

UN-REDD PROGRAMME



Empowered lives.
Resilient nations.



UN-REDD Programme Strategic Framework 2016-2020 Draft for Consultation

Revised version of 27 February 2015

Geneva, Switzerland

Table of contents

Abbreviations & Acronyms

Executive Summary in English

Executive Summary in French/Note de Synthèse

Executive Summary in Spanish/Resumen Ejecutivo

1. Introduction

2. Background and Lessons Learned

2.1. REDD+ Defined

2.2. Achievements and Lessons Learned Through the UN-REDD Programme, 2008-2015

2.3. REDD+ and Sustainable Development

3. 2016-2020 Theory of Change - Development Goal, Impacts and Outcomes

3.1. Development Goal

3.2. Expected Impacts

3.3. Outcomes, Outputs and Indicative Activities

3.3.1. Outcome 1 - REDD+ contributions to mitigation and additional benefits designed

3.3.2. Outcome 2 - REDD+ contributions to mitigation measured

3.3.3. Outcome 3 - REDD+ contributions to mitigation implemented and safeguarded

3.3.4. Outcome 4 - REDD+ knowledge managed

4. Cross-cutting Themes

4.1. Stakeholder Engagement – Civil Society, Indigenous People, and the Private Sector

4.2. Forest Governance

4.3. Tenure and REDD+

4.4. Gender and REDD+

5. Delivery of the Programme

5.1. Principles

5.2. Inter-institutional Arrangements

5.3. Partnerships

5.3.1. Rationale

5.3.2. Collaboration with Key Partners

5.3.3. Mechanisms

6. Summary of Governance Options

7. Preliminary Cost Estimates

8. Monitoring and Evaluation

Annexes

A. References

B. Summary Overview of the Theory of Change and Result Framework

C. From National REDD+ Strategies and/or Action Plans to Results-Based Payments

Abbreviations & Acronyms

AFOLU:	Agriculture, Forestry and Other Land Use
AP:	Action Plan
BioCF:	Bio Carbon Fund of the World Bank
BUR:	Biennial Update Report
CBR+:	Community Based REDD+
CEDAW:	Convention on the Elimination of all Forms of Discrimination against Women
COP:	Conference of the Parties
CSO:	Civil Society Organization
ER:	Emission Reduction
EB:	Executive Board
FAO:	Food and Agriculture Organization of the United Nations
FAOSTAT:	Food and Agriculture Organization of the United Nations Statistics Division
FCPF:	Forest Carbon Partnership Facility
FCPF PA:	Forest Carbon Partnership Facility Participants Assembly
FCPF PC:	Forest Carbon Partnership Facility Participants Committee
FIP:	Forest Investment Program
FPIC:	Free, Prior and Informed Consent
FREL:	Forest Reference Emission Level
FRL:	Forest Reference Level
GCF:	Green Climate Fund
GCP:	Green Commodities Programme
GDP:	Gross Domestic Product
GEF:	Global Environment Facility
GFOI:	Global Forest Observations Initiative
GHG:	Greenhouse Gas
HACT:	Harmonized Approach to Cash Transfers
HRBA:	Human Rights Based Approach
IIEs:	International Implementing Entities
IP:	Indigenous peoples
IPCC:	Intergovernmental Panel on Climate Change
KM:	Knowledge Management
LULUCF:	Land Use, Land-Use Change and Forestry
M&E:	Monitoring and Evaluation
MG:	Management Group
MOU:	Memorandum of Understanding
MOOC:	Massive Open Online Course
MPTF:	Multi-Partner Trust Fund
MRV:	Measurement, Reporting and Verification
NAMA:	Nationally Appropriate Mitigation Action
NFMS:	National Forest Monitoring System
NP:	National Programme
NS:	National Strategy
PAMs:	Policies and Measures
PES:	Payments for Ecosystem Services
PGA:	Participatory Governance Assessment

PLRs:	Policies, Laws and Regulations
PB:	Policy Board
QA:	Quality Assurance
RBA:	Results-Based Action
RBF:	Results-Based Finance
RBP:	Results-Based Payment
REDD+:	Reducing Emissions from Deforestation and Forest Degradation and Conservation, Sustainable Management of Forests and Enhancement of Forest Carbon Stocks in Developing Countries
R-PP:	Readiness Preparation Proposal
SEPC:	Social and Environmental Principles and Criteria
SIS:	Safeguards Information System
SME:	Small and Medium Enterprise
TA:	Technical Assessment
tCO₂e:	Tonnes of Carbon Dioxide Equivalent
TOR:	Terms of Reference
VGGT:	Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security
UN:	United Nations
UNDG:	United Nations Development Group
UNDP:	United Nations Development Programme
UNEP:	United Nations Environment Programme
UNEP-FI:	United Nations Environment Programme Finance Initiative
UNFCCC:	United Nations Framework Convention on Climate Change
UN SDGs:	United Nations Sustainable Development Goals

Executive Summary

Background

Deforestation and forest degradation have long been recognized as significant sources of greenhouse gas (GHG) emissions, indeed some projects addressing this issue date back to the 1990s. REDD+ was included as part of the Bali Action Plan adopted at the 13th Conference of Parties (COP13) to the United Nations Framework Convention on Climate Change (UNFCCC) in 2007. Negotiations continued and at COP16 in Cancun in 2010 the Parties to the Convention adopted agreements which defined the scope of REDD+, encouraging “developing country Parties to contribute to mitigation actions in the forest sector by undertaking the following activities, as deemed appropriate by each Party and in accordance with their respective capabilities and national circumstances: Reducing emissions from deforestation; reducing emissions from forest degradation; the conservation of forest carbon stocks; the sustainable management of forests; and the enhancement of forest carbon stocks.” At COP19 in Warsaw in 2013 most of the work programme was finalised, such that the UNFCCC has set out the process for developing countries to have the results of their REDD+ activities in terms of emissions reductions recognised for results-based payments (RBPs), through agreed measurement, reporting and verification (MRV) procedures.

The UN-REDD Programme was set up in 2008 to build on the convening power and technical expertise of the Food and Agriculture Organisation (FAO), the UN Development Programme (UNDP) and the UN Environment Programme (UNEP). These agencies are combining forces to support developing countries in their efforts to mitigate climate change through the implementation of REDD+ activities agreed under the UNFCCC. The Programme has expanded steadily and almost 60 countries are now involved.

In an external evaluation carried out in 2013-2014 overall performance was summarized as follows: *The UN-REDD Programme has helped draw global and national attention to the importance of forests. It has given previously marginalized populations a strong voice in relevant decision-making arenas; it is leading countries to engage in policy reforms, increase transparency and reduce the risk of corruption; it has triggered the search for viable solutions to the problems associated with deforestation; it is supporting the valuation of forests and the services they provide; and it has allowed a broad range of stakeholders to gain experience with an innovative construct that now makes it possible to better articulate the conditions for sustainability and how such an agenda should be pursued.* Consequently, in designing the strategic framework for the Programme from 2016 to 2020 both the UNFCCC REDD+ process and the sustainable development goals (SDGs) being agreed at the UN are of fundamental importance.

Overview of the Theory of Change (ToC), 2016-2020 - Development Goal, Impacts, Outcomes and Outputs

The overall development goal of the Programme is: to reduce forest emissions and enhance carbon stocks in forests while contributing to national sustainable development. Thus, it is anticipated that the Programme will impact on developing countries in three ways over a five year period (2016-2020):

- by ensuring effective participation in the REDD+ process and recognition of the outcomes of readiness preparation as defined through the UNFCCC;
- by ensuring the foundations for increased results-based payments (RBPs) for REDD+ in developing countries, based on measured, reported and verified emissions reductions;
- by ensuring that additional social and environmental benefits of REDD+ are generated, including adaptation to climate change, conservation of biological diversity, enhanced ecosystem services and improved livelihoods.

On the basis of this overall ToC, the outcomes and outputs that will lead to the desired impacts and ultimately to achieving the development goal, are as follows:¹

¹ Comprehensive specification of the assumptions and risks associated with these impacts, outcomes and outputs as well as of the indicators to be used to track progress through a results-based framework is being completed.

Outcome 1. Contributions of REDD+ to the mitigation of climate change as well as to the provision of additional benefits have been designed. The outputs associated with this outcome are:

- Output 1.1. Countries have developed technically and economically sound national REDD+ strategies and/or action plans (NS/AP) involving the active participation of a wide range of stakeholders, with political support and integrated within national development planning processes.
- Output 1.2. REDD+ countries have developed an approach to addressing and respecting the Cancun safeguards agreed under the UNFCCC (COP16) and to providing information on this through a safeguard information system (SIS).
- Output 1.3. Countries have been able to enhance social and environmental benefits where desired, through in-depth and stakeholder-validated spatial and economic analysis of REDD+ in conjunction with the NS/AP, thereby demonstrating the scope for these benefits in terms of food, water and energy security and contributing to a transition to a green economy.

Outcome 2. Country contributions to the mitigation of climate change through REDD+ are measured, reported and verified and necessary institutional arrangements are in place. The outputs are:

- Output 2.1. Countries have developed national forest monitoring systems (NFMS) that allow them to collect information to fulfill the MRV requirements of the UNFCCC (in terms of carbon emission reductions, carbon stocks and carbon sinks in t/CO₂eq).
- Output 2.2. Countries have estimated forest reference emissions levels (FREL/FRL) and submitted these to the UNFCCC in accordance with requirements specified in order to access results-based payments (RBPs) under UNFCCC financing mechanisms.
- Output 2.3. Countries produce estimates of emissions and removals associated with their REDD+ activities that are consistent with their FREL/FRL and their land-use GHG inventories, and fulfil all UNFCCC requirements.

Outcome 3. REDD+ contributions to the mitigation of climate change are implemented and safeguarded with policies and measures that constitute results-based actions (RBAs), including the development of appropriate and effective institutional arrangements. Associated with this outcome are three outputs:

- Output 3.1. REDD+ policies and measures (PAMs) have been implemented in selected countries, generating emissions reductions while capturing lessons learned for subsequent improvement of the NS/APs.
- Output 3.2. Countries' national institutional arrangements are put in place to access and disburse REDD+ finance (RBF).
- Output 3.3. Countries have operationalised the Cancun safeguards - as enshrined in existing or strengthened policies, laws and regulations (PLRs) and implemented through existing institutional arrangements - in addition to demonstrating how the safeguards are addressed and respected in a summary of information submitted to the UNFCCC.

Outcome 4. Support is provided to developing countries to access and share well-documented, evidenced-based REDD+ readiness and implementation knowledge aligned with UNFCCC requirements, through capacity development. Associated with this outcome are two outputs:

- Output 4.1. Knowledge management systems have been designed and set up to meet country needs and facilitate accessibility by practitioners, policy makers, donors and other stakeholders including through the establishment of an effective online platform.
- Output 4.2. REDD+ capacities have been increased through participation in knowledge sharing, including through the REDD+ Academy and other capacity building activities as well as through the development of knowledge products.

Cross-cutting Themes

Four cross-cutting themes have been identified as being particularly significant in order to ensure that the outputs and outcomes of the Programme will achieve results as desired. **Stakeholder engagement** is often recognized as critical for the transformative changes expected through REDD+. Since 2008 the Programme's work has served to: i) build trust and partnerships between governments and non-governmental stakeholders; ii) help indigenous peoples forest dependent communities and civil society participate in REDD+ processes; iii) create multi-stakeholder dialogue platforms; and iv) put vital issues on the agenda, such as rights to land and natural resources as well as the enactment of Free Prior and Informed Consent (FPIC). This will continue, expanded to include interaction with private sector actors and initiatives, with a view to the design of transformative NS/APs and the development of high impact national REDD+ PAMs. Improved **governance** of forests was included in the Cancun REDD+ decisions (COP16), both with respect to NS/APs and safeguards. Analytical efforts are required to identify firstly, the governance deficits that lead to deforestation, forest degradation and unsustainable management as well as conversely, governance enablers that have or would facilitate successful policies and measures; secondly, the key players and their interests in reform; and thirdly what available public policy options are most likely to be effective in addressing the drivers and in which sequence.

As far as **tenure security** is concerned, it has been recognised that this is often an important enabling condition for REDD+. Each country will determine appropriate ways to deal with tenure issues. The Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests (VGGT) may be useful for addressing these. **Gender equality** is also recognised as a major issue in REDD+, consistent with the human rights based approach (HRBA) to development. Concerted efforts will be made to ensure increased gender responsiveness in the activities supported by the Programme.

Delivery – Principles, Interagency Arrangements and Partnerships

The Programme will be guided by the five inter-related principles of the UN Development Group (UNDG) which are: adopting HRBA for programming, with particular reference to the guidelines on Indigenous Peoples' issues; promoting gender equality; enhancing environmental sustainability; using results-based management; and undertaking capacity development. Furthermore, the FAO, UNDP and UNEP are committed to, inter alia: i) building on their comparative strengths to achieve full clarity and accessibility for country partners and to anchor support in sound institutional arrangements; ii) facilitating partnerships, iii) contributing to coordination in-country to avoid duplication of efforts with other REDD+ initiatives; iv) ensuring the full, equitable and effective participation of both women and men; v) building upon existing capacities and adopting step-wise approaches through the incorporation of lessons learned; vi) using open-source, freely available data and tools; vii) enhancing cost-effectiveness, efficiency and responsiveness to country and donor demands; viii) increasing the proportion of funds and technical support directly delivered to countries; ix) using transparent joint decision-making; and x) sharing all information in a timely manner.

National implementation arrangements and country support teams will ensure demand driven, effective delivery of support for REDD+, both readiness and implementation. These teams will operate facilitated by a single designated staff representative acting as the country contact point and accountable to the Management Group (MG) of the Programme. A streamlined single interface modality in each country with a unified contractual and reporting arrangement will be established. At the global level the MG will be responsible for joint oversight and consolidated planning, budgeting and results-based reporting for the entire Programme, in accordance with a streamlined organizational set up. A strategic group formed by senior representatives of the three UN agencies will oversee inter-agency cooperation and provide strategic guidance to the Programme. The Secretariat will facilitate overall coordination and support the operation of the MG and the Programme's governance mechanism.

As far partnerships are concerned, a number of multilateral agencies are operating in the REDD+ sphere. It is envisaged that the longstanding collaboration with the **Forest Carbon Partnership Facility** (FCPF) of the World Bank will be strengthened and that opportunities for closer collaboration with the newly established **Green Climate Fund** (GCF) and with the **Global Environment Facility** (GEF) will be explored. Exchanges with

these strategic partners at global level will be complemented with enhanced dialogue on cooperation at country level.

Governance options

The governance of the Programme will be streamlined to become more cost effective and to achieve a better balance between strategic guidance and operational decisions, consistent with the ToC and the result- framework. A two tier approach will be adopted with policy and executive boards and with fewer face-to-face meetings.

Cost Estimates and Monitoring & Evaluation

Different scenarios for the cost estimates can be envisaged, depending on the number of countries to be supported for readiness and results-based actions (RBAs). A preliminary indicative estimate of the overall costs for achieving the outcomes and impacts as specified is around 300 million USD. A result-based monitoring and evaluation framework is being designed in order to effectively chart progress on the basis of agreed indicators and to inform decision making.

Note de Synthèse

Contexte

Le déboisement et la dégradation des forêts sont reconnus de longue date comme d'importantes sources d'émission de gaz à effet de serre (GES) ; de fait, certains projets traitant de cet aspect remontent aux années 1990. La REDD+ figure au Plan d'action de Bali, adopté lors de la 13^{ème} Conférence des Parties (COP13) à la Convention-cadre des Nations Unies sur les changements climatiques (CCNUCC) en 2007. Les négociations se sont poursuivies et lors de la COP16, à Cancún en 2010, les parties à la Convention ont adopté des accords définissant le champ de la REDD+, encourageant *“les pays en développement parties à contribuer aux mesures d'atténuation dans le secteur forestier en entreprenant les activités ci-après, selon ce que chaque Parties jugera approprié et compte tenu de ses capacités et de sa situation nationale : réduction des émissions dues au déboisement ; réduction des émissions dues à la dégradation des forêts ; conservation des stocks de carbone forestiers ; gestion durable des forêts ; et renforcement des stocks de carbone forestiers.”* Durant la COP19, à Varsovie en 2013, l'essentiel du programme de travail a été finalisé, de sorte que la CCNUCC a fixé le processus permettant aux pays en développement de faire reconnaître les résultats de leurs activités de REDD+ en termes de réduction des émissions pour pouvoir prétendre aux paiements axés sur des résultats (PAR), dans le cadre des procédures convenues de mesure, notification et vérification (MRV).

Le Programme ONU-REDD a été créé en 2008 afin de tirer parti du pouvoir fédérateur et de l'expertise technique de l'Organisation pour l'alimentation et l'agriculture (FAO), du Programme des Nations Unies pour le développement (PNUD) et du Programme des Nations Unies pour l'environnement (PNUE). Ces organismes joignent leurs forces pour appuyer les pays en développement dans leurs efforts en vue d'atténuer les changements climatiques en mettant en œuvre des activités de REDD+ convenues dans le cadre de la CCNUCC. Le Programme s'est progressivement élargi et près de 60 pays lui sont désormais associés.

Dans une évaluation externe menée en 2013-2014, l'exécution générale du Programme a été ainsi résumée : *Le Programme ONU-REDD a contribué à braquer les projecteurs à l'échelle nationale et internationale sur le rôle majeur des forêts. Il a permis aux populations autrefois marginalisées de s'exprimer avec force dans les sphères décisionnelles pertinentes ; il conduit les pays à initier des réformes politiques, à accroître la transparence et à réduire les risques de corruption ; il a ouvert la voie à la recherche de solutions viables aux problèmes associées à la déforestation ; il apporte un appui à la détermination de la valeur des forêts et des services rendus par ces dernières et a permis à une grande diversité de parties prenantes d'acquérir de l'expérience au sein d'une structure innovante qui rend désormais possible une meilleure articulation des conditions de durabilité et des modalités d'atteinte des objectifs fixés.* Par conséquent, la conception du cadre stratégique pour le Programme entre 2016 et 2020 doit tenir compte de la place fondamentale du processus de REDD+ de la CCNUCC et des objectifs de développement durable (ODD) convenus sous l'égide de l'ONU.

Théorie du changement 2016-2020, en bref - objectif de développement, incidences, effets et produits

L'objectif global de développement du Programme est le suivant : réduire les émissions forestières et renforcer les stocks de carbone dans les forêts tout en contribuant au développement durable à l'échelon national. Le Programme aura donc vraisemblablement sur les pays en développement une triple incidence au cours de la période quinquennale (2016-2020), en ce qu'il veillera à :

- une participation effective dans le processus de REDD+ et à la reconnaissance des résultats escomptés des préparatifs en vue de la REDD+, tels qu'ils sont définis dans le cadre de la CCNUCC ;
- la mise en place des conditions préalables à une augmentation des paiements axés sur des résultats (PAR) pour la REDD+ dans les pays en développement, en échange de réductions mesurées, notifiées et vérifiées des émissions ;

- la réalisation des avantages sociaux et environnementaux complémentaires de la REDD+, notamment l'adaptation aux changements climatiques, la conservation de la diversité biologique, le renforcement des services écosystémiques et l'amélioration des moyens de subsistance.

