

UN-REDD PROGRAMME



Food and Agriculture
Organization of the
United Nations



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Resilient nations.*



Delivering National Programmes – Readiness 2017 – 2020

14 November 2016

UN-REDD Programme Document

Programme Title: Delivering National Programmes – Readiness, 2017-2020

Cover Page

Programme Outcomes:

Outcome 1: National contributions to the mitigation of climate change through REDD+ are designed and adopted, including the provision of additional social and environmental benefits, and in conformity with the UNFCCC's REDD+ safeguards.

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

Programme Duration: 48 months/ 4 years

Anticipated start /end date:

1 January 2017 / 31 December 2020

Fund Management Option(s): Pass-Through
Managing or Administrative Agent: UNDP

Total estimated budget*: US\$13,768,958

Out of which:

1. Funded Budget: US\$13,768,958

* Total estimated budget includes both programme costs and indirect support costs.

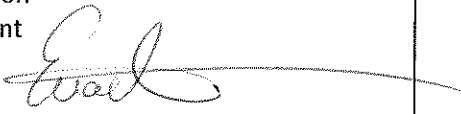
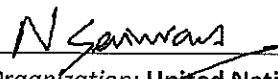
Sources of funded budget: UN-REDD
Programme Fund

Distribution of Funds:

FAO: US\$ 5,466,849

UNDP: US\$ 5,425,556

UNEP: US\$ 2,876,553

UN organizations	
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<p><i>Name of Representative:</i> Mr. Nik Sekran <i>Title:</i> Director/ Chief of Profession - Sustainable Development Bureau for Policy and Programme Support</p> <p><i>Signature</i> </p> <p><i>Name of Organization:</i> United Nations Development Programme</p> <p><i>Date & Seal</i> 14 Nov 2016</p>	
<p><i>Name of Representative:</i> Ms. Mette Loyche Wilkie <i>Title:</i> Director, Ecosystems Division</p> <p><i>Signature</i> _____</p> <p><i>Name of Organization:</i> United Nations Environment Programme</p> <p><i>Date & Seal</i></p>	


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1. Background and scope

1. The UN-REDD Programme was founded in 2008 and has evolved from supporting nine pilot countries to having 64 partner countries spanning different types of forest ecosystems across the three regions – Africa, Latin America and the Caribbean and Asia and the Pacific. Initially the programme was designed up to 2015 and focused on supporting REDD+ readiness. However, recognizing the need for continued support to countries across different phases of REDD+, a new phase 2016-2020 was designed (see 2016-2020 UN-REDD Terms of Reference).

2. In the period from 2008 to 2015, National Programmes (NPs) represented the main modality of support. The Policy Board approved financial allocations to countries to support them with their REDD+ readiness efforts on the basis of National Programme Documents. These National Programme documents presented the UN-REDD contribution to the readiness process in the country, shaped either through an R-PP (Readiness Preparation Programme, a joint framework to UN-REDD and the Forest Carbon Partnership Facility) or through a readiness roadmap.

3. During the development of the 2016-2020 phase, it was recognized that already approved NPs will continue to be implemented concurrently with the new phase. These were therefore grandfathered into the new TOR (2016 – 2020). At its 15th meeting in Costa Rica, the Policy Board requested the UN-REDD Programme to assess the financial needs for providing oversight to the existing cohort of projects until their completion and to ensure this is adequately financed before any new financial allocations are considered.

4. This document provides the information required to approve a fund allocation that covers the costs of oversight, quality assurance and technical assistance necessary to ensure these NPs deliver on their results within the fiduciary and substantive norms of the UN-REDD Programme. It is intended to ascertain that, regardless of further capitalization of the fund towards the 2016-2020 strategy, resources are available to ensure that existing NPs are supported and deliver on their results.

1.1. Situation Analysis

5. As of December 2015, 23 National Programmes were approved and three were provisionally approved in November 2015, with final approval granted in July 2016.

6. In the previous phase, the Policy Board approved two different financial streams (i) financial allocations for National Programmes approved over the full duration of those NPs; (ii) financial allocations for Support to National Action (SNA) on a yearly basis. The funding for UN-REDD staff members to support countries