with other multi/bi-lateral initiatives enhanced through at least 2 joint high level country missions and 3 joint meetings in addition to one new coordination arrangement with a REDD+ initiative.	a. Programme funding status. a. Donor representation in PB. b. Partnership involvement. b. Mission and meeting reports.	- Economic crisis in Europe affecting financial support to the Programme - unsecure donor and funding base. - No new establishment of relevant REDD+ initiative.	- Donor interest maintained. - Media interest maintained. - Participation in relevant international fora and expert meetings. - The international negotiations climate for REDD+ remains positive.

¹⁶ Criteria to be based on UNDG's RBM Handbook and related guidance.

¹⁷ This value needs to be estimated.

¹⁸ This value needs to be confirmed.

¹⁹ These values need to be estimated.