Compte tenu de cette théorie générale du changement, les effets et les produits qui déboucheront sur les incidences désirées, et qui permettront au bout du compte de réaliser l'objectif de développement, sont exposés ci-après.²

Effet 1. Les contributions de la REDD+ à l'atténuation des changements climatiques et la réalisation des avantages complémentaires ont été conçues. Les produits associés à cet effet sont les suivants :

- **Produit 1.1.** Les pays appuyés par le Programme ONU-REDD se sont dotés de stratégies nationales et/ou plans d'action de REDD+ (SN/PA) solides sur le plan technique et économique, prévoyant la participation active d'un large éventail de parties prenantes, jouissant d'un appui politique et intégrés aux processus de planification du développement national.
- **Produit 1.2.** Les pays de REDD+ ont élaboré une approche régissant l'application et le respect des garanties de Cancún convenues dans le cadre de la CCNUCC (COP16) et la fourniture d'informations à ce sujet, grâce à un système d'information sur les garanties (SIG).
- **Produit 1.3.** Les pays ont pu renforcer les avantages sociaux et environnementaux lorsque cela est désirable, en procédant à une analyse spatiale et économique approfondie de la REDD+, laquelle a été validée par les parties prenantes, en conjonction avec le SN/PA, démontrant ainsi l'importance des avantages en termes de sécurité alimentaire, de l'eau et énergétique et contribuant à la transition vers une économie verte.

Effet 2. La mesure dans laquelle les pays contribuent à l'atténuation des changements climatiques grâce à la REDD+ est mesurée, notifiée et vérifiée et les dispositions institutionnelles nécessaires sont en place. Les produits sont les suivants :

- **Produit 2.1.** Les pays ont élaboré des systèmes nationaux de surveillance des forêts (SNSF) qui leur permettent de recueillir des informations afin de répondre aux exigences de MRV de la CCNUCC (en termes de réduction des émissions de carbone, de stocks et de puits de carbone en éq. t/CO₂).
- **Produit 2.2.** Les pays ont estimé les niveaux d'émission de référence pour les forêts (NERF/NRF) et les ont présentés à la CCNUCC, conformément aux conditions stipulées pour accéder aux paiements axés sur des résultats (PAR) en vertu des mécanismes de financement de la CCNUCC.
- **Produit 2.3.** Les pays établissent des estimations des émissions et de l'absorption associées à leurs activités de REDD+, en conformité avec leurs NERF/NRF et leurs inventaires de GES liés à l'utilisation des terres, et observent les conditions de la CCNUCC.

Effet 3. Les contributions de la REDD+ à l'atténuation des changements climatiques sont mises en œuvre et garanties par des politiques et des mesures constituant des actions axées sur des résultats (AAR), notamment l'élaboration de dispositifs institutionnels appropriés et efficaces. Cet effet s'accompagne de trois produits :

- **Produit 3.1.** Les politiques et mesures de REDD+ (PAM) ont été appliquées dans une sélection de pays, produisant des réductions d'émissions tout en tirant les enseignements qui permettront ultérieurement d'améliorer les SN/PA.
- **Produit 3.2.** Avec l'aide du Programme ONU-REDD, des dispositions institutionnelles nationales sont mises en place afin d'accéder aux financements de la REDD+ (FAR) et de les décaisser.
- **Produit 3.3.** Les pays ont mis en pratique les garanties de Cancún – inscrites dans les politiques, les lois et règlements (PLR) en vigueur ou renforcés et mises en œuvre par les dispositions

² Une définition complète est en cours des hypothèses et des risques associés à ces incidences, aux effets escomptés et aux produits, ainsi que des indicateurs qui seront employés pour suivre les avancées grâce à un cadre axé sur des résultats.

institutionnelles existantes – et ont attesté la manière dont les garanties sont abordées et observées dans une synthèse des informations présentées à la CCNUCC.

Effet 4. Un appui est dispensé aux pays en développement sous forme de renforcement des capacités, pour accéder à des connaissances sur la REDD+ bien documentées et étayées par des faits, et les partager, conformément aux conditions posées par la CCNUCC. Deux produits sont associés à cet effet:

- Produit 4.1. Des systèmes de gestion des connaissances ont été conçus et mis en place pour satisfaire les besoins des pays et améliorer l'accessibilité pour les praticiens, les décideurs politiques, les donateurs et les autres parties prenantes, notamment par la création d'une plateforme en ligne efficace.
- Produit 4.2. Les capacités de REDD+ ont été accrues grâce à la participation au partage des connaissances, notamment dans le cadre de l'Académie pour la REDD+ et sous forme d'autres activités de renforcement des capacités, ainsi qu'avec l'élaboration de supports de connaissances.

Thèmes transversaux

Quatre thèmes transversaux ont été identifiés comme déterminant pour que les produits et les effets assignés au Programme aboutissent à l'issue escomptée. **L'engagement des parties prenantes** apparaît souvent crucial pour obtenir les profonds changements attendus de la REDD+. Depuis 2008, les travaux du Programme ont servi à : i) susciter la confiance et instaurer des partenariats entre les parties prenantes gouvernementales et non gouvernementales ; ii) aider les populations autochtones, les communautés dépendant des forêts et la société civile à participer aux processus de REDD+ ; iii) créer des plateformes de dialogue multipartite ; et iv) mettre en avant certains aspects cruciaux, comme les droits sur les terres et les ressources naturelles, ainsi que la prise en compte du consentement préalable, donné librement et en connaissance de cause (FPIC). Le Programme continuera en ce sens, et élargira son action pour associer les acteurs et initiatives du secteur privé dans la conception de SN/PA propices au changement et l'élaboration de politiques et mesures nationales de REDD+ à forte incidence. L'amélioration de la **gouvernance** des forêts figurait dans les décisions de Cancún sur la REDD+ (COP16), au sujet des SN/PA aussi bien que des garanties. Des efforts d'analyse sont nécessaires, tout d'abord pour identifier les lacunes en matière de gouvernance qui génèrent le déboisement, la dégradation et la gestion non durable des forêts, et, à l'inverse, les vecteurs de gouvernance qui contribuent ou sont susceptibles de contribuer à des politiques et des mesures fructueuses. Ces efforts d'identification porteront en deuxième lieu sur les principaux acteurs et les intérêts que revêtent pour eux les réformes, et troisièmement sur les options existantes de politiques publiques les plus susceptibles de lutter contre les facteurs du déboisement et de la dégradation des forêts, et dans quel ordre.

En ce qui concerne la **sécurité foncière**, il a été admis qu'il s'agissait souvent là d'une condition largement propice à la REDD+. Il appartiendra à chaque pays de déterminer les moyens adéquats d'aborder les enjeux fonciers. Les Directives volontaires pour une Gouvernance responsable des régimes fonciers applicables aux terres, aux pêches et aux forêts peuvent s'avérer utiles à cet égard. **L'égalité hommes-femmes** est également considérée comme un enjeu majeur dans la REDD+, dans la droite ligne de l'approche du développement fondée sur les droits humains. Des efforts concertés seront faits pour que la problématique hommes-femmes soit mieux prise en compte dans les activités appuyées par le Programme.

Exécution – principes, dispositions et partenariats

Le Programme observera les cinq principes directeurs interdépendants du Groupe de développement de l'ONU (UNDG) : adoption de l'approche fondée sur les droits humains dans l'élaboration des programmes, les directives sur les enjeux des populations autochtones étant mis en exergue ; promotion de l'égalité des sexes ; renforcement de la durabilité environnementale ; gestion axée sur des résultats et renforcement des capacités. La FAO, le PNUD et le PNUE se sont par ailleurs engagés, entre autres, à : i) tirer parti de leurs avantages comparatifs afin d'offrir aux partenaires une clarté et une accessibilité optimales, et d'arrimer leur appui à de solides dispositifs institutionnels ; ii) faciliter les partenariats, iii) contribuer à la coordination dans les pays afin d'éviter tout chevauchement avec les efforts d'autres initiatives de REDD+ ; iv) veiller à la participation complète, équitable et effective des femmes et des

hommes ; v) tirer parti des capacités existantes et procéder par étapes en appliquant les enseignements acquis ; vi) recourir à des données et des outils ouverts et librement accessibles ; vii) améliorer la rentabilité, l'efficacité et la réactivité à l'égard des demandes des pays et des donateurs ; viii) accroître la part des fonds et de l'appui technique dispensés directement aux pays ; ix) prendre des décisions en toute transparence et de façon conjointe ; x) partager sans délai l'ensemble des informations.

Les dispositions nationales de mise en œuvre et les équipes d'appui dans les pays veilleront à ce que l'aide à la REDD+ réponde à la demande, et soit dispensée efficacement, aussi bien pour les préparatifs que dans la mise en œuvre. Ces équipes interviendront facilités par un unique représentant du personnel qui sera désigné comme point de contact pour le pays, et qui rendra compte au groupe d'administration (GA) du Programme. Une modalité d'interface unique et rationnelle sera établie dans chaque pays, assortie d'un dispositif contractuel et de notification unifié. Au niveau global, en vertu d'un montage organisationnel simplifié, le GA sera en charge de la surveillance conjointe et de la planification consolidée, de l'établissement des budgets et de la notification axée sur des résultats au titre du Programme dans son ensemble. Un groupe stratégique composé de représentants des trois organismes supervisera la coopération entre les organismes et fournira de conseils stratégiques au Programme. Le secrétariat facilitera la coordination d'ensemble, et appuiera les activités GA et le mécanisme de gouvernance du Programme.

En ce qui concerne les partenariats, plusieurs organisations multilatérales interviennent dans le domaine de la REDD+. La collaboration de longue date avec le **Fonds de Partenariat pour le Carbone Forestier** (FCPF) de la Banque mondiale devrait être consolidée, et les possibilités de rapprochement avec le **Fond vert pour le climat** (GCF), récemment créé, et avec le **Fonds pour l'environnement mondial** (FEM) seront étudiées. Les échanges au niveau global avec ces partenaires stratégiques seront complétés par une concertation renforcée sur la coopération au niveau des pays.

Options en matière de gouvernance

La gouvernance du Programme sera rationalisée afin de devenir moins coûteuse et de mieux équilibrer orientations stratégiques et décisions opérationnelles, en application de la théorie du changement et du cadre axé sur des résultats. Une approche en deux volets sera adoptée par les conseils d'orientation et les conseils exécutifs, et la fréquence des rencontres directes sera réduite.

Estimation des coûts et suivi et évaluation

Divers scénarios peuvent être envisagés concernant l'estimation des coûts, selon le nombre de pays qui bénéficieront d'un appui pour les préparatifs à la REDD+ et les actions axées sur des résultats. Le chiffre indicatif préliminaire du total des coûts estimatifs pour dégager les effets et les incidences tels qu'ils ont été fixés s'élève à environ 300 millions de dollars É.-U. Un cadre de surveillance et d'évaluation axé sur des résultats est en cours de conception afin d'enregistrer les avancées en vertu des indicateurs convenus et d'éclairer les décisions à prendre.

Resumen Ejecutivo

Antecedentes

Se reconoce desde hace tiempo que la deforestación y la degradación de los bosques constituyen una importante fuente de emisión de gases de efecto invernadero (GEI). De hecho, en la década de 1990 algunos proyectos ya abordaban estos problemas. REDD+ se integró en el Plan de Acción de Bali adoptado en 2007 en ocasión de la 13ª Conferencia de las Partes (COP13) de la Convención Marco de las Naciones Unidas sobre el Cambio Climático (CMNUCC). Las negociaciones continuaron y en 2010 durante la COP16 en Cancún, las partes de la Convención adoptaron acuerdos que definen el alcance de REDD+ y alientan a *“los países en desarrollo partes de la Convención a contribuir a las acciones de atenuación en el sector forestal por medio de las siguientes actividades, en función de lo que consideren apropiado y de sus respectivas capacidades y circunstancias nacionales: reducción de las emisiones procedentes de la deforestación, reducción de las emisiones resultantes de la degradación de los bosques, conservación de las reservas de carbono forestal, gestión sostenible de los bosques y aumento de las reservas de carbono forestal”*. En 2013 durante la COP19 en Varsovia, se finalizó la mayor parte del programa de trabajo. La CMNUCC estableció entonces el proceso para que en el marco de las actividades de REDD+ se reconozcan los resultados de reducción de las emisiones de los países en desarrollo y se emitan pagos basados en los resultados por medio de procedimientos acordados de medición, reporte y verificación (MRV).

El Programa ONU-REDD se estableció en 2008 sobre la base del poder de convocatoria y la pericia técnica de la Organización de las Naciones Unidas para la Agricultura y la Alimentación (FAO), el Programa de las Naciones Unidas para el Desarrollo (PNUD) y el Programa de las Naciones Unidas para el Medio Ambiente (PNUMA). Estos organismos unen sus fuerzas para respaldar a los países en desarrollo en sus esfuerzos de atenuación del cambio climático mediante la implementación de actividades de REDD+ decididas conforme a la CMNUCC. El Programa se ha extendido de modo constante y hoy participan casi 60 países.

En una evaluación externa realizada en 2013-2014, el desempeño general se resumió de la siguiente manera: *El Programa ONU-REDD ha puesto de manifiesto a escala mundial y nacional la importancia de los bosques, ha dado la palabra a poblaciones previamente marginadas en áreas de toma de decisiones, está incitando a los países a emprender reformas políticas, a aumentar la transparencia y a reducir el riesgo de corrupción, ha instado a buscar soluciones viables a los problemas relacionados con la deforestación, está promoviendo la valoración de los bosques y de sus servicios, ha permitido que diversas partes interesadas experimenten con una construcción innovadora que hoy permite articular mejor las condiciones de sostenibilidad y el seguimiento de esta agenda*. Por consiguiente, el proceso REDD+ de la CMNUCC y los objetivos de desarrollo sostenible que se están acordando son fundamentales para el diseño del marco estratégico del Programa para 2016-2020.

Reseña de la teoría de cambio, 2016-2020 – objetivo de desarrollo, repercusiones, efectos y productos

El objetivo general de desarrollo del Programa es reducir las emisiones forestales y acrecentar las reservas de carbono forestal, contribuyendo al desarrollo sostenible a nivel nacional. Por lo tanto, se estima que el Programa tendrá, en los países en desarrollo, tres repercusiones durante el quinquenio 2016-2020:

- garantizará la participación efectiva en el proceso REDD+ y el reconocimiento de los resultados del proceso de preparación, tal como se definen en la CMNUCC,
- asentará las bases para el aumento en REDD+ de los pagos a los países en desarrollo basados en los resultados de reducción de las emisiones que puedan medirse, notificarse y verificarse,
- procurará que REDD+ genere beneficios sociales y medioambientales adicionales, como la adaptación al cambio climático, la conservación de la biodiversidad, la mejora de los servicios ambientales y de los medios de vida.

A partir de esta teoría general de cambio, los efectos y los productos que generarán las repercusiones deseadas y, posteriormente, la consecución del objetivo de desarrollo son³:

Efecto 1. Se han diseñado las contribuciones de REDD+ a la atenuación del cambio climático y a la provisión de beneficios adicionales. Los productos relacionados con este efecto son:

- Producto 1.1. Los países que han recibido el apoyo del Programa ONU-REDD han elaborado estrategias nacionales y/o planes de acción de REDD+ técnica y económicamente sólidos que incluyen la participación activa y con apoyo político de diversas partes interesadas, integradas en los procesos de planificación del desarrollo nacional.
- Producto 1.2. Los países de REDD+ han elaborado un enfoque para tener en cuenta y respetar las salvaguardas de Cancún conforme a la CMNUCC (COP16) y para suministrar información al respecto por medio de un sistema de información sobre las salvaguardas.
- Producto 1.3. Los países han sido capaces de incrementar los beneficios sociales y medioambientales deseados mediante análisis espaciales y económicos exhaustivos de REDD+ validados por las partes interesadas junto a estrategias nacionales y/o planes de acción, demostrando así el alcance de estos beneficios en lo referente a los alimentos, el agua y la seguridad energética y contribuyendo a una transición hacia una economía verde.

Efecto 2. Se miden, notifican y verifican las contribuciones de los países a la atenuación del cambio climático por medio de REDD+ y se establecen los arreglos institucionales necesarios. Los productos son:

- Producto 2.1. Los países han desarrollado sistemas nacionales de vigilancia forestal que les permiten reunir información para cumplir con los requisitos de MRV de la CMNUCC (requisitos de reducción de las emisiones de carbono, reservas de carbono y sumideros de carbono en tonelada equivalente de dióxido de carbono).
- Producto 2.2. Los países han estimado los niveles de emisiones de referencia forestal (NERF/NER) y los han comunicado a la CMNUCC de conformidad con los requisitos especificados a fin de acceder a los pagos basados en resultados estipulados en los mecanismos de financiación de la CMNUCC.
- Producto 2.3. Los países generan estimaciones de las emisiones y supresiones relacionadas con sus actividades de REDD+ en concordancia con sus NERF/NER y sus inventarios de GEI de uso de la tierra y en cumplimiento con todos los requisitos de la CMNUCC.

Efecto 3. Las contribuciones de REDD+ a la atenuación del cambio climático se implementan y salvaguardan con políticas y medidas que constituyen acciones basadas en resultados e incluyen el establecimiento de acuerdos institucionales apropiados y efectivos. Los productos vinculados con este efecto son tres:

- Producto 3.1. Las políticas y medidas de REDD+ se han introducido en una selección de países, lo cual genera reducciones de las emisiones mientras que se extraen lecciones para la posterior mejora de las estrategias nacionales y los planes de acción.
- Producto 3.2. Con el apoyo del Programa ONU-REDD, se establecen arreglos institucionales nacionales para acceder y desembolsar las finanzas de REDD+.
- Producto 3.3. Los países han aplicado las salvaguardas de Cancún, tal como se consagra en las políticas, leyes y reglamentos existentes o mejorados, y las han implementado a través de los arreglos institucionales existentes, además de demostrar cómo se abordan y respetan las salvaguardas en un resumen de la información presentada a la CMNUCC.

Efecto 4. Se presta apoyo a los países en desarrollo para que accedan y compartan los conocimientos de preparación e implementación de REDD+ bien documentados y basados en observaciones, conforme a los requisitos de la CMNUCC, a través del desarrollo de capacidades. Los productos vinculados con este efecto son dos:

³ Se están finalizando las especificaciones completas de las hipótesis y los riesgos vinculados con estas repercusiones, efectos y productos, así como los indicadores que se usarán para seguir los avances por medio de un marco basado en los resultados.

- Producto 4.1. Se han diseñado y establecido sistemas de gestión del conocimiento creados para satisfacer las necesidades del país y facilitar su acceso a profesionales, responsables de políticas, donantes y otras partes interesadas, también a través de la creación de una plataforma en línea eficaz.
- Producto 4.2. Se han incrementado las capacidades de REDD+ a través de la participación en el intercambio de conocimientos, por medio de la Academia de REDD+ y otras actividades de creación de capacidad y a través del desarrollo de productos cognitivos.

Temas transversales

Se han identificado cuatro temas transversales de particular importancia con el fin de garantizar que los productos y efectos del Programa alcancen los efectos deseados. **La participación de las partes interesadas** se reconoce a menudo como fundamental para los cambios transformadores que se esperan de REDD+. Desde 2008, el trabajo del Programa ha permitido: i) infundir confianza y crear colaboraciones entre los gobiernos y los interesados no gubernamentales, ii) ayudar a los pueblos indígenas las comunidades dependientes de los bosques y a la sociedad civil a participar en los procesos de REDD+, iii) crear plataformas de diálogo entre múltiples interesados y iv) incluir temas cruciales en la agenda, como los derechos a la tierra y a los recursos naturales, así como la promulgación del Consentimiento Libre, Previo e Informado (CLPI). Esto proseguirá y se ampliará para incluir la interacción con los actores y las iniciativas del sector privado a fin de diseñar estrategias nacionales y planes de acción transformadores y de desarrollar políticas y medidas nacionales de REDD + de alta incidencia. La mejora de la gobernanza de los bosques se incluyó en las decisiones sobre REDD+ de Cancún (COP16), en lo relativo a las estrategias nacionales y a los planes de acción como a las salvaguardias. Se requieren esfuerzos analíticos para identificar, en primer lugar, las carencias de gobernanza que llevan a la deforestación, la degradación de los bosques y la gestión no sostenible, así como a la inversa, todo aquello que facilita o facilitaría la gobernanza mediante políticas y medidas exitosas, en segundo lugar, los principales actores y sus intereses en la reforma y, por último, las opciones de políticas públicas disponibles que tienen más probabilidades de abordar con eficacia las causas y en qué orden.

En lo que se refiere a la **seguridad de la tenencia**, se ha reconocido que a menudo es una importante condición facilitadora para REDD+. Cada país determinará los medios adecuados para abordar los problemas de tenencia. A tal efecto, las directrices voluntarias sobre la gobernanza responsable de la tenencia de la tierra, la pesca y los bosques pueden ser útiles. La **igualdad de género** también es una cuestión importante en REDD+, en consonancia con el enfoque de desarrollo basado en los derechos humanos. Se realizarán esfuerzos concertados para garantizar una mayor sensibilidad a las cuestiones de género en las actividades respaldadas por el Programa.

Suministro – principios, acuerdos interinstitucionales y colaboraciones

El Programa se guiará por los cinco principios interrelacionados del Grupo de las Naciones Unidas para el Desarrollo (GNUMD), a saber: la adopción de un enfoque basado en los derechos humanos para la programación, con hincapié en las directrices sobre los problemas de los pueblos indígenas; la promoción de la igualdad de género; el incremento de la sostenibilidad medioambiental; la gestión basada en los resultados; el desarrollo de capacidades. Además, la FAO, el PNUD y el PNUMA se comprometen, entre otras cosas, a: i) aprovechar sus ventajas comparativas para alcanzar una plena claridad y accesibilidad en los países asociados y para integrar el apoyo en disposiciones institucionales sólidas; ii) facilitar las colaboraciones; iii) contribuir a la coordinación a nivel nacional para evitar la repetición de esfuerzos en otras iniciativas de REDD+; iv) garantizar la participación plena, equitativa y efectiva de mujeres y hombres; v) basarse en las capacidades existentes y adoptar enfoques graduales mediante la incorporación de las lecciones aprendidas; vi) usar datos y herramientas de código abierto y disponibles sin cargo; vii) mejorar la relación costo-eficacia, la eficiencia y la capacidad de respuesta a las demandas de los países y de los donantes; viii) aumentar la proporción de fondos y el apoyo técnico suministrado directamente a los países; ix) tomar decisiones de manera conjunta y transparente; x) compartir toda la información en tiempo oportuno.

Las disposiciones nacionales de implementación y los equipos de apoyo a los países garantizarán la entrega efectiva, en función de la demanda, de apoyo para la preparación y la implementación de REDD+.

Estos equipos intervendrán bajo la facilitación de un representante del personal único y designado que servirá de punto de contacto en el país y rendirá cuentas ante el grupo de gestión del Programa. Se establecerá una modalidad de interfaz única optimizada en cada país con un acuerdo contractual y de reporte unificado. A escala mundial, el grupo de gestión del Programa será responsable de la supervisión conjunta y la planificación consolidada, de la elaboración de presupuestos y de la presentación de informes basados en los resultados para todo el Programa, en concordancia con un marco de organización normalizado. Un grupo estratégico con representantes de alto nivel de los tres organismos supervisará la cooperación entre los organismos y proporcionará las direcciones estrategias al Programa. La Secretaría facilitará la coordinación global y apoyará el funcionamiento del grupo de gestión del Programa y el mecanismo de gobernanza del Programa.

En lo que atañe a las colaboraciones distantes, diversos organismos multilaterales intervienen en el ámbito de REDD+. Se prevé una intensificación de la colaboración de larga data con el **Fondo para reducir las emisiones de carbono mediante la protección de los bosques** (FCPF) del Banco Mundial y se examinarán las posibilidades de una colaboración más estrecha con el **Fondo Verde para el Clima** (GCF), de reciente creación, y con el **Fondo para el Medio Ambiente Mundial** (FMAM). Los intercambios con estos socios estratégicos a nivel mundial se completarán con una intensificación del diálogo sobre la cooperación a nivel nacional.

Opciones de gobernanza

La gobernanza del Programa se perfeccionará para que sea más rentable y llegue a un mejor equilibrio entre orientación estratégica y decisiones operacionales, de conformidad con la teoría del cambio y el marco basado en resultados. Se adoptará un enfoque de dos pilares con una junta de políticas y una junta ejecutiva y menos reuniones cara a cara.

Estimación de los costos, seguimiento y evaluación

Se pueden contemplar diferentes escenarios para la estimación de los costos, en función del número de países en los que se apoyan acciones de preparación y acciones basadas en resultados. Una estimación preliminar de los costos totales para alcanzar los efectos y las repercusiones especificadas se sitúa en alrededor de USD 300 millones. Se está diseñando un marco de seguimiento y evaluación basado en los resultados a fin de seguir efectivamente los progresos sobre la base de indicadores acordados y de ayudar a la toma de decisiones.

1. Introduction

At the 13th meeting of the Policy Board (PB) of the UN-REDD Programme (held in Arusha, November 2014) it was agreed to continue to develop a strategic framework for the period 2016 to 2020. Following a broad stakeholder consultation process in the second half of 2014, an initial draft document was examined by the Board at the 13th meeting. It was concluded that further work was required to prepare a comprehensive strategic framework. Subsequently, based on written contributions provided by the three agencies participating in the UN-REDD Programme and drawing on a series of deliberations in the Management Group (MG), the present document has been drafted. As agreed at the 13th PB meeting this draft strategic framework is being submitted to the members for a further round of consultations. Thus, it is envisaged that in accordance with established PB decisions, as well as observations and feedback on this draft, a final document will be prepared and presented for further consideration by the Board at its 14th meeting in May 2015.

The document comprises a short background introduction to REDD+ and the achievements of the UN-REDD Programme from 2008-2015 (section 2) followed by a thorough outline of the proposed theory of change for the period from 2016 to 2020 including specification of the Programme goal, expected impacts, outcomes and outputs as well as some indication of the activities to be undertaken (section 3). Four main cross-cutting themes are described in section 4 and section 5 deals with the delivery of the Programme including partnerships. Section 6 indicates options for how the Programme governance arrangements will be developed. Finally brief notes are included on work in progress concerning both the preliminary cost estimates (section 7) and a proposed monitoring and evaluation framework (section 8).

2. Background and Lessons Learned from 2008-2015

2.1. REDD+ Defined

Deforestation and forest degradation have long been recognized as significant sources of greenhouse gas (GHG) emissions, indeed some projects addressing this issue date back to the 1990s. In the most recent fifth assessment of climate change causes and impacts published by the Inter-governmental Panel on Climate Change (IPCC), it can be inferred that deforestation and forest degradation account for over ten percent of GHG emissions.⁴ In 1992 UNFCCC recognized the role of land use, land-use change and forestry in mitigation of climate change, referring to promotion of sustainable management as well as to the conservation and enhancement of sinks and reservoirs of GHGs.

REDD+ was included as part of the Bali Action Plan adopted by the UNFCCC COP13 in 2007, defined as: *“reducing emissions from deforestation and forest degradation in developing countries; and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries”* (decision [1/CP.13](#)). This wide scope was confirmed and agreed upon to allow broad participation, based on differing national circumstances. It represented a shift in approach under the UNFCCC from just Annex I (developed) countries implementing mitigation actions to all Parties doing so, laying the foundations for non-Annex I (developing) Parties to implement Nationally Appropriate Mitigation Actions (NAMAs), that should be measured, reported and verified.

REDD+ decisions under UNFCCC have been adopted progressively since COP13. During the COP15 in Copenhagen, several principles and methodological guidelines were defined through the adoption of

⁴ Deforestation and forest degradation account for around twenty-five percent of CO₂ emissions. Approximately two-thirds of this is sequestered by newly planted and recovering forests. When absorption of CO₂ by newly planted and recovering forests is taken into account, land-use change (mainly deforestation and forest degradation) contributes around ten percent of CO₂ emissions. However, this figure does not account for emissions from burning and decomposition of drained peat lands, which are often a result of deforestation and forest degradation and a significant source of global emissions. See: <http://ipcc.ch/report/ar5/wg1/>

decision [4/CP.15](#): “*Methodological guidance for activities relating to reducing emissions from deforestation and forest degradation and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries.*” At COP16 Parties adopted decision [1/CP.16](#) (the so called ‘Cancun Agreements’). This defined the scope of REDD+ and the five activities are listed in decision [1/CP.16](#), paragraph 70: “*Encourages developing country Parties to contribute to mitigation actions in the forest sector by undertaking the following activities, as deemed appropriate by each Party and in accordance with their respective capabilities and national circumstances:*”

- *Reducing emissions from deforestation;*
- *Reducing emissions from forest degradation;*
- *Conservation of forest carbon stocks;*
- *Sustainable management of forests;*
- *Enhancement of forest carbon stocks.”*

Subsequently a work programme on methodological issues was launched, including modalities for forest reference levels (FREL/FRL) and national forest monitoring systems (NFMS) (decision [1/CP.16, appendix II](#)). The Cancun Agreements also included an important milestone in the UNFCCC with the adoption of seven safeguards to be addressed when undertaking REDD+ activities ([decision 1/CP.16, appendix I](#)).

At COP19 in Warsaw, most of the work programme was finalised, pending further guidance on safeguard information systems. Together, the seven decisions adopted and referred to as the [Warsaw Framework for REDD+](#), completed the REDD+ rulebook. The framework includes a decision on enhancing coordination of support for the implementation of activities, including institutional arrangements. A first decision on aspects related to finance for results-based actions (RBAs) was also adopted. Taken together, the UNFCCC has set out the process for developing countries to have the results of their REDD+ activities recognised for results-based payments (RBPs) and results-based finance (RBF).

2.2. Achievements and Lessons Learned Through the UN-REDD Programme, 2008-2015

The UN-REDD Programme was set up in 2008 to build on the convening power and technical expertise of the Food and Agriculture Organisation (FAO), the UN Development Programme (UNDP) and the UN Environment Programme (UNEP), combining forces to support developing countries in their efforts to mitigate climate change through the implementation of REDD+ activities agreed under the UNFCCC. An initial Programme document (2008) formed the basis for the signature of a memorandum of understanding (MoU) between the three partner organisations of the UN. The importance of capacity building for REDD+ readiness was stressed in the first five year strategy for the Programme (2011-2015), which would entail “*supporting governments to prepare national REDD+ strategies, build monitoring systems, engage stakeholders and assess multiple benefits.*” (UN-REDD Programme, 2010 page 1).

The Programme has expanded steadily since the start in 2008, initially providing support to nine pilot countries and reaching a total of almost 60 partner countries by the beginning of 2015. While full-scale national programmes designed for REDD+ readiness have been funded in 23 countries (so far), smaller targeted support grants have been allocated to over 35 countries and a global programme has enabled the participating UN organisations to backstop REDD+ readiness initiatives. It also is important to note that the Programme has operated in parallel and in close collaboration with the Forest Carbon Partnership Facility (FCPF) of the World Bank. A common template for readiness preparation proposals (R-PP) and various guidelines on technical matters have been developed jointly by the UN-REDD Programme and the FCPF and there have also been significant efforts to share knowledge and information on REDD+.

As noted above, during the formative five years of the Programme (2008-2013) the arrangements for REDD+ under the UNFCCC have been extensively analysed, discussed and negotiated. Meanwhile, through the national programmes and other forms of assistance, considerable progress has been made towards developing the building blocks of REDD+. In accordance with the outcomes specified in the 2010 Programme strategy for 2011-2015, the results of the UN-REDD Programme have been achieved in a series of thematic work areas:

- Measurement, reporting and verification (MRV) and forest monitoring;
- Inclusive, transparent and accountable national governance systems for REDD+, forests and finance;
- Stakeholder participation in national and international REDD+ decision making;
- Social and environmental safeguards and multiple benefits for REDD+;
- Transformation towards the green economy; and
- Development, management and sharing of REDD+ knowledge.

Work on MRV has focused on forest carbon measurement as a key component of capacity building to enhance NFMS in a wide range of developing countries. Considerable progress has been made in a large number of countries. Various processes aiming to promote good forest governance have been supported through the Programme, including participatory governance assessments (PGAs), studies of corruption in the forest sector and arrangements for the management of REDD+ funds. A range of stakeholders have participated in the development of REDD+ through national and international REDD+ platforms, with a particular focus on Civil Society Organisations (CSOs) and Indigenous Peoples (IPs).

Many of the REDD+ stakeholders in partner countries have significantly increased their understanding of safeguards issues between 2008 and 2015 as country approaches to safeguards have been developed. Support has also been provided to identify and promote the social and environmental benefits of REDD+, including through integration in land use planning. Work on REDD+ in the context of the green economy has gradually taken off and there is considerable scope for increasing efforts to encourage private sector initiatives to tackle the drivers of deforestation and forest degradation as well to work on carbon stock enhancement through landscape restoration. Finally, it is important to note that a series of policy briefs, lessons learned studies and best practice guidelines have been prepared through the Programme and many of the main results are summarized in a review entitled “On the road to REDD+” which was published in 2014.⁵

Several assessments of the UN-REDD Programme have been undertaken since 2012, most notably an independent external evaluation in 2013-2014. The overall performance was summarized as follows:

“The UN-REDD Programme has helped draw global and national attention to the importance of forests. It has given previously marginalized populations a strong voice in relevant decision-making arenas; it is leading countries to engage in policy reforms, increase transparency and reduce the risk of corruption; it has triggered the search for viable solutions to the problems associated with deforestation; it is supporting the valuation of forests and the services they provide; and it has allowed a broad range of stakeholders to gain experience with an innovative construct that now makes it possible to better articulate the conditions for sustainability and how such an agenda should be pursued.”⁶

The most significant challenge for the Programme and for REDD+ concerns the availability of future RBPs, considered as the vital incentive for reducing emissions by rewarding the MRVed outcomes of RBAs in forests and landscapes. This conclusion was also underlined in the first evaluations of national programmes carried out in Indonesia, Tanzania and Viet Nam, in the sense that in these countries (and elsewhere), it has become apparent that getting ready for REDD+ implies a significant focus on the mechanisms for - as well as the availability of - RBF. Other issues related to capacity development and to the inclusion of REDD+ in national climate change and development policy initiatives were emphasized in these evaluations.

The 2013-2014 external evaluation was intended both as an assessment of the results achieved but also as a means of informing the revision of the Programme strategy beyond 2015. The recommendations focused on the need to re-think the purpose of the Programme and develop a ToC, on enhancing collaboration with the FCPF, on country ownership of REDD+ initiatives, on cross-sectoral approaches and broad stakeholder participation. There were also recommendations pertaining to the work on land tenure, on the importance of social and environmental safeguards in REDD+, on gender equality and on the participation of CSOs and

⁵ A list of key references is included in annex A.

⁶ Frechette, A. et al (2014, p. 78): Final report of the external evaluation of the UN-REDD Programme.

IPs. Finally the evaluation team emphasized the need to revise and simplify the governance structure of the Programme and improve monitoring and reporting. All these recommendations have been thoroughly considered by the Programme's decision makers and have shaped the design of the 2016-2020 strategy.

2.3. REDD+ and Sustainable Development

As progress has been made in designing REDD+ strategies and action plans in a number of developing countries since 2007-2008, it has become increasingly apparent that REDD+ as a NAMA also contributes to sustainable development in the context of climate change. Some countries have launched ambitious climate change and green development action plans, in which REDD+ is a major component of the effort to transform natural resource management and tackle poverty. The challenges were succinctly stated at the UN climate change summit in 2014, in a declaration on tackling deforestation and forest degradation:

"Forests are essential to our future. More than 1.6 billion people depend on them for food, water, fuel, medicines, traditional cultures and livelihoods. Forests also support up to 80% of terrestrial biodiversity and play a vital role in safeguarding the climate by naturally sequestering carbon. Yet, each year an average of 13 million hectares of forest disappear, often with devastating impacts on communities and indigenous peoples. The conversion of forests for the production of commodities—such as soy, palm oil, beef and paper—accounts for roughly half of global deforestation. Infrastructure, urban expansion, energy, mining and fuel wood collection also contribute in varying degrees.

*Reducing emissions from deforestation and increasing forest restoration will be extremely important in limiting global warming to +2°C. Forests represent one of the largest, most cost-effective climate solutions available today. Action to conserve, sustainably manage and restore forests can contribute to economic growth, poverty alleviation, rule of law, food security, climate resilience and biodiversity conservation. It can help secure respect for the rights of forest dependent indigenous peoples, while promoting their participation and that of local communities in decision-making."*⁷

This substantial and critical agenda defining the global effort to tackle climate change and keep temperature increase below 2 degrees above the pre-industrial levels (as agreed through the UNFCCC), combined with the supporting countries to make significant and transformative progress with respect to the UN Sustainable Development Goals (SDGs) underpins the design of the UN-REDD Programme, 2016-2020. The SDGs are currently being agreed by the members of the UN. They include taking action to combat climate change and its impacts (proposed goal 13) as well as protecting, restoring and promoting the sustainable use of terrestrial ecosystems, sustainably managing forests, combating desertification and halting and reversing land degradation and halting biodiversity loss (proposed goal 15). In designing the 2016-2020 strategic framework for the UN-REDD Programme and consistent with the conclusions of the external evaluation, both the UNFCCC REDD+ process and the sustainable development agenda of the UN have been taken into account.

3. 2016-20 – Theory of Change, Goals, Impacts and Outcomes

3.1. Development Goal of the UN-REDD Programme

The overall development goal of the Programme is as follows: to reduce forest emissions and enhance carbon stocks from forests while contributing to national sustainable development. In other words, while focusing on REDD+ opportunities and the potential for emissions reductions and enhanced forest carbon stocks as agreed in the UNFCCC, the UN-REDD Programme will be consistent with and contribute to achieving the UN SDGs.

⁷ See: <http://www.un.org/climatechange/summit/wp-content/uploads/sites/2/2014/09/FORESTS-New-York-Declaration-on-Forests.pdf>

A ToC provides a means for validating the causal relationships between the goals, impacts, outcomes and outputs of a programme, showing how these will achieve the desired changes as well as the assumptions on which the changes are based. Thus, at the level of the development goal, the associated ToC statement is as follows:

If (i) political commitments are made to REDD+ within the UNFCCC and consistent with national sustainable development strategies; (ii) political will and finance are available to support the implementation of REDD+ policies and measures, including investment and incentive payments to tackle the drivers of deforestation and forest degradation and; (iii) there is willingness to engage in comprehensive multi-stakeholder consultative processes at national level, seeking sustainable natural resource management solutions; **Then** GHG emissions from forests will be reduced and carbon stocks will be enhanced while at the same time sustainable, equitable, low carbon development paths will be identified and put into practice. These are the key assumptions that underpin the proposed Programme.

3.2. Expected Impacts, 2016-2020

In accordance with the overall ToC, it is anticipated the Programme will impact on developing countries in three ways over a five year period (2016-2020):

- by ensuring increased effective participation in the REDD+ process and recognition of the outcomes of readiness as defined through the UNFCCC;
- by ensuring the foundations for increased RBPs for REDD+ in developing countries, based on MRVed emissions reductions; and
- by ensuring that additional social and environmental benefits of REDD+ are generated, including adaptation to climate change, conservation of biological diversity, enhanced ecosystem services and improved livelihoods.

These impacts will be achieved on the basis of a series of outcomes as defined and described in the following sections which in turn drive sustainable development processes forward towards the overall desired change. The drivers of impact include the availability of finance for REDD+ and sustainable land use, the participation of public and private stakeholders in the development of policies and measures and actions to tackle deforestation, forest degradation and unsustainable land management and the development of capacities to undertake improved natural resource management at various scales, from the local to the national and beyond. It is also important to emphasise that in accordance with the UNFCCC decisions on REDD+, the UN-REDD Programme will encompass all five activities: *“reducing emissions from deforestation; reducing emissions from forest degradation; the conservation of forest carbon stocks; the sustainable management of forests; and the enhancement of forest carbon stocks.”*

In the following summaries of the expected results of the Programme that will contribute to achieving the impacts and the overall development goal, it is understood that there are significant links and interactions between the four outcomes. While each outcome is defined and described in terms of specific outputs, it is the combination of processes that will lead to the desired impacts, e.g. the REDD+ contributions as outlined in the sections dealing with mitigation design (outcome 1) and mitigation measurement (outcome 2) constitute the combined building blocks of readiness.⁸

3.3. Programme Outcomes, Outputs and Indicative Activities

3.3.1. Outcome 1 – REDD+ Contributions to Mitigation and Additional Benefits Designed

Introduction to REDD+ Strategies and/or Action Plans

⁸ A diagram in annex B shows a simplified, shorthand version of the ToC for the Programme, 2016-2020.

Forest changes occur at the interface between human and environmental systems. Land managers constantly make trade-offs between different land use opportunities and the constraints imposed by a variety of external factors. Deforestation and forest degradation can result from direct and indirect causes known as drivers.

These drivers vary among regions and countries, and are often outside the forest sector. The long-term viability of REDD+ depends on altering business-as-usual activities in sectors currently driving GHG emissions from deforestation and forest degradation. The direct drivers are human activities that impact forest cover and result in loss of carbon stocks. Agriculture is estimated to be the largest direct driver, accounting for about 80 per cent of deforestation worldwide. Mining, infrastructure and urban expansion are important but less prominent (Kissinger et al, 2012). Major drivers for forest degradation include unsustainable logging (both legal and illegal) and the use of fuelwood and charcoal, the latter in particular in Africa. Indirect drivers for both deforestation and forest degradation include a range of forces that are often interrelated, combining social, economic, political, technological and cultural processes that operate at a range of scales. Drivers are different from country to country and addressing them effectively will depend on a variety of factors.

Therefore assessment at country level becomes essential for defining the most appropriate measures to sustainably address the drivers while developing REDD+ within the context of NS/AP.⁹ In addition, in many countries weak governance and institutions in forest-related sectors, including capacity deficiencies, conflicting cross-sectoral legislation and policies and illegal activities (related to weak enforcement) are critical underlying drivers of deforestation and degradation. Thus, achieving REDD+ results will entail: i) that the direct and indirect drivers of deforestation are identified at the country level; and ii) that stakeholders identify policies and measures as part of the NS/APs to address drivers of deforestation, including linkages to broader low carbon, climate change and/or sustainable development strategies.¹⁰

Introduction to REDD+ Safeguards

Under the UNFCCC Parties to the Convention have agreed to a set of seven safeguards (UNFCCC [Decision 1/CP.16](#)) to be promoted and supported when undertaking REDD+ activities, known as the Cancun safeguards. Parties implementing REDD+ are asked to develop both a Safeguard Information System (SIS) and provide a summary of information ([Decision 12/CP.17](#)) on how all the safeguards are being addressed and respected throughout the implementation of the REDD+ activities. The summary should be included in national communications, after REDD+ activities start, and may also be provided via the UNFCCC's [REDD+ web platform](#) ([Decision 12/CP.19](#)).

The UN-REDD Programme focuses on supporting countries to meet (or exceed as desired) their requirements under the UNFCCC, rather than imposing any novel safeguard requirements of its own. Work on addressing, respecting and providing information on the safeguards will be country-led, with the agencies' inputs emphasizing decision support, capacity building and participatory processes to empower in-country stakeholders. These inputs are designed to enable countries to take a flexible country approach in responding to the UNFCCC decisions on safeguards. In this context, the UN-REDD Programme has laid out a general [framework for supporting the development of country approaches to safeguards](#), to guide delivery of its support to countries in establishing the safeguards pillar of the Warsaw framework in their specific contexts and circumstances.

The country approach to safeguards comprises two core work streams: first, on identifying and, if necessary, strengthening the PLRs that address the Cancun safeguards; and second, on developing a SIS as required under the UNFCCC. The PLRs and SIS should draw as much as possible on existing institutions, processes and procedures. There is no specific guidance from UNFCCC on the content or structure of the summary of information, beyond that it covers all seven Cancun safeguards. It is expected to draw on the

⁹ In some countries a NS/AP may be part of an overall climate change or sustainable development strategy.

¹⁰ See also section 4.1 (below), concerning stakeholder engagement processes supported by the Programme.

SIS and may describe the overall safeguards process, the relevant PLRs in place, and the degree to which these are being respected in practice.

It is important to underline that there are two main areas of synergy between safeguards work and other pillars of the Warsaw Framework. Early on in both NS/AP and safeguards processes, an assessment of environmental and social benefits and risks of proposed REDD+ actions can serve to sharpen the scope of both work areas and strengthen the selection and design of strategic options comprising the NS/AP. PLRs identified as addressing the safeguards may also contribute to REDD+ implementation overall, i.e. they might constitute some of the PAMs described in the NS/AP. The NFMS may include information related to some of the Cancun safeguards, for example identifying if natural forests are being converted.

The safeguards work contributes to all three impacts of the UN-REDD Programme strategy: i) under the first impact countries understand the requirements on safeguards delineated in UNFCCC and that a country led safeguards process is needed to accomplish this; ii) under the second impact the summary of safeguards information is a requirement under UNFCCC for results-based payments and addressing and respecting the safeguards is a prerequisite to achieving the results in a sustainable manner; and iii) under the third impact responding to the safeguards helps to enhance the benefits of REDD+ as well as reducing any social and environmental risks (as explored in the following section).

Introduction to the Integration of Social and Environmental Benefits in REDD+

One of the basic motivations for governments and stakeholders to become engaged in REDD+ is the potential to achieve social and environmental benefits that go beyond climate change mitigation. Many countries include the achievement of additional benefits among the objectives of their REDD+ policy documents, often referring to biodiversity conservation, ecosystem services (especially water regulation and soil retention), support to local livelihoods, the cultural and spiritual values of forests, and poverty reduction. These additional benefits can make REDD+ efforts more sustainable in the long-term, lend greater momentum and political will to REDD+ efforts, and by contributing to other existing goals, reduce overall costs for governments.

Under the UNFCCC, as indicated above, the Cancun safeguards ask countries to promote and support the use of REDD+ actions to enhance '*other social and environmental benefits*'. Parties have further recognized the importance of non-carbon benefits for the long-term sustainability of REDD+ efforts in Decision 9/CP.19, and work on methodological issues related to non-carbon benefits is ongoing as mandated by Decision 1/CP.18. The delivery of additional benefits by REDD+ can also contribute to globally agreed policy goals, in particular the Aichi Biodiversity Targets ([Targets 5, 7, 11 and 15](#)), the UN [SDGs](#), and [adaptation to climate change](#).

NS/APs can reflect the approach that a country chooses to take to achieving additional social and environmental benefits, and provide a framework for relevant actions. In the early stages of designing NS/APs, countries may benefit from support on the identification and prioritization of possible additional benefits from REDD+, as well as in communicating about these benefits with stakeholders, making appropriate links with the national approach to safeguards, tailoring REDD+ actions to increase the resulting benefits, and finding ways to address potential trade-offs between different types of possible benefits.

Spatial decision support work can offer significant inputs to the NS/APs, for example by identifying likely zones for different actions and the various social, economic and environmental benefits that may result. Where REDD+ actions such as improved forest protection or reforestation are to be implemented in specific locations rather than through universal policies, zoning decisions may be required to prioritize locations for those actions.

With UN-REDD Programme support, many countries have already made progress in identifying priority benefits and locations where these could be achieved, and so their next challenge is to put this knowledge into practice. The UN-REDD Programme will continue to assist countries to consider additional benefits both in the design of NS/APs and in the implementation of policies and measures leading to RBAs.

This work contributes directly to the third impact of the Programme, enhancing partner countries achievement of additional social and environmental benefits from REDD+. It links closely with work on safeguards and NS/APs and on the development of PAMs for RBAs, and the Programme will assist countries to develop these aspects in a coherent manner.

Outcome and outputs

On this basis the first Programme outcome is: REDD+ contribution to the mitigation of climate change as well as to the provision of additional benefits has been designed. Outputs are described in the following.

Output 1.1 – National REDD+ Strategies and/or Action Plans (NS/AP)

Countries have developed technically and economically sound REDD+ NS/APs. These involve the active participation of a wide range of stakeholders and sectors the NS/APs can benefit from high-level political support and are integrated with national development objectives and planning processes. This opens the way for REDD+ implementation through PAMs and iterative revisions of the NS/AP following a pragmatic step-wise approach and leading to RBAs.¹¹ In short, with support from the UN-REDD programme:

- REDD+ countries have planned robust and pragmatic NS/AP development processes;
- REDD+ countries have carried out quality gender sensitive and participatory NS/AP development processes ensuring the full and effective participation of IPs and local communities;¹²
- REDD+ countries have national strategies that include as appropriate a combination of national and international, public and private sources of funding that make them more financially resilient; and
- REDD+ countries with significant changes in national circumstances and/or sufficient lessons learnt from REDD+ implementation have revised their NS/AP accordingly, in a dynamic, step-wise approach towards national implementation (accessing RBPs)

Indicative activities:

In order to achieve the results listed above, the Programme may provide support to countries covering all or part of the following as desired and appropriate:

- Assess the state of REDD+ readiness and the critical gaps for cost-effective NS/AP design and subsequent implementation, consolidating the various relevant technical inputs;
- Undertake quantitative and qualitative studies to identify the direct and indirect drivers of deforestation and forest degradation, as well as underlying social, economic and governance causes;¹³
- Establish and/or improve existing participatory processes that will ensure multi-stakeholder and gender responsive engagement during the NS/AP development process;
- Carry out cost-benefit analysis including spatial planning options for most cost-effective REDD+ actions;
- Selecting the scope (i.e. which of the 1/CP.16 paragraph 70, REDD+ activities are to be included) and the scale envisaged (i.e. national/sub-national) of REDD+ implementation, and/or the step-wise path for including activities or moving towards national implementation;¹⁴
- Define and secure political commitments to REDD+ objectives and the implementation of PAMs agreed on, conditional on commitments for the provision of adequate and predictable support and based on a funding strategy for ex-ante financing and RBPs that include as appropriate domestic, international, public and private sources;
- Support the assessment of PAMs through economic analysis, technical and financial feasibility, and the application of safeguards;

¹¹ Annex C comprises an exploration of issues in the transition from NS/AP to RBPs.

¹² See also sections 4.1 (on stakeholder engagement) and 4.4. (on gender and REDD+).

¹³ See also section 4.2 (below), which deals with governance as a key thematic issue in the Programme.

¹⁴ See also outcome 2 (“mitigation measured”).

- Ensure that the NS/AP results in implementation and transaction costs that are in line with the volume of expected RBPs and each country's capacities;
- Define adequate institutional arrangements to ensure effective inter-institutional and inter-sectorial dialogue and coordination for the implementation of the PAMs identified;
- Define the tools, processes and responsibilities required to ensure quality monitoring and evaluation of REDD+ implementation and performance, the consolidation of information, and a transparent and equitable flow of information to relevant stakeholders, including both women and men;
- Support decision making processes by providing assessment of the options for policies and measures from different perspectives, including through cost-benefit analysis, technical and financial feasibility, and safeguards; and
- Assess forest related legal frameworks to identify cross-sectoral gaps that might impede REDD+ and contribute to clarity in legal provisions by accompanying legislative processes and reforms. Elaborate a roadmap for the progressive improvement of the NS/AP using lessons learnt and aiming to scale-up in scale and scope towards national implementation.

Output 1.2 - Safeguards

Partner countries will have developed an approach to addressing and respecting the Cancun safeguards, and to providing information on this through an SIS. The approach may also take account of specific national goals or donor requirements. The work has been informed by UN-REDD Programme technical and financial support and has used UN-REDD tools and guidance¹⁵ to the extent desired by governments. The Programme will have assisted partner countries to define a country-led safeguards process, identify the potential benefits and risks of different proposed REDD+ actions and document how existing PLRs address the safeguards, together with a plan for any further PLR revision or development needed to ensure sufficient coverage of each safeguard. Countries supported will have a clear design for an SIS consistent with the UNFCCC decisions that articulates the system's institutional arrangements, informational content and structure, and technological dissemination solutions, together with an agreed content and format for a summary of information to be submitted in obtaining RBPs under the UNFCCC.

Indicative activities:

The Programme will provide technical support, capacity building and financial assistance for progress on the design and implementation of the country approach to safeguards. This includes:

- Stakeholder engagement: analysis, awareness, and capacity building to enable involvement in the further activities listed here;
- Planning a country approach to safeguards that is participatory, gender equitable, inclusive, and will fulfill any additional country-specific goals;
- Identification of institutional and procedural arrangements for implementing the country approach to safeguards;
- Identification of risks and benefits (relevant to a country-specific unpacking of the Cancun safeguards) from the country's anticipated REDD+ actions;
- The identification of existing PLRs that tackle these risks and benefits, and any gaps in these PLRs in addressing a country-specific unpacking of the Cancun safeguards;
- Revision or development of PLRs to fill these gaps;
- Identification of existing information sources and institutions that may contribute to the SIS;

¹⁵ These include tools on the overall safeguards process (the [Country Approach to Safeguards Tool](#) and [Benefits and Risks Tool](#)) and others that respond to individual safeguards (such as the [Guidelines on Free, Prior and Informed Consent](#) or [mapping tools](#)).

- Identification of potential synergies between SIS and existing information systems in the country (for example some of the elements of the NFMS) and with the wider country-led safeguards process and preparation of the NS/AP;
- Design, development and testing of the SIS including (if desired) the identification of indicators based on the identified risks and benefits, and strengthened institutional arrangements for collecting and sharing information; and
- Development and communication to the UNFCCC of a summary of information on how the safeguards are being addressed and respected, which may include any identified indicators if appropriate to national circumstances.

In addition, the UN-REDD Programme's global safeguards knowledge products will be updated with a prime focus on country experiences, responding to any new Convention decisions on the topic. There will also be close collaboration with the FCPF and other relevant safeguard initiatives to increase complementarity in supporting country-led safeguards processes, aiming to improve coordination at an early stage of requests for support.

Output 1.3 – Including Social and Environmental Benefits in the NS/AP

Countries have been able to enhance additional benefits from REDD+, where desired, through in-depth and stakeholder-validated spatial and economic analysis of different benefits and costs of possible REDD+ actions. Where desired, NS/APs will take account of additional benefits, for example through a statement on priorities, as part of the justification for selected policies and measures and in any zoning that indicates the preferred locations for RBAs. Government agencies responsible for REDD+ will have strengthened inter-sectoral collaboration by demonstrating the scope for additional benefits such as food, water and energy security, and contributing to a transition to a green economy.

Partner countries will also be better able to implement REDD+ results-based actions and measure their impacts, through enhanced capacity of government agencies and stakeholders at the national and subnational level to:

- Plan for and implement REDD+ interventions to achieve social and environmental benefits;
- Demonstrate the value of REDD+ and forests to other political and economic sectors; and
- Collect and analyse information on the scope for and achievement of additional benefits (linking with work on SIS).

The Programme will have assisted partner countries in the above, with the work drawing on UN-REDD financial and technical support and tools as required. At the global level, REDD+ will be providing a clear and measurable contribution to the 2020 Aichi Biodiversity Targets and supporting improved governance (including through access to information), enhanced livelihoods, gender equality and other enabling conditions for the UN SDGs.

Indicative activities:

UN-REDD will offer technical support and capacity building to countries to develop inputs into national REDD+ strategy processes and into the development of PAMs that promote the achievement of additional benefits. These activities will be underpinned by a participatory approach that equitably includes both women and men, and ensures that the priorities of important stakeholders, such as IPs and local communities, are fully integrated in the analytical process and resulting plans. This includes work on:

- Identification of priority benefits from REDD+, and risks to be avoided, through stakeholder engagement and consultation at national or subnational level, noting that priority benefits and perceived risks can vary between regions and communities (linking with the safeguards work described above), and developing a statement of priorities and specific objectives related to the benefits and risks, which may contribute to the NS/AP;

- Building capacity and understanding within countries, including among representatives of different sectors, on identification, mapping and economic valuation of potential benefits;
- Development of maps and other outputs that support spatial planning for REDD+ actions that achieve additional benefits, for example through zoning of specific REDD+ actions within NS/APs;
- Analysis of options for PAMs to compare their costs and benefits, to contribute to identifying cost-effective and socio-economically beneficial REDD+ activities and actions.
- Appropriate design of REDD+ interventions in order to enhance benefits and avoid risks; and
- Ongoing updates to land-use planning as REDD+ implementation proceeds, in response to changing national circumstances (especially related to decisions in other sectors such as agriculture), or to incorporate additional REDD+ activities.

3.3.2. Outcome 2 - REDD+ Contributions to Mitigation Measured

What is being done and lessons learned

Developing countries need to measure and report their REDD+ mitigation contributions internationally if they want to access RBPs under the UNFCCC, as agreed in Cancun in 2010 at COP16 and in the follow up decisions. In this context, developing countries are requested to develop NFMS, estimations of the emissions and removals associated to their REDD+ activities and forest reference emission levels and/or forest reference levels (FRELs/FRLs). NFMS and FRELs/FRLs are the two key elements of the four elements that developing countries should have in place to demonstrate/measure their mitigation efforts in order to access REDD+ RBPs under the UNFCCC, for instance through the GCF or other financing mechanisms.

The question is: “what does measuring and reporting REDD+ mitigation contributions internationally imply or consist of?” The identified problem can be broken down through the question: “why are countries currently unable to report internationally on REDD+ results?”

Under the UNFCCC REDD+ context NFMS are primarily meant to provide information on emissions reductions from forests, enhancement of sinks and/or carbon stocks in the context of REDD+, while working with multiple countries it was widely recognized that forest monitoring can also provide relevant information for domestic planning, for some safeguards, etc. The UN-REDD Programme therefore supported in-country NFMS related activities with the understanding that information on the forest sector could serve two simultaneous functions: monitoring in a wider sense and measurement, and MRV for REDD+ activities. Overall a NFMS is an essential component for the management of REDD+ information for national programmes, and beyond, by providing accurate data essential in any country from planning to implementation of effective REDD+ activities domestically by allowing more informed decisions at all stages.

The implementation of UNFCCC REDD+ decisions taking into account national circumstances and capacities is at the heart of the approach to support countries in designing and/or building their NFMS. The Programme support aims to build the technical capacity of each developing country’s institutions on issues and technical elements relating to NFMS.¹⁶

To move towards sustainable and cost effective NFMS and ensure that support is done in the best interest of developing countries, the Programme aims to support NFMS that are designed to serve multiple purposes for the forestry sector, as opposed to the promotion in countries of independent or parallel monitoring systems for different purposes. The NFMS should also be well anchored through sound institutional arrangements and be able to function mainly with national expertise and with limited outside expertise. Up front assessments of information needs and capacities, building upon existing components and systems, and linking to other domestic land information systems, will contribute to greater ownership, integration and sustainability.

¹⁶ This will be done in a manner consistent with the overall principles of the UN-REDD Programme as outlined in section 5.1 (below).

In line with the recent COP guidance, countries are expecting that the UN-REDD Programme support on FRELs/FRLs will be aligned with the key points reflected in COP decisions made on the scale, scope and other requirements. Thus, in supporting countries through the process of developing FRELs/FRLs in line with the UNFCCC decisions, it will be necessary to: i) maintain [consistency with national GHG inventories](#); ii) ensure that they are established transparently, providing information and rationale on FREL/FRL developments; iii) [allow for a step-wise approach](#); and iv) [allow for the use of subnational FREL/FRLs as an interim measure](#) while looking in the future to scale up to national level.

The development of FRELs/FRLs is a process that requires consideration of national circumstances, data availability and existing capacities. Countries in general aim for national scale FREL/FRLs, but in many cases neither the data nor the capacities are initially available. Therefore it is expected that many countries will start at the sub-national scale. Countries are looking at the technical assessment process as a facilitative process to improve on a step wise manner their FRELs/FRLs to increase scale, include more REDD+ activities and pools and reduce the uncertainty of the estimates. In doing so, countries are sharing experiences (south-south exchanges) and receive high-quality technical advice.

Output 2.1 - Countries Develop the NFMS and Institutional Anchorage

Countries develop NFMS that allow them to collect information to fulfill the MRV REDD+ international requirements (carbon emission reductions, carbon stocks and carbon sinks in t/CO₂eq). The NFMS fully takes into account implementation costs in the design so as to ensure sustainability and alignment with expected flows of RBPs. Countries take into account other needs for forest information while designing the NFMS.

Indicative activities:

- Land monitoring systems based on a set of tools that allow countries to generate activity data for forest cover and forest cover changes available for all member countries, including desk and backstopping support, free data access and storage support, as well as appropriate documentation;
- Tools, training and supporting documentation on national forest inventory design and implementation as well as emission factor development (including documentation and manuals);
- Protocols/methods for assessment of country institutional arrangements, capacities and available data;
- Country specific (tier 2 IPCC) emission factors, biomass expansion factors, allometric equations and/or support on using models (tier 3), that suit the specific countries in their process for improving emissions reductions and removals estimates associated with REDD+ activities;
- GHGs inventories in the Land Use, Land-Use Change and Forestry (LULUCF)/Agriculture, Forestry and Other Land Use (AFOLU) sector for all member countries developed or improved (including using the FAOSTAT (FAO Statistics Division) data for initial estimations or internal checks);
- NFMS action plans tailored to individual countries, including recommendations on institutional arrangements, participatory processes and links to other information systems;
- NFMS improvements and actions plan implementation following a step wise approach in line with country decisions on REDD+ implementation choices including necessary institutional arrangements; and
- Full costing of the proposed NFMS and when necessary adjustment to make the design compatible with each country's capacities to ensure long-term operation.

Output 2.2 - Countries Develop and Submit FREL/FRLs to the UNFCCC.

Countries have developed forest reference emissions levels and submitted these to the UNFCCC in accordance with requirements specified in order to access results-based payments under UNFCCC financing mechanisms (such as the GCF or others). Countries continue to improve their reference levels and implement recommendations of the Technical Assessments (TAs).

Indicative activities:

- A set of tools and technical documents addressing different components/steps of the construction of the FRELs/FRLs, including desk support and appropriate documentation;
- Development of guidance on step wise FRELs/FRLs development processes, based on country experience and technical assessments already preformed under the UNFCCC;
- Guidance on how to ensure adequate coordination with the NS/APs process, including use of multi-stakeholder platforms to ensure broad understanding and acceptance of scope and scale considerations;
- South-South exchange on experiences at the regional and global levels on the technical assessments already performed under the UNFCCC;
- Training of technical experts to further engage country experts in the technical assessments. Technical guidance in coordination with other initiatives, such Global Forest Observations Initiative (GFOI) and IPCC, to address FRELs/FRLs methodological challenges;
- Support a number of countries submitting their FRELs/FRLs to the UNFCCC Secretariat for a technical assessment; and
- Support a number of countries improved FRELs/FRLs as per recommendations of the technical assessments.

Output 2.3 - Estimates of Emissions and Removals Associated with REDD+ Activities.

Countries produce estimates of emissions and removals associated with their REDD+ activities that are consistent with their FREL/FRL and their land-use GHG inventories, and fulfil all MRV REDD+ international requirements. Such estimates are included in the REDD+ annex of the Biennial update report (BUR) to the UNFCCC.

Indicative activities:

- Support countries in the development of the estimates of emissions and removals to be included in their BURs REDD+ Annex fulfilling the UNFCCC reporting requirements;
- Training of technical experts to further engage country experts in the assessment of the BUR REDD+ Annex in the context of the consultation analysis of technical assessments;
- South-South exchange on experiences at the regional and global levels on the assessment of the BUR REDD+ Annex already performed under the UNFCCC; and
- Support a number of countries submitting their BUR REDD+ Annexes to the UNFCCC Secretariat for international consultation analysis.

3.3.3. Outcome 3 - REDD+ Contributions to Mitigation Implemented and Safeguarded

Introduction

At the core of REDD+ NS/APs lies the identification of PAMs to be implemented to achieve emissions reductions (ERs) and/or removals. Thus, in order to achieve the overall development goal of the Programme, contributions to climate change mitigation will need to be designed, measured and implemented. Complimenting outcomes 1 and 2, outcome 3 combines implementation of the PAMs identified through countries NS/APs while addressing safeguards, to ensure that REDD+ becomes operational. Both new as well as existing PAMs will be integrated into the REDD+ NS/AP.

It is worth noting that the Programme has started to receive requests from some countries for support in the implementation of their PAMs identified as crucial for REDD+. It is anticipated that this sort of request will keep coming, more so given that the REDD+ rulebook has been agreed and that new financial opportunities for REDD+ are emerging, most notably with the forthcoming operationalization of the GCF and the increasing engagement of bilateral cooperation in financing RBAs. Accordingly, the UN-REDD Programme will make provisions to address requests from countries for support in the implementation of REDD+, towards RBPs.

In comparison with outcomes 1, 3 and 4, this kind of support represents a new area for the Programme. It is however not a new domain for the agencies, which have been already supporting the implementation of PAMs for climate-change mitigation in different contexts in recent years. The UN-REDD Programme aims to offer tailored assistance and advice to countries for the implementation of REDD+ PAMs, and that are linked with the drivers of deforestation and country-specific circumstances (output 3.1). Simultaneously, the UN-REDD Programme will be able to assist governments with the creation and operation of institutional arrangements, processes and tools to implement such PAMs, as well as accessing and disbursing REDD+ finance. Finally, UN-REDD will aim to ensure that these actions and processes respect and address the safeguards referred to in the UNFCCC Cancun Agreements.

The Programme will provide this kind of support in a number of selected countries; those which have made significant progress towards readiness in line with the requirements of the UNFCCC. Based on this, and the demand received so far, it is anticipated that 1-2 national proposals for support to implementing PAMs will be received annually between 2016 and 2020. This represents a total of 5 to 8 national proposals for implementing PAMs for REDD+. Requests for support for establishing institutional arrangements to finance the implementation of PAMs may be larger, approximately 10 to 15 countries during the next five years. In essence, this outcome is not wide ranging, but focused on responding to requests from those countries with an advanced degree of REDD+ readiness.

Building on experience and lessons from the past years, the Programme can support the implementation of contributions to mitigation by helping countries to assess which PAMs are most likely to succeed. The body of knowledge acquired through successful national programmes will be important in this context. Studies on identifying the drivers of deforestation and forest degradation as well as institutional and context analyses (on the political and social viability of PAMs) have contributed to this knowledge. Furthermore, the UN-REDD Programme can facilitate consistency of the different sectoral policies and help ensure that REDD+ is embedded in national and sub-national policy processes. Another area where the Programme can provide support is helping to pilot processes which (if successful) can be followed by capacity development to move from the pilot phase to national implementation. Furthermore, countries can be supported in their engagement with domestic and international private sector entities, across the supply chains, and linking them into REDD+ processes and dialogue with government to contribute to the implementation of PAMs.

Policies and Measures (PAMs)

As noted above, the Programme will assist with the implementation of PAMs that result directly in emission reductions or removals as well as those creating enabling conditions for ERs and removals. The PAMs will vary largely and will be based on the specific drivers and other national circumstances of the countries. Building on the work undertaken since 2008 as well as on the expressed interests and requests from REDD+ countries, the Programme's support could potentially cover the areas listed below. Given the need to resonate with drivers and other country circumstances, additional areas may be identified during the dialogue with REDD+ countries for implementing PAMs; accordingly the following is an indicative list of activities to be undertaken:

- Strengthening community management of forests;
- Reassessment of the protected area networks and their management;
- Foster dialogue between government and IPs on forest-related rights;
- Titling and registration of IPs' lands;
- Operation of government-led multi-stakeholder commodity platforms for each commodity driving forest loss in the country;
- Strengthening of systemic capacity to provide producers with technical assistance so that they are able to shift production practices towards sustainability, including productivity on existing land;
- Design set-up and test sustainable biomass energy programs;
- Design, set up and test/pilot incentives to shift productive activities towards sustainability including the rehabilitation of and production on degraded land to alleviate pressure on forests (zero deforestation credit lines, microfinance, supply chain traceability); incentive schemes to promote off-farm employment; to promote legal supply of timber; and the allocation of incentives to agents

of deforestation and forest degradation, conservation, reforestation and natural regeneration (e.g. through schemes for payment for environmental services);

- Removing legal loopholes and strengthening of rule of law (e.g. anti-corruption and other governance reforms);
- Support legal reform removing perverse incentives to deforest (including e.g. focusing on land tenure, moratoria on concessions and fiscal policies, etc.)¹⁷
- Inter-sectoral coordination to integrate REDD+ objectives into existing or forthcoming rural development plans, land use planning, extractives or infrastructure development.

The type and scale of support will depend on the particular requests by countries, which could demand assistance to pilot a specific PAM or, more broadly, implementation support for a set of inter-related PAMs across various sectors during a few years. It is anticipated that support will be focused and will build on priorities identified in the NS/AP.

The scope and type of support will also be determined by the portfolio of the UN-REDD agencies and the breadth of their partnership with the government in a given country. In some countries the agencies' portfolios already include a number of activities related to improving forest management and forest governance. Beyond the forest sector, agencies are already involved in the design and implementation of PAMs which are essential to successful REDD+, including in the field of poverty reduction, human rights and dialogue with indigenous peoples. Furthermore, actors in commodity supply chains - including producers, traders, chambers of commerce, industry associations, buyers, retailers, financial institutions, debt, equity and insurance institutions - and all those involved in the drivers of deforestation, as well as extractive industries could be targeted through PAMs.

In addition, through application of the country approach to safeguards, the Programme will assist countries to identify and strengthen existing domestic governance arrangements - PLRs, institutions, institutional procedures and processes, and information systems,- to ensure a country-specific specification of the Cancun safeguards is respected throughout the implementation of PAMs identified in the NS/AP. In doing so, UN-REDD will enable countries to meet (or exceed as desired) the safeguards requirements for RBPs through submission of summaries of information on how REDD+ safeguards are addressed and respected, included in national communications (or on a voluntary basis via the web platform) to the UNFCCC.

The Programme will advise countries in compiling and structuring their summaries of safeguard information, in line with existing and any future UNFCCC guidance, as a key product of their SISs. The summaries will demonstrate to international constituencies how each country has addressed (identified existing governance arrangements in place to meet) and respected (implemented those arrangements in practice, with incremental improvements over time to meet) their country-specific unpacking of the Cancun safeguards. Particular attention will be paid by the Programme to strengthening implementation of those PLRs that address the greatest environmental and social risks, or promise the greatest benefits. Through this risk management/benefit enhancement approach, PAMs will be environmentally sustainable and socially equitable.

Output 3.1 – Support for REDD+ Policies and Measures

REDD+ PAMs are implemented in selected countries, generating emission reductions while capturing lessons for the subsequent improvement of the effectiveness of the NS/APs.

Indicative activities:

Based on country requests, the UN-REDD Programme may undertake one or more of the following:

- Supporting both national stakeholders and international funding institutions in reaching mutually satisfying agreements to secure the implementation of REDD+ PAMs, while ensuring compliance

¹⁷ Tenure is an important cross-cutting theme in the Programme, as described in section 4.3 (below).

with UNFCCC agreements and requirements. This may entail supporting the drafting of technical/legal documents in preparation of funding agreements and reviewing and advising on the proposed agreements from a legal and technical perspective.

- Depending on the choice of PAMs and requests for UN-REDD assistance, support countries with the implementation of PAMs, such as: i) drafting/revision of the technical, legal and operational documentation required to implement specific PAMs; ii) supporting the selection process of implementing partners; iii) prepare, convene and facilitate strategic meetings (e.g. steering committees, bilateral meetings, stakeholder consultations, technical meetings); iv) provide and recruit professionals to be deployed within government for qualitative advice; v) procure goods and services (including additional feasibility studies and analysis as well as operational support); and vi) carry out quality assurance of the design of effective and efficient incentive mechanisms.
- Providing capacity building to professionals from government agencies, to implementing partners and to relevant stakeholders on all of the above.
- Depending on the requests, support could be provided to align policies and measures with international funding and with actions taken by other stakeholders including but not limited to private sector actors involved in commodity supply chains and finance.
- Supporting the development and operation of M&E frameworks to monitor the implementation of PAMs with a strong results-based perspective including ex-post analysis of effectiveness and efficiency.

The level of involvement of the Programme will depend on the capacities of the countries and their preferences, on donor requests and on the ability of the agencies to deliver the requested assistance. In any case, support will be defined in agreement with both recipient and donor countries.

Output 3.2 - Institutional Arrangements for REDD+ Finance Developed

To enable the implementation of PAMs, some countries may require support with the institutional arrangements for REDD+ finance, including for RBPs. This support focuses less on the substantial PAMs, but rather on the institutional framework for channelling funds to support REDD+ actions. Through UN-REDD Programme support, institutional arrangements are put in place to access and disburse REDD+ finance. These arrangements will be required for the flow of RBPs for tangible results in terms of ERs and removals (tCO₂e).

Indicative activities:

In order to achieve the output above, the Programme will be able to provide support to selected countries on a number of activities related to institutional design and operationalization for REDD+ finance. This would comprise tasks such as the following:

- Support the creation and/or strengthening of institutions, tools and processes required to implement the REDD+ PAMs, including the combination and sequencing of different sources of finance, while ensuring effective inter-institutional and inter-sectorial cooperation, and ensuring a transparent and equitable flow of information to relevant stakeholders;
- Support the development of a strategic engagement framework with funding sources (including the selection and nomination of focal points, national designated entities, national entities) consistent with other climate finance initiatives in the country;
- Understanding and meeting the fiduciary standards and operational modalities of the financing entities providing investment and RBF including: i) support for the identification of entities to obtain and receive payments for results recognized under the UNFCCC, consistent with any specific operational modalities of the financing entities (including the GCF); ii) capacity building to help entities meet requirements of financing entities including accreditation requirements of the GCF; iii) technical advice and support for inclusive participatory processes in the development of an initial portfolio of programs and projects in line with national development plans;
- Provide advice on the operation of an interim financial architecture at the national level;

- Create effective and efficient national operational modalities to channel REDD+ finance towards the implementation of PAMs (including the disbursement of incentives);
- Support viable financial and operational planning of the national fund management architecture; and
- Understand the implications and manage the different rules and reporting requirements applied under each REDD+ payments agreement including: i) legal advice and links with UNFCCC processes; and ii) technical advice on the implications of such agreements for equitable benefit sharing.

Output 3.3 – Safeguards Operationalised as Enabling Environment for RBAs and Payments

Countries have operationalised a domestic unpacking of the Cancun safeguards as enshrined in their existing or strengthened PLRs (addressing safeguards) and implemented through their existing institutional arrangements (respecting safeguards). Subsequently, the Programme will assist countries to demonstrate how the safeguards were addressed and respected in a summary of information submitted to the UNFCCC.

Indicative activities:

- Strengthening existing governance arrangements, particularly institutions (statutory and customary as appropriate), and institutional procedures, identified during the initial PLR assessments as priorities for ensuring safeguards are respected throughout implementation of PAMs;
- Iteratively refining PAM designs, informed by risk/benefit analyses employed during initial safeguards scoping activities, to be more environmentally sustainable and socially equitable; and
- Advising countries on the options for content and structure, in line with existing and any future UNFCCC guidance, of their SIS, and summaries of safeguards information, and how these means of demonstrating safeguarded PAMs can be improved over time.

3.3.4. Outcome 4 - REDD+ Knowledge Managed

Introduction

Knowledge management (KM) is understood within the UN-REDD Programme as a systematic approach to enable knowledge to flow effectively and efficiently to achieve agreed objectives. It is a set of tools, processes and methods that facilitate the conditions for people to efficiently create, capture, share, adapt and use knowledge to achieve their goals. Knowledge management aims to facilitate the capture, dissemination and sharing of existing knowledge but also the creation, dissemination and sharing of new knowledge. In the context of REDD+, knowledge is a key building block of capacity development, which countries have identified as critical to delivering REDD+.

It has been recognized, though, that the knowledge needs of REDD+ countries are shifting and varied. This is due to advancing technical REDD+ knowledge, an increase in countries beginning REDD+ readiness activities, increasing experiential knowledge of countries that have progressed from REDD+ readiness to implementation, and the UNFCCC REDD+ requirements.

In response, KM is one of the key outcomes of the Programme's 2016-2020 strategic framework. This outcome is designed to strengthen the Programme's support to countries in accessing and sharing well-documented, evidenced-based REDD+ readiness and implementation knowledge aligned with UNFCCC REDD+ requirements. In line with the reinforced country-driven approach, the KM outcome will deliver in a comprehensive, coordinated and tailored way. This applies to both knowledge needs and the accessibility to knowledge within local contexts. The knowledge managed will also be practical and support country-level REDD+ action and be based on lessons learned of the Programme over the last seven years.

It is also designed to harness the combined knowledge of the Programme's three collaborating UN organizations and in so doing to strengthen the "delivering as one" approach of the Programme. In

addition, realizing the importance of a multi-sectoral approach to REDD+, the knowledge management work of the Programme can be leveraged to engage with multiple sectors, and to build an understanding of REDD+ within these sectors. The KM work of the Programme is also a mechanism to support the capacity development of large numbers of REDD+ practitioners around the globe, through the use of online learning tools.¹⁸

Output 4.1. Knowledge Management Platform Operational

KM systems and tools are developed, including an online platform, to meet country needs and facilitate the systematization of and accessibility to knowledge by REDD+ practitioners, policy makers, donors and other stakeholders. This will include the development of accessible technological and non-technological tools, processes and methods that facilitate the identifying, capture, sharing and applying of REDD+ lessons learned to realize REDD+ RBPs. Use of these resources will be facilitated and supported by training to ensure full participation and benefit by partner countries.

Indicative activities:

- Make knowledge platform accessible to stakeholders;
- Facilitate use of knowledge tools and systems, including through regional and in-country training;
- Develop online global, regional and thematic communities of practice, as appropriate according to country needs;
- Develop REDD+ expert database; and
- Manage REDD+ knowledge repository.

Output 4.2 - Knowledge Products and Knowledge Sharing

REDD+ capacities are increased through participation in knowledge sharing, including through the REDD+ Academy and other capacity building activities as well as through the development of knowledge products. REDD+ readiness and the capacity of countries to implement REDD+ is enhanced through regional and in-country training sessions and available tools, known as the REDD+ Academy.¹⁹ In addition to regional and national face-to-face REDD+ Academy sessions, the wider audience of REDD+ practitioners will be able to access learning resources through a series of Massive Open Online Courses (MOOC), enabling the UN-REDD Programme to cost-effectively share REDD+ knowledge to a broad global audience.

Indicative activities:

- Identify, capture and share national-, regional-, and global-level REDD+ knowledge, including lessons learned;
- Facilitation of knowledge activities and the development of knowledge products that support countries to share their own knowledge and access others' knowledge based on country need;
- Produce and disseminate REDD+ knowledge products based on country needs, aligned with UNFCCC requirements;
- Carry-out regional knowledge needs assessments;

¹⁸ The UN-REDD Programme will maintain and continue to improve its website (www.un-redd.org) and workspace (www.unredd.net) as main delivery vehicles for communications and knowledge management. The Programme will also move towards clearer visibility and identity of staff through a common email address (@un-redd.org).

¹⁹ In 2014, the UN-REDD Programme developed a curriculum-based capacity developing initiative, the REDD+ Academy, to support partner countries in their national REDD+ activities. The overall objective is to provide demand driven, holistic and targeted capacity development to enable national REDD+ actions. It is expected that over the period 2016-2020, the REDD+ Academy will build a critical mass of in-country capacity to support REDD+ readiness and implementation. Content for the REDD+ Academy is based on the Warsaw Framework for REDD+ and verifiable knowledge and experience gained from the UN-REDD Programme over the last seven years.

- Organize knowledge sharing events including global, regional and national learning workshops, South-South exchanges, and study tours;
- Facilitate global, regional and country-to-country knowledge partnerships;
- Integrate Peer Reviews and After Action Reviews into UN-REDD Programme reporting to identify and apply results-based management lessons learned.
- Design and deliver face-to-face regional and national REDD+ Academy sessions;
- Customize REDD+ Academy course content to meet regional and country-specific knowledge needs;
- Development and continuous improvement of new course materials that reflect evolving REDD+ knowledge needs as well as priorities of partner countries; and
- Design, launch, and administer REDD+ Academy MOOC courses aligned with evolving knowledge and needs of REDD+ practitioners.

4. Cross-cutting Themes

4.1 Stakeholder Engagement – Civil Society, Indigenous People and the Private Sector

Introduction

Full and effective stakeholder engagement is an indispensable priority for REDD+ for a number of reasons. Firstly, UNFCCC decisions have consistently called for Parties to ensure the full and effective participation of relevant stakeholders in the design and implementation of REDD+ NS/APs. Secondly, there has been a strong demand for meaningful stakeholder engagement from donors, indigenous peoples, civil society and REDD+ countries alike since the early days of conceptualizing REDD+. Thirdly, because of the transformational reforms REDD+ often demands, the success in any country depends on partnerships and buy-in across a large swath of government, society, business and institutions. Stakeholder engagement is not merely a matter of integrating the views of the different actors that are concerned by REDD+ but also to craft partnerships, consensus, inclusive and gender sensitive policies that will make REDD+ transformational, attainable and enduring. In accordance with the guiding principle of the Programme to take a HRBA to programming, this also means that the Programme must ensure the recognition of and respect for rights, including those of indigenous peoples, under applicable international law.

Since 2008 the UN-REDD Programme has contributed to the widespread recognition of stakeholder engagement as a central feature of REDD+ readiness. In addition, the Programme's work has served to: i) build trust and partnerships between governments and non-governmental stakeholders; ii) sensitize governments on the importance of stakeholder engagement; iii) help indigenous peoples and civil society to structure themselves for improved engagement; iv) create multi-stakeholder dialogue platforms; and v) put delicate issues on the global REDD+ agenda, such as rights to land and natural resources, and FPIC. The Programme has also helped to translate stakeholder concerns and protests into recommendations and solutions.

Approaches and Methods for Broader Stakeholder Engagement and Social Inclusion

As the Programme aims to support countries to meet the requirements of the UNFCCC REDD+ decisions, the stakeholder engagement work will be restructured accordingly. The REDD+ elements primarily relevant to stakeholder engagement are: i) NS/AP; and ii) safeguards, although decision 4/CP.15 also makes clear that IPs and local communities should also be involved in monitoring and reporting.²⁰

²⁰ Decision 4/CP.15 (Copenhagen): in the preamble states 'Recognizing the need for full and effective engagement of indigenous peoples and local communities in, and the potential contribution of their knowledge to, monitoring and reporting of activities' and paragraph 3 operationalizes this commitment and "Encourages, as appropriate, the development of guidance for effective engagement of indigenous peoples and local communities in monitoring and reporting."

Equally, it should be noted that greater focus will be placed on the private sector. Despite the importance of the private sector to the success of REDD+, its role has been relatively marginal to the development of REDD+ to date, and whose role was also reinforced by the UN-REDD Programme external evaluation in 2014.

The active engagement of the private sector is critical for the development of NS/APs, to ensure alignment of objectives and ultimately to the success of REDD+. Private sector actors represent roughly 70 per cent of global Gross Domestic Product (GDP) and employment. They are the largest global land users and as a result are key actors in land-use change dynamics and the largest drivers of deforestation and forest degradation. Furthermore, private sector actors are: i) a critical agent in the implementation of actions and measures that advance REDD+ objectives; ii) can accelerate the innovation required to decoupling economic growth from resource use; and iii) represent a significant potential source of finance and investment for REDD+ implementation. Many RBAs will be based on PAMs which have an impact on private sector behavior. The UN-REDD Programme will not engage with the private sector as an end in itself, but as a means to an end. This will be necessary to inform and assist partner countries in crafting effective and efficient actions, PAMs to create an enabling environment that will shape private sector operating models towards reducing deforestation and forest degradation.

Appropriate stakeholder engagement is necessary both during the development of NS/APs and their implementation. A participatory process that is full and effective comprises the following key stages: the determination of: i) the scope and scale of REDD+; and ii) a country's iterative pathway towards a comprehensive scope; decision-making around the strategic prioritization of REDD+ PAMs; and the implementation of PAMs to achieve REDD+ results.

With regard to the private sector engagement the new approach will include fully country-tailored support packages based on country requests, including an offer to establish platforms for private sector engagement in the design and implementation of PAMs. REDD+ needs to be embedded into broader economic development plans and goals if it is going to be successful and help shape private sector behavior. The risks of REDD+ for private sector "business as usual" as well as the opportunities from REDD+ in terms of investment options and securing commodity supply chains need to be clearly articulated at national level. The private sector is more than large multi-nationals. Indeed, it is often small and medium enterprises which are engines of growth in both developed and developing economies and which create jobs, drive economic development and can change current development pathways. The private sector will change behavior primarily in response to regulations and incentives, but it would be naïve to assume there are always mutually favorable conditions that are attractive to both the private sector and developing countries that produce REDD+ results. Thus, the UN-REDD Programme approach to stakeholder engagement in 2016-2020 will include support at the country-level in the following spheres.

Stakeholder analysis – this is ideally conducted at the onset of REDD+ readiness, even as part of scoping REDD+ or REDD+ readiness planning. Stakeholder mapping is a first step that may contribute to determining the appropriate scope and scale of REDD+ for any given country. It can provide analysis on the interests and issues of each stakeholder group in relation to REDD+, and their capacities to engage. In this sense, the institutional & context analysis for REDD+ (ICA/REDD+) that UN-REDD has been using represents a valuable methodology to help countries scope their stakeholders, understand the political and socio-economic views around REDD+, and explore their interrelations. The ICA/REDD+ not only provides stakeholder analysis, but also serves to forecast points of divergence and tension between stakeholders when developing a NS/AP, as well as opportunities for alliances and collaborative efforts.

Multi-stakeholder platforms – these will become the core approach to strategic planning for REDD+. Inclusive NS/APs that involve all relevant and affected stakeholders are not only more likely to be accepted (and therefore applied), but are also more likely to be successful in achieving their REDD+ goals. The UN-REDD Programme up until 2015 has supported countries with a number of engagement processes, for example: through its support to the engagement of IPs and local communities; through its PGAs; through its gender-sensitive REDD+ support; through national thematic task forces; and through the national commodity platforms of the Green Commodities Platform (GCP). The focus during 2016-2020 will be to

support countries to combine and sequence these processes so that the development and implementation of their NS/AP is accompanied by effective multi-stakeholder and gender responsive engagement. These platforms can take different forms, and evolve over time. This will include policy dialogue within government, and with non-governmental stakeholders to build consensus around the national 'vision' of REDD+ and the proposed strategy for achieving REDD+ results. Multi-stakeholder platforms provide an open and transparent means to engage key actors and build the partnerships required for REDD+ to prosper. Where existing national processes for engagement exist, they can be supported in order to be fit for purpose. Where necessary, support will be given to develop appropriate multi-stakeholder platforms.

On-the-ground capacity and awareness support – to complement national dialogue it is important that stakeholders, including equitably both women and men, have the capacity and the necessary understanding of REDD+ to be able to engage meaningfully. The UN-REDD Programme will continue to provide support to indigenous peoples and forest-dependent communities through Community Based REDD+ (CBR+) and focus on ensuring adequate capacity, institutions and processes for IPs and CSOs to participate in national, regional and international processes.

Social inclusion – For a NS/AP to be successful it not only needs to deliver results in terms of emissions reductions, but it must also contribute to a country's broader national development goals and priorities. This can take a number of forms – from consideration of the potential social impacts of REDD+ policies and measures (particularly on marginalized members of society), to the provision of alternative livelihoods, new employment opportunities from REDD+ transformations, the equitable sharing of REDD+ benefits, and the development of REDD+ policies that can have multiple benefits.

Consensus, agreements and partnerships – ensuring stakeholders own and truly have a stake in a country's NS/AP represents a key outcome of stakeholder engagement process and will make the attainment of expected REDD+ results more likely and more viable. The UN-REDD Programme will support this goal.

Capturing knowledge – creating a safe and neutral environment to facilitate the multi-stakeholder dialogue required to allow governments develop a range of options that deliver transformative change from business-as-usual to REDD+ results. Discussion platforms at national and regional level will build on existing stakeholder engagement platforms in partner countries, where possible. Areas for discussion at national level might include: i) regulatory instruments, ii) economic instruments, and iii) information instruments (i.e., changing behavior through legality, price and awareness respectively). Comprehensive guidance tools focusing on key issues of stakeholder engagement, gender and FPIC have been developed and are being applied to country contexts. Relationships and practical cooperation with important national, regional and international-level constituencies are well established.

Upon request, the UN-REDD Programme will also conduct independent assessment and provide advice to countries on the following elements related to the quality of stakeholder engagement processes:

- Consideration of rights and social and gender specific impacts in stakeholder identification, mapping and analysis;
- Ensuring the legitimacy and accountability of bodies representing relevant stakeholders (e.g. support to self-selection processes);
- Respecting traditional decision making and governance systems in indigenous lands and territories, balancing the need to promote innovations in decision making and governance that increases social equality; and
- Identification and provision of sufficient human, financial, technical and legal resources for effective participation of indigenous peoples and local communities (in both decision making and implementation), including capacity building for individuals, communities and relevant networks and local institutions; and
- Ensuring that FPIC is upheld for relevant rights-holders on issues that may affect their lands, territories and resources.

REDD+ NS/APs will have repercussions on a large segment of the private sector, with considerable potential implications for direct and indirect land users. Engagement with relevant private sector actors can help to ensure the PAMs are effective in achieving the desired REDD+ results. This may include improving the understanding of what drives their current practices (that contribute to deforestation or the other potential RBAs) and in terms of shaping incentive measures that are likely to be the most successful in shifting those current practices.²¹

4.2. Forest Governance

Introduction

The UNFCCC REDD+ decisions make two main references to governance:

- Paragraph 70 of decision 1/CP.16, where four of the seven Cancun safeguards directly relate to good governance – and one to *forest* governance specifically - namely: i) policy coherence (national & international); ii) forest governance (transparency & effectiveness); iii) knowledge and rights of IPs & local communities; iv) full and effective participation of relevant stakeholders, in particular IPs & local communities.
- Paragraph 72 of decision 1/CP.16, which requests that NS/APs address, amongst others, forest governance issues.

These decisions have been described as covering a vast array of topics such as access to information; accountability; corruption; land tenure; equitable distribution of benefits; gender equality; conflicting policies/regulations; enforcement of the rule of law; adequate access to justice; institutional framework and capacity; integration of social, economic and environmental considerations; and cross-sectoral coordination. This broad interpretation is also reflected in partner country's demands and sustained requests for governance support since 2008.

Governance Analysis to Inform Scope, Scale and Priority Drivers

All national programme documents and R-PPs acknowledge, to varying degrees of detail, governance deficits as underlying causes of drivers of deforestation and degradation.²² As part of the development of a NS/AP, using governance information to understand root causes of drivers requires analytical efforts to identify i) governance deficits that facilitate deforestation, forest degradation and unsustainable management, and, conversely, governance enablers that have or would facilitate successful policies and measures; ii) key players, and their interests in either reform or in the status quo; and iii) what available public policy options are most likely to be effective in addressing the drivers and in which sequence. Activities could include:

- Support to address legal and regulatory inconsistencies in different forest-related sectors, through adjustments of legal texts and development of new laws, decrees and regulations;

²¹ The work of UNDP's Green Commodities Programme (GCP) may be very relevant, as it supports the creation of national policy dialogue platforms for a number of relevant commodity sectors. Similarly, the UNEP Finance Initiative (UNEP-FI) engages with various relevant private sector actors, both in collaboration with the GCP and in other contexts. The work of the FAO Development Law Service is also a key to ensuring participatory and inclusive legislative processes.

²² The World Resources Institute has analyzed 46 such documents to date : <http://www.wri.org/publication/getting-ready>

- Analyses of governance causes to drivers and unsustainable management, promoting through facilitated multi-stakeholder processes;
- Institutional & context analysis for REDD+ to assist countries to understand the political and socio-economic views around REDD+ and explore their interrelations and adjust the institutional set-up to properly engage relevant capacities and institutions; and
- Support studies to understand the most complex social and governance risks, impacts, benefits and trade-offs related to the NS/AP options.

Collaborative and Accountable Institutions for the Implementation of REDD+ NS/AP

The implementation of NS/APs will, depending on the national contexts, require addressing existing governance deficits in the forest sector but also strengthen legal frameworks, for example to nest institutional arrangements into existing regulatory and legal frameworks across sectors and institutional capacity. The latter would entail capacity development for institutions implementing REDD+ (in terms of knowledge, training and human resources), as well as strengthening collaborative capacities for implementation, inter-sectorally and between governmental and non-governmental actors. To be effective, institutions may need to develop their accountability mechanisms, including both regular feedback systems and grievance & redress systems, through fair, transparent, accessible organizational systems and resources established by national government to receive and address concerns about the impact of their policies, programmes and operations on external stakeholders, including women, men and youth.

Finally, to ensure adaptive management and evidence-based decision-making, systems should be developed to systematically monitor, collect and learn lessons from implementing PAMs, in order to assess their relevance, usefulness, internal and external coherence, strategic relevance, cost effectiveness, sustainability over time and capacity building component. The objective of such monitoring of PAMs is for countries to analyze not only if the targets of a specific policy or measure have modified their behavior, but also how to inform decision-making to improve or reorient PAMs in the next iteration of a NS/AP.

Activities could include:

- Continued support to legal reforms;
- Capacity needs assessments and capacities development plans (individual, institutional and collaborative capacities) at various levels ;
- Capacity development for institutions implementing REDD+, in terms of knowledge, human resources and trainings;
- Institutional strengthening of various governmental and non-governmental stakeholders; and
- Continued support to enhance responsiveness to feedback to (e.g. through participatory social impact analysis and social audits²³) and grievance systems.

Support to governance also cuts across safeguards and the transparent and accountable management of REDD+ funds (as addressed in the description of outcomes and outputs).

4.3. Tenure and REDD+

The provision of clear tenure rights over forests provides motivation to sustainably manage forest resources, thus contributing to the goal of reducing carbon emissions. Likewise, clarifying tenure rights strengthens accountability. By identifying who owns and uses forests, more effective engagement on the ground in activities to address deforestation and forest degradation can be achieved. The challenges faced in many developing countries with regard to tenure and REDD+ often stem from the difficulty of reconciling customary rights and statutory law, combined with increasing pressure on forest resources. Some common

²³ See UNDP Guidance <http://www.undp.org/content/dam/undp/library/Democratic%20Governance/OGC/dg-ogc-Fostering%20Social%20Accountability-Guidance%20Note.pdf> and *A practical Guide to social audits* <http://www.pogar.org/publications/ac/books/practicalguide-socialaudit-e.pdf>

issues that relate to REDD+ include: lack of legal provisions to recognize customary forest tenure; lack of transparency in transactions related to forestland; costly and cumbersome forestland registration procedures that tend to exclude the poor; lack of enforcement of existing forest tenure claims, and lack of institutional capacity to address forest tenure issues.

While not a requirement, the Cancun Agreements request developing country parties to address land tenure issues (1/CP.16, paragraph 72) when developing and implementing their national strategies. Thus, many countries have acknowledged the importance of tenure in the context of REDD+ and have been seeking support from the UN-REDD Programme in this area.

The UN-REDD Programme's focus on tenure stems from understanding tenure security as an important enabling condition for REDD+. It is important to stress that each country will determine the appropriate approach to deal with tenure issues based on its unique situation. Depending on country needs and priorities, the UN-REDD Programme may support both short and long-term activities, ranging from technical advice on tenure reforms based on participatory approaches to training on the use of specific tools and methodologies to improve land use planning and management. In addressing tenure and REDD+ the following are important:

- Support a country-driven approach to tenure and REDD+, whereby multiple stakeholders are encouraged to participate in the process of assessment, capacity building, and reform;
- Utilize the Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security (VGGT) as a guiding framework for addressing tenure issues in the context of REDD+;
- Emphasize the importance of customary ownership rights and the rights of indigenous and local communities;
- Promote the mainstreaming of gender and the use of a gender sensitive approach (see below); and
- Encourage an integrated approach that recognizes the interconnectedness of forest tenure with the broader land and resource tenure regime. In particular, identify and take advantage of synergies related to in-country VGGT activities.

In the period from 2016 to 2020 a transition is envisioned in the UN-REDD Programme's support to countries on REDD+ and tenure, in which some countries that have already conducted assessments will begin to implement the recommendations from these, including legal and policy reform, participatory land use planning and mapping, and capacity development. At the same time, a number of new countries will embark on assessments of their tenure regimes in the earlier years of the cycle. The UN-REDD Programme's contribution to supporting enabling conditions for tenure must be viewed in the context of a larger effort to reform land tenure across many sectors beyond forestry. There should be continual efforts to harmonize and align approaches with other initiatives and to find synergies.

The results will be twofold: i) the enabling conditions for REDD+ are enhanced through concrete steps taken to address tenure concerns impacting forests; and ii) in-country capacity to address tenure is enhanced. Depending on country circumstances, activities could include:

- Broad assessments on tenure regimes in the context of REDD+ which identify recommendations and next steps;
- Legal and policy reform based on consultative processes to address weaknesses and gaps related to tenure in the context of REDD+;
- Land use planning and participatory mapping activities to enhance tenure security for forest lands;
- Training and capacity building to increase human resources capacity to enable tenure reforms and concrete actions;
- Engagement in broader land reform processes;
- Guidance to improve tenure procedures, for example by streamlining forestland registration;
- Development of legal provisions on conflict management related to tenure;

- Provision of a forum for learning and exchange on issues related to tenure and REDD+; and
- Sharing of experience and lessons learned through documentation, media and outreach.

4.4. Gender and REDD+

Introduction

Various social, economic, cultural and political inequalities are still present in many societies which limit certain groups, such as women, the poor, handicapped, and elderly, from being able to equitably access resources and fully participate, contribute to and benefit from NS/AP. However, it is also critical not to view these marginalized groups as victims, but rather as key agents of change, whose unique knowledge, skills and experience are vital to successful REDD+ action. Given that women and men often have different roles, responsibilities and priorities in communities, they may experience the effects of climate change and REDD+ policies differently. They may also respond to different incentive measures and public policy interventions. It is therefore important to ensure that gender dimensions and women's empowerment concepts are addressed in issues relating to climate change, forest management and the sharing of REDD+ benefits. Gender-differentiated needs, uses and knowledge can also provide critical influence for determining the scope and scale of REDD+. For example, women's subsistence activities and knowledge of the forest can contribute positively to the sustainable management of forests or enhancement of forest carbon stocks. Understanding the varying roles played by men and women can enable a more accurate analysis of the problem - what is driving deforestation, where and how — and also helps identify potential solutions and allows interventions be applicable and relevant at national and local levels.

In addition, inclusive and equitable stakeholder participation and ensuring that REDD+ processes are gender sensitive, are also crucial elements in implementing effective and efficient REDD+ strategies, and more broadly, achieving sustainable development. In fact, meaningfully capturing the views, experiences and priorities of both men and women in REDD+ at all stages, including in REDD+ readiness, has been identified as a main contributor to success. Therefore, failing to target and involve both women and men equitably in REDD+ and other climate change and development responses would lessen the reach of the UN-REDD Programme's impacts and benefits.

This rationale for including gender equality considerations and promoting women's empowerment in REDD+ policy, planning and implementation is also predicated on a human rights-based approach to development. Gender equality is a human right set forth in the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW), as well as addressed in the United Nations Declaration on the Rights of Indigenous People (UNDRIP) and the UNFCCC. More specifically, within the UNFCCC Cancun Agreements (Decision 1/CP.16, paragraph 72), Parties guided countries that when "developing and implementing their national strategies or action plans, to address, inter alia, drivers of deforestation and forest degradation, land tenure issues, forest governance issues, gender considerations...". The 2011 UNFCCC Durban Outcomes (Decision 12/CP.17, paragraph 2) further guided countries that when providing information on how safeguards are addressed, gender considerations should be respected in this process.

Lessons Learned on Gender

Acknowledging the critical linkages and synergies between gender equality, reducing emissions from deforestation and forest degradation, and sustainable development, the UN-REDD Programme has been taking active steps to promote gender equality and a human rights-based approach in its work. This has involved utilizing a multi-pronged approach with gender, in which support has been provided both at the global level, with tools, guidance and reporting on gender and REDD+, as well as at the national level, with assistance being provided in integrating gender equality and women's empowerment principles into nationally led REDD+ activities.

Various processes and guidance materials call for gender mainstreaming, gender equality, gender equity and/or the empowerment and involvement of women. Of particular relevance are the FPIC, the Social and Environmental Principles and Criteria (SEPC), the R-PP template, the Guidance Note on Gender Sensitive REDD+, and the Guidelines on Stakeholder Engagement for REDD+. In the Programme's 2011-2015 strategy, gender equality was also one of its guiding principles, as well as one of the identified social standards in its national governance work, among others. The Programme's approach to addressing gender has also centered on establishing linkages and connections with other thematic areas, such as national governance, safeguards and stakeholder engagement, to help promote an integrated approach, where gender is addressed both as a stand-alone as well as a cross-cutting theme in the Programme's work.

Many UN-REDD Programme supported actions have also taken place at the regional and country level, across regions, to promote the integration of gender equality and women's empowerment considerations in REDD+ readiness and implementation processes. Countries are increasingly planning activities, conducting baseline assessments, and allocating budget in their key REDD+ documents to ensure the explicit inclusion gender and/or women empowerment issues. Synergies and collaborative efforts with various global, regional and country level organizations and networks have also been initiated and undertaken to help move gender sensitive activities within UN-REDD countries forward and promote equitable and effective on-the-ground action.

To date, the Programme's approach on promoting gender equality and women's empowerment has successfully helped result in more equitable, transparent and fair REDD+ action both at global and national levels. However, as countries move forward in developing their REDD+ readiness approaches, and move into the implementation phase of their REDD+ work, there is a continued and pressing need to better integrate and mainstream gender activities at the country-level in a more cohesive and systematic way throughout the process, including within design, implementation, monitoring and evaluation. As mentioned above (section 4.1) this will be achieved by the inclusion of women and women's groups in multi-stakeholder platforms designed to support NS/AP processes.

Approaches and Methods

Thus, to provide such support to REDD+ countries and building on the gains already made in promoting gender equality and women's empowerment within its work, the Programme will continue to rely on an integrated approach with gender, where gender equality and women's empowerment are addressed both as stand-alone and cross cutting issues within its work and across its thematic areas. Additionally, given that gender mainstreaming in UN-REDD is reflected in many policy and programmatic documents and guidelines, the focus of its gender work moving forward will be orientated towards: 1) operationalizing this guidance at global, regional and national levels; and 2) undertaking a systematic approach in the integration of gender equality and women's empowerment principles at the national level, taking into account country specific and local circumstances.

Thus, the Programme will offer technical support to undertake this work through the following:

- Increase gender sensitive participation: Promoting gender balance and integrating gender equality and women's empowerment concepts within UN-REDD Programme workshops, consultations, decision-making, capacity building and training at both global and national levels;
- Booster awareness on gender considerations: Increasing the depth of understanding of gender equality and women's empowerment concepts, and addressing the misperceptions concerning gender issues at both global and national levels;
- Undertake gender-sensitive assessments: Conducting gender analysis and stocktaking exercises, which establish a gender baseline and identify areas for improvement in REDD+ policy and programming, where gender equality and women's empowerment can be promoted; and

- Develop gender responsive UN-REDD Programme reporting and monitoring frameworks: Collecting data to monitor and evaluate the implementation of gender mainstreaming actions and the reporting of corresponding results.

It is envisaged that the methods will further promote and ensure increased gender responsiveness of activities support by the UN-REDD Programme and help resolve gender imbalances encountered in REDD+ processes, both in country as well as supportive structures at regional and global levels.

5. Delivery of the Programme

5.1. Principles

The UN-REDD Programme will be consistent with the “Delivering as One” approach that maximizes efficiencies and effectiveness in implementation, building on the catalytic and convening powers of the three UN-REDD Programme agencies. At the country level, national programmes will function through the UN Resident Coordinator, in-line with established UN country programming practices.

The Programme will be guided by the five inter-related principles of the UN Development Group (UNDG):

- Adopting a HRBA to programming, with particular reference to the UNDG guidelines on Indigenous Peoples’ issues;
- Promoting gender equality;
- Enhancing environmental sustainability;
- Using results-based management; and
- Undertaking capacity development.

Furthermore through the UN-REDD Programme, the FAO, UNDP and UNEP are committed to:

- Building on their comparative strengths to achieve full clarity, visibility and accessibility for existing and new country partners and to anchor support in sound institutional arrangements;
- Facilitating partnerships, drawing on expertise from a range of national and international organizations acting as executing agencies to ensure well-coordinated and timely action;
- Actively contributing to coordination in-country, thereby avoiding duplication of efforts with other REDD+ initiatives;
- Supporting country-owned REDD+ efforts, driven by governments, national stakeholders and partners ensuring the full, equitable and effective participation of both women and men, including indigenous peoples and local communities;
- Building upon existing capacities and adopting step-wise approaches while progressively building and improving through the incorporation of lessons and feedback loops;
- Using open-source, freely available data and tools as much as possible;
- Enhancing cost-effectiveness, efficiency and responsiveness to country and donor demands for both (a) supporting results-based actions in selected pilot countries and (b) continuing to support REDD+ readiness work with more countries (in the sense of “no country left behind”);
- Increasing the proportion of funds and technical support directly delivered to countries;
- Valuing the cooperation of three UN agencies working together, recognizing and taking best stock of the comparative advantages of the UN agencies;
- Using transparent, joint decision-making; and
- Sharing all information regarding relevant agency initiatives with UN-REDD partners in a timely manner and placing the Programme objectives ahead of agency interests.

The support to be provided by the three agencies is summarised as shown below with respect to mandates and comparative strengths.

	FAO	UNDP	UNEP
Mandate	FAO's three main goals are: the eradication of hunger, food insecurity and malnutrition; the elimination of poverty and the driving forward of economic and social progress for all; and, the sustainable management and utilization of natural resources, including land, water, air, climate and genetic resources for the benefit of present and future generations.	UNDP works in more than 170 countries and territories, helping to achieve the eradication of poverty, and the reduction of inequalities and exclusion. UNDP helps countries to develop policies, leadership skills, partnering abilities, institutional capabilities and build resilience in order to sustain development results.	UNEP is the voice for the environment within the United Nations system and the leading global environmental authority that sets the global environmental agenda, that promotes the coherent implementation of the environmental dimensions of sustainable development within the United Nations system and that serves as an authoritative advocate for the global environment
Comparative strength in the Programme	Technical capacity on forests and land-use; measurement, reporting and verification (NFMS and FREL/FRL). Linkage between REDD+ and governance including legal frameworks, tenure, the agricultural sector and food security issues. Broad geographic presence.	Technical capacity on governance processes, social safeguards and stakeholder engagement. Global in-country systems support capabilities and broad geographic presence.	Technical capacity on environmental safeguards, additional benefits, private sector engagement, innovative finance, and the SDGs. Global normative function through UNEA combined with advocacy and convening roles.

5.2 Inter-institutional Arrangements

The UN-REDD Programme is a powerful example of the value and efficiency of UN agencies working together. Strengthened inter-agency collaboration is important. Joint Programme delivery and management will be based on the principles outlined above as well as the aim of tailoring support to country circumstances and needs. Integrated planning, budgeting, monitoring and reporting will enable improved tracking of the Programme results and better oversight. Furthermore, strengthened inter-agency collaboration will be ensured at country and regional level through the following:

- The use of national implementation arrangements such that country ownership is enhanced;
- The establishment of inter-agency country support teams under the guidance of a single designated UN-REDD Programme staff acting as the country contact point and accountable to the MG of the Programme. In order to streamline contacts with national counterparts, the country contact point and associated inter-agency country support teams will facilitate work at country level. These country teams will also be supported by cross-cutting technical anchors providing leadership and expertise on key thematic areas across the entire Programme. The general principle is that one UN-REDD staff member will facilitate the coordination of any work in the country regardless of the scale, and always in close coordination with the UN Resident Coordinator and other UN agency representatives, thus greatly simplifying lines of communications with partner countries; and
- The UN-REDD Programme will operate through a streamlined single interface modality in each country. This will be achieved by aligning the administrative and financial arrangements of the three UN agencies internally and setting-up a unified contractual and reporting arrangement for each country/programme. Appropriate arrangements will be defined for each country/programme along these lines.

At the global level it is envisaged that:

- There will be a core MG, composed of one representative from each agency and the UN-REDD Programme secretariat. The MG will be responsible for joint oversight and consolidated and

effective planning, budgeting and results-based reporting (M&E) for the entire Programme, in accordance with a streamlined organizational and decision making set up. The MG members will be accountable upwards within the three participating UN organisations;

- Senior representatives (SG members) will participate in and support the Programme's strategic decision making through the Policy Board, and facilitate operation and delivery as required; and
- The secretariat will facilitate overall coordination and support the operation of the MG and the Programme's governance mechanism. The hosting arrangements for the secretariat will be further streamlined through hosting by one agency (UNEP), with staff seconded by the remaining agencies, thus increasing efficiency and effectiveness in budget management and operations.

5.3 Partnerships

5.3.1. Rationale

The renewed focus of the Programme, together with the evolving international scenario for REDD+ under the UNFCCC, implies the identification of three principal multilateral strategic partners with which the UN-REDD Programme will seek to engage and collaborate in the coming years. These are the GCF, the Global Environment Facility (GEF) and the FCPF of the World Bank. The range of strategic UN-REDD partnerships may not necessarily be limited to these three entities and other partnerships with multilateral entities may be considered along the way.²⁴ The UN-REDD Programme will continue to engage in bilateral relations with current and new potential partners and donors as well.

The UN-REDD will undertake direct consultations with these key partners to explore specific areas of potential synergy and the appropriate domains of interface. The UN-REDD Programme engagement with these key partners will be treated as a continuous and dynamic process that will take into account the evolving nature and programming priorities of each. For instance, it is anticipated that the GCF will become fully operational during 2016-2020 and, accordingly, the UN-REDD Programme will seek to develop and enhance this strategic partnership. More specific strategic considerations for each partner are outlined in the following sections.

5.3.2. Collaboration with Key Partners

The FCPF

Within the above framework, the UN-REDD Programme will seek to continuously enhance effective coordination with existing readiness initiatives of the FCPF. This may be achieved by:

- Sharing of work plans and undertaking joint programming to the extent possible, to avoid duplications and enhance complementarity and synergies;
- Providing technical assistance in line with the capacity building tools, methodologies and arrangements used under the respective programmes, if the other initiative does not have this capacity in that particular country;
- Sharing tools and documentation and/or developing them in close collaboration allowing for increased alignment and consistency in the provision of support by both initiatives;
- Continuing to act as a delivery partner for the FCPF Readiness fund; and
- Actively pursuing enhanced methodological and data consistency between the FCPF and the UN-REDD Programme.

The Global Environment Facility

²⁴ E.g. the World Bank's BioCarbon Fund and the Forest Investment Program (FIP) of the Climate Investment Funds (CIF of the Multilateral Development Banks).

The partnership with the GEF is currently under-developed and it offers great potential for synergy which would be great beneficial for all partner countries. The main focus would be on the identification and promotion of synergies between the support provided to countries by the UN-REDD Programme and the GEF financing for the Focal Areas on Sustainable Forest management (SFM)/REDD+, Land Degradation and Biodiversity (through multi-focal area programmes), as well as through the new integrated programmes on *'taking deforestation out of the commodity supply chains'* or *'sustainability and resilience for food security in sub-Saharan Africa'*.

For example, once the REDD+ readiness process advances and REDD+ NS/AP are developed at the country level, there may scope for the UN-REDD Programme to assist partner countries in the development of targeted proposals for GEF financing to support the implementation of such national plans and priorities. The agencies may therefore: i) seek to develop synergy between country-level work in ongoing and pipeline GEF portfolios and the priorities outlined in the NS/AP as they start to emerge; and ii) explore avenues for jointly assisting partner countries in the development of joint proposals to support the implementation of PAMs at the country level.

The Green Climate Fund

The GCF will have a significant focus on supporting REDD+ implementation through transformative actions at the global and national level. Looking at the preliminary GCF architecture it would appear that the UN-REDD Programme may have the potential to significantly support the GCF and the beneficiary countries. The focus of the UN-REDD Programme will be on graduating as many countries as possible from REDD+ readiness towards RBPs. These payments may in turn be received through direct access from the GCF to partner countries. Therefore the UN-REDD Programme could be in a position to help mobilize GCF support to accompany and support selected countries as they move towards REDD+ implementation and particularly towards RBAs and then RBPs. In terms of the range of possible national REDD+ readiness or implementation activities which could be supported by the GCF, the UN-REDD Programme, partner countries and the GCF may i.e. jointly explore some of the following options:

- Joint REDD+ Readiness Support: offering technical support to National Implementing Entities engaged in REDD+ for enabling their direct access to GCF funding to support their RBA/RBPs;
- Joint REDD+ Implementation Support: the three UN-REDD agencies may consider operating jointly as international implementing entities (IIEs) for the GCF, with a focus on the REDD+ funding window, to support access by countries to GCF funding in support of transformational and high-impact REDD+ RBA/RBPs; and
- Individual agency projects for REDD+ readiness or implementation, which would be affiliated with the UN-REDD Programme to ensure coordination between the GCF, the partner countries and UNEP, UNDP and FAO on REDD+ funding.

In addition, the Programme will consolidate contacts with the GCF Secretariat and explore avenues for collaboration in the area of corporate support, providing scientific and technical advisory services on REDD+ and/or providing key knowledge management functions on REDD+ that also link activities of the GCF across the UN-REDD agencies and the broader UN system, and *vice versa*.

5.3.3. Mechanisms

At the strategic level the Programme will seek to establish mechanisms for enhancing know-how exchange and cooperation with each of the above strategic partners. For instance: i) these partners will be regularly invited to attend key UN-REDD Programme policy and technical meetings; ii) the Programme will engage in a series of dedicated dialogues with each partner, to explore and develop areas of common interest and synergy; and iii) if invited and as appropriate, the Programme will attend the relevant executive and technical meetings of these key partners.

At the country level and following the same rationale outlined above, the UN-REDD Programme country and regional teams will seek to engage in a continuous dialogue with the key partners. This will be mainly

aimed at: i) ensuring maximum synergy, exchange of know-how and collaboration in the implementation of ongoing REDD+ programmes in the country; and ii) foster cooperation and synergy in the development of new programmes which may build upon the strengths of each partners, and achieve higher impact through better integration of efforts.

6. Summary of Governance Options

The implementation of the UN-REDD Programme strategy 2016-2020 will be undertaken with resources to be mobilized through the UN-REDD Multi Partner Trust Fund (MPTF). The proposed ToC as well as the needs for implementation will inform the fund design and its governance arrangements, following best practices for results-based management and aiming at respecting inclusiveness and transparency. Once the strategy has been agreed, a MoU will be signed between the Participating UN Organizations and the MPTF and a Standard Administrative Agreement (SAA) will be signed between donors and the MPTF.

Both the Policy Board review conducted in 2013 and the independent external evaluation conducted in 2014 resulted in a number of suggestions for how to make the UN-REDD Programme governance structure more efficient and reduce its transaction costs. In summary the findings of both assessments suggest:

- The need for better balance between strategic level functions and administrative/operational functions;
- The possibility of a two tier approach to decision making, with a split between a broad assembly and an executive committee;
- The need for a well-established M&E Plan to assess progress towards objectives without the need to get involved in project-level management;
- Simplification of the governance structure to reduce overlap, strengthen the strategic and substantive functions of the PB, and reduce costs; and
- Clarify roles and responsibilities of the MG and the secretariat.

The recommendations above suggest that the UN-REDD Programme future governance arrangements should allow for: i) overall strategic guidance for ensuring the transformative change proposed by the Programme's results-based management framework and ToC; and ii) effective results-based management based on a robust results and monitoring framework.

As such, an inclusive and transparent governance arrangement should include a **Policy Board** with the means to properly provide oversight to the Programme's implementation on the basis of the agreed results framework and able to call for appropriate action when reports suggest challenges on implementation. The operational actions are more suitable to a smaller and more cost-effective **Executive Board**, with authority to make decisions based on clear rules of procedure and taking into account overall strategic direction from the Policy Board.

Based on the principles above, the participating UN agencies will present some further specifications of options for governance arrangements adopting a two-tier approach to decision making, where the Executive Board will make operational decisions. These options will build on existing guidance for results-based management to allow for effective monitoring of progress in delivery of the ToC outcomes as well as a better tracking of costs associated to both outcomes and outputs. Additionally, they incorporate lessons learned with the aim to reduce transaction costs and harness country ownership, while supporting a fund design that can be attractive to donors.

With a view to establish a financial structure that meets the needs of effective implementation of the ToC 2016-2020, the UN-REDD Programme Fund will adopt a multi-window fund design, as opposed to its current design as a single window. Hence, the options for governance arrangements will seek the most effective delivery under each window, based on the following main features:

- Consideration of the different needs of decision-making with respect to support for readiness, implementation and knowledge management;
- Fewer and more strategic Policy Board meetings;
- Reduced transactions costs and improved operational efficiency through Executive Board; and
- Enhanced accountability and transparency in decision making process, through clear provisions for strategic guidance and operational decisions, notably: i) overall strategic direction, review and monitoring of progress against results framework to the Policy Board; and ii) funding allocation as well as other operational decisions to Executive Board, avoiding intercessional decisions on a no-objection basis and creating opportunities for transparent and closer monitoring.

A road map for consultations will be distributed in accordance with the PB13 decision taken in Arusha in November 2014.

7. Preliminary Cost Estimates

Some indicative estimates of the costs of the UN-REDD Programme from 2016 to 2020 are being developed for the outcomes and outputs specified in section 3 (above). It is envisaged that a comprehensive status and needs assessment will be undertaken in order to determine the scope and scale of support required in the different regions and countries.

At this stage the orders of magnitude estimated for funding the four main outcomes are as follows:

- Readiness activities as outcomes 1 and 2 of the Programme could require an amount in the range of 100 million USD. This is based on possibly 10-15 countries supported through the full readiness process and tailored support for a further 30-35.
- Implementation of REDD+ RBAs as outcome 3 of the Programme could be undertaken in a group of between 5 and 8 selected countries in the period 2016-20 and would require an amount of 180 million USD.
- The estimate for funding knowledge management activities through outcome 4 of the Programme amounts to 20 million USD.

Thus, the preliminary estimated five year total cost of the Programme amounts to 300 million USD. Different scenarios for the costs of support are being developed, taking into account requests for assistance and the availability of funding.

8. Monitoring and Evaluation

The design of a comprehensive result-based framework for monitoring the progress of the Programme will be undertaken on the basis of the impacts, outcomes and outputs specified in the ToC. Regular reporting will be carried out to chart progress on the basis of the agreed indicators and to inform decision making. Periodic evaluations will also be carried out. See Annex B for the overview of the ToC and result framework.

Annex A. References

Food and Agriculture Organization of the United Nations. *Voluntary Guidelines on the Governance of Tenure*. Rome, Italy: Food and Agriculture Organization of the United Nations, 2012.

Frechette A., De Bresser, M., Hofstede, R. *External Evaluation of the United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries (the UN-REDD Programme), UN-REDD Programme*. Volume I and II. Nairobi, Kenya: UNEP, July 2014.

Intergovernmental Panel on Climate Change: *Climate Change 2013: The Physical Science Basis*. Contribution of Working Group I to the Fifth Assessment Report of the Intergovernmental Panel On Climate Change [Stocker, T.F., D. Qin, G-K. Plattner, M. Tignor, S.K. Allen, J. Boschung, A. Nauels, Y. Xia, V. Bex and P.M. Midgley (eds.)] Cambridge University Press, Cambridge, United Kingdom and New York, NY, USA, 2013.

Kissinger, G. De Sy, V., Herold, M.,. *Drivers of Deforestation and Forest Degradation: A Synthesis Report for REDD+ Policy Makers*. Vancouver, Canada: Lexeme Consulting, August 2012

United Nations Environment Programme. *Building Natural Capital – How REDD+ Can Support a Green Economy*. Nairobi, Kenya: Report of the International Resource Panel, United Nations Environment Programme, 2014.

United Nations Framework Convention on Climate Change. *REDD Web Platform*. United Nations Framework Convention on Climate Change, 2014. 18 February 2015.

http://unfccc.int/land_use_and_climate_change/redd_web_platform/items/4531.php.

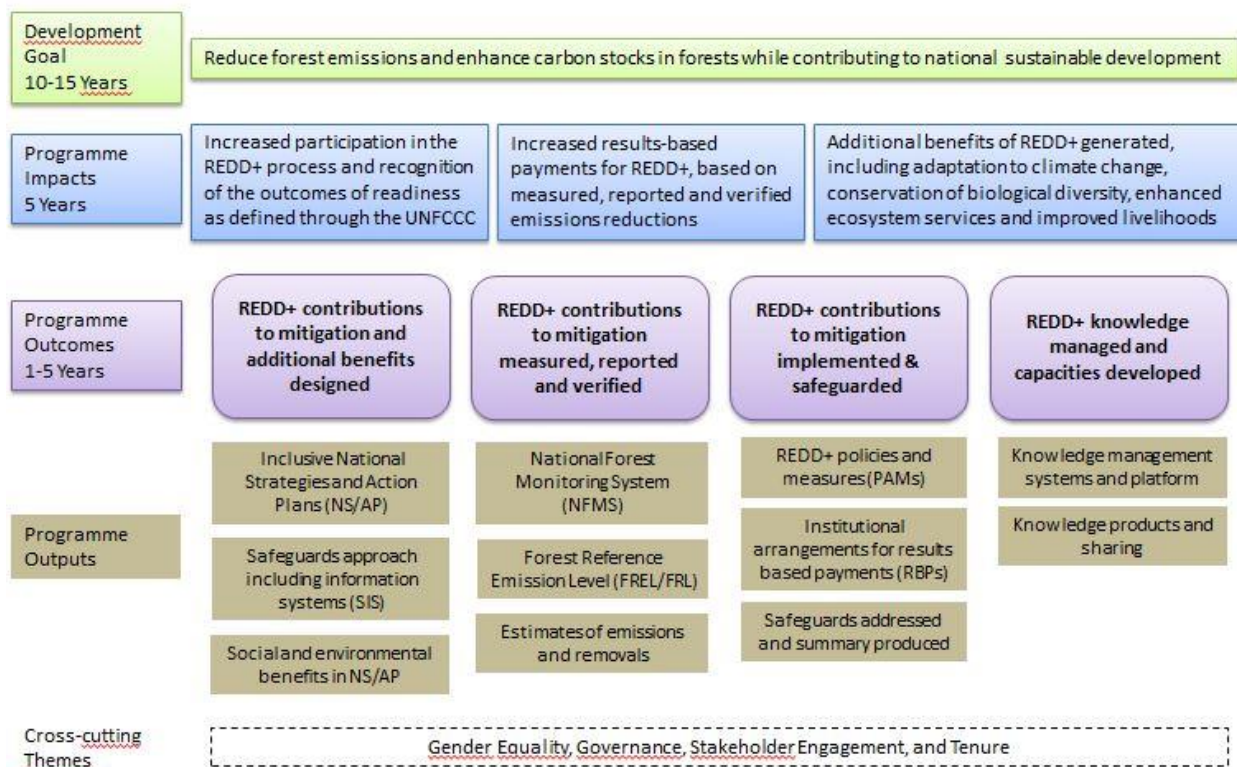
UN-REDD Programme. *On the Road to REDD+: The UN-REDD Programme's Support to REDD+ Readiness, 2011-2013*. Geneva, Switzerland: The UN-REDD Programme, 2014.

UN-REDD Programme. *The UN-REDD Programme Strategy, 2011-2015*. Geneva, Switzerland: The UN-REDD Programme, 2010.

UN-REDD Programme. UN Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries (UN-REDD), FAO, UNDP and UNEP Framework Document. Food and Agriculture Organization of the United Nations, United Nations Development Programme and United Nations Environment Programme. June 2008.

Annex B. Overview of Theory of Change and Result Framework

UN-REDD Programme 2016-2020, Theory of Change – work in progress (25.2.15)



UN-REDD Programme Result Framework

Development Goal (10-15 years)	Reduce forest emissions and enhance carbon stocks in forests while contributing to national sustainable development		
Programme Impacts (5 years)	Increased participation in the REDD+ process and recognition of the outcomes of readiness as defined through the UNFCCC + TOC		
	Increased results-based payments for REDD+, based on measured, reported and verified emissions reductions + TOC		
	Additional benefits of REDD+ generated, including a adaptation to climate change, conservation of biological diversity, enhanced ecosystem services and improved livelihoods + TOC		
	Impact indicators	Baseline / Target	Means of Verification
		Tbd	Tbd
		Tbd	Tbd
		Tbd	Tbd
		Tbd	Tbd
Outcome 1: REDD+ contributions to mitigation and additional benefits designed	Theory of change / Expected effect:		Financial needs:
	Effect/Outcome indicators	Resp. Organisation	Means of Verification
			Tbd
			Tbd
			Tbd
Output 1:			Financial needs:
Output 2:			Financial needs:
Output 3:			Financial needs:

Annex C. From National Strategies and/or Action Plans to Results-Based Payments

Countries are required to develop NS/APs to describe how emissions will be reduced and/or how forest carbon stocks will be enhanced, conserved and/or sustainably managed. The REDD+ related UNFCCC COP decisions highlight the critical role that national governments have in designing and implementing REDD+ programmes, i.e. a NS/AP is to be developed and implemented by national governments. For this to succeed, national-level policy reforms and measures that tackle the main drivers of deforestation and forest degradation are essential to efficiently catalyse, coordinate and support subnational efforts and public and private actors, as well as to ensure coherence of PAMs.

REDD+ actions should be implemented with the full, fair, meaningful and gender equitable engagement of all stakeholders, including those who benefit from forests or whose activities impact forests, as well as their political and customary leaders at various levels of governance. The participatory NS/AP development process is an opportunity to gather these various stakeholders and build a consensual and realistic national vision towards REDD+, which the NS/AP document will allow communicating and spreading internally & externally. These NS/APs should also identify who will be responsible for implementing the various policies and measures required to reduce emissions. There is little doubt that a successful REDD+ NS/AP will likely be cross-sectoral, involve many different stakeholders, have complex implementation arrangements and will require sophisticated financial and operational planning. This is a significant challenge for many REDD+ countries which in the short and medium term will have limited capacity to manage complexity, uncertainty and risks. Besides, NS/AP should be developed and implemented within the context of a country's national development planning process.

At the core of NS/APs is the identification of RBAs to be implemented in order to achieve ERs and/or removals. Decision 9/CP.19 *"affirms that the progression of developing country Parties towards results-based actions occurs in the context of the provision of adequate and predictable support, that results-based actions are undertaken to obtain and receive results-based finance, and those actions should be fully measured, reported and verified"*. The NS/AP document should enable relevant stakeholders to assess compliance with the UNFCCC principles, and the general relevance, efficiency, effectiveness and robustness of the approach, actions, tools, processes and responsibilities proposed towards results. The NS/AP document shall thus facilitate buy-in from international partners and other in-country and external stakeholders, building confidence in a country's capacity to deliver RBAs to receive RBPs/RBF. As such, it is an important step to mobilize funding from a variety of sources (national budget, private sector investment, international REDD+ finance including commitments on the compensation of future ERs with or without ex-ante conditional payments, etc.), in order to allow actual implementation, learning, and continuous improvement through cyclic revisions of the NS/AP.

The UNFCCC COP decisions distinguish between the implementation of PAMs (during phase 2) and RBAs that are fully MRVed (phase 3). The learning curve towards RBAs is still steep, as there are very few examples of large-scale integrated programmes to reduce deforestation or forest degradation (and the other REDD+ activities). The actual future results in terms of ERs of such future initiatives are still difficult to predict, so as the most cost-effective combinations of actions and supporting reforms in varying national circumstances.

There is no one recipe for countries to start undertaking REDD+ PAMs, for REDD+ to culminate in RBAs. However, it will be important for countries to build on lessons learned to develop from implementing PAMs (during phase 2) to lead to RBAs (phase 3) through an iterative process, as they draw lessons on which policies and measures are effective at addressing the drivers of deforestation and forest degradation and build capacity to manage complexity and uncertainty and better understand the risks.

There are three main pathways to approach the national implementation of REDD+, a phased-scale approach, a phased-complexity approach and a combined approach:

1. **The phased scale approach:** One way to progress towards a national implementation of REDD+ is to start at the subnational level and develop a comprehensive NS/AP that will allow ERs below a

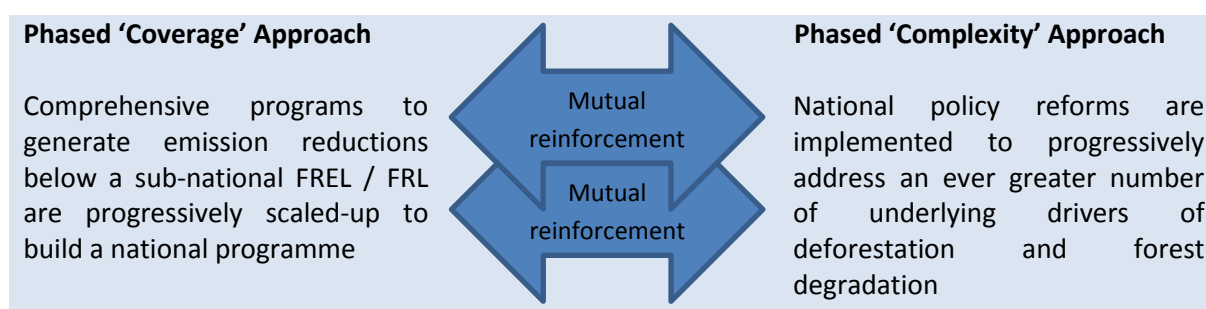
subnational FREL/FRL. Typically, the more local the scale at which PAMs and eventually RBAs are implemented, the easier it is to assess the actual costs of implementation and the expected ERs, thus reducing risks and uncertainty for REDD+ countries. Drawing lessons from the implementation of such comprehensive NS/APs at the subnational level, could allow countries to be better equipped to scale-up, develop and implement effective NS/AP at the national level. Such a “phased scale approach” is the approach taken by many countries in their recent proposals to the FCPF Carbon Fund.

2. **The phased complexity approach:** Another way to progress towards national implementation of REDD+ is to start by supporting policy changes at the national level. PAMs leading to RBAs could be policies or specific programmes to tackle structural problems (listed below) that often underlie deforestation and forest degradation in many developing countries. This could include a vast array of actions such as clarifying the formal recognition of community rights to forests, clarifying land tenure, conducting a national land use planning exercise, removing perverse subsidies to deforestation agents, building capacity of national institutions, etc. These actions are key to addressing the underlying drivers of deforestation and forest degradation.

One can assume that typically the larger the scale of implementation the higher the potential long-term impact on ERs from deforestation and forest degradation will be. However, the quantitative impact of such actions is poorly understood and may be particularly complex and costly to monitor adequately. This leads to high uncertainty regarding the actual impacts in terms of ERs in the short term (pre-2020) and thus represents a high risk for policy makers choosing to implement these actions, some of which may have a high political cost.

In a “phased complexity approach” key actions can be identified to start addressing specific drivers and policy reforms could be implemented progressively to address an ever-greater number of REDD+ activities and related underlying as well as direct drivers of deforestation and forest degradation in accordance with national circumstances.

3. **The combined approach:** However, countries don’t necessarily have to choose one approach over the other: it may be particularly useful and effective, depending on a countries’ capacity and national circumstances, to use a combined approach, where the phased complexity approach and the phased coverage approach reinforce each other. This is illustrated in the Figure below.



What are results-based payments / results-based finance?

UNFCCC decisions refer to RBPs/RBF for ERs using the FREL/FRL as a benchmark against which to measure results. It is not yet clear whether REDD+ carbon results (i.e. ERs) are to be used by the country of origin or whether they can, at the option of the country of origin, be transferred to other countries. If the approach chosen is to allow transfer of REDD+ carbon results then additional considerations will come into play, including the approach to allowing such transfers and the infrastructure required.

For the time being, RBPs/RBF for REDD+ are generally understood to be embedded in agreements between: i) a developing country party (or designated entity) which attempts to deliver REDD+ results, and ii) a provider of RBPs/RBF which commits to paying for these demonstrated results, potentially including through ex-ante conditional funding (which may be necessary for many countries to be able to implement REDD+ actions and generate results, as well as raise the profile of the REDD+ agenda in the country). Providers of RBPs have typically been developed country parties but there are example of multilateral trust funds and private sector organisation providing RBPs. The basic process of a RBP agreement is as follows:

- A developing country defines the ER targets for REDD+ it aims to achieve through RBAs;
- Partners define funding commitments based on those expected results (potentially also tied to jointly agreed Policies and Measures/RBAs, approaches, co-benefits); and
- Funding flows according to delivery of results (*ex-ante* payments, payments based on proxies and RBPs/RBF).

In addition, it is also possible that RBPs/RBFs will be made without prior agreements by entities that will not be involved in the monitoring of intermediary results or implementation arrangements but only pay for results once they are delivered.

Despite these common basics, each agreement (or mechanism) outside the UNFCCC context has differing rules to set benchmarks or reference levels below which ERs are generated, to address the risk of reversal, to ensure consistency with national accounts, on the use and transfer of units, and methods to avoid double counting, different procedures to ensure that safeguards are promoted and supported, as well as different requirements linked to “benefit sharing” or how the funds are used once received by the country. In addition, since UNFCCC texts are often general, they leave room for interpretation in bilateral agreements. The proliferation of options and the differing rules and reporting requirements applied under each REDD+ RBP agreement can complicate government decision-making on REDD+.²⁵ In the absence of a consolidated international mechanism, responsibility for managing this complexity falls primarily on developing countries. The COP through Decision 10/CP.19 recognizes this challenge and therefore:

1. *Invites interested Parties to **designate**, in accordance with national circumstances and the principles of sovereignty, a national entity or focal point to serve as a liaison with the secretariat and the relevant bodies under the Convention, as appropriate, on the coordination of support for the full implementation of REDD+ activities and elements referred to in decision [1/CP.16, paragraphs 70, 71 and 73](#), including different policy approaches, such as joint mitigation and adaptation, and to inform the secretariat accordingly;*
2. *Notes that the **national entities or focal points of developing country Parties** may, in accordance with national circumstances and the principles of sovereignty, **nominate their entities to obtain and receive results-based payments, consistent with any specific operational modalities of the financing entities** providing them with support for the full implementation of the activities referred to in decision [1/CP.16, paragraph 70](#).”*

The UNFCCC recognizes that resources for RBPs may come from a variety of sources, public and private, bilateral and multilateral, but at the same time it reserves a key role of the GCF.

Countries need to ensure that modalities to access REDD+ RBPs/RBF are taken into account in the process of appointment of intermediaries or entities and the development of an initial set of proposed programs and projects for the GCF and other funding sources. Finally, it is also important to ensure consistency between the processes undertaken to access RBPs/RBF under the UNFCCC in accordance with CP.19 decisions and processes undertaken with the GCF.

²⁵ For example, governments will need to decide how to deal with existing projects and ER-Programs. These may need to be grandfathered which could seriously limit options for production and use of emissions reductions in later years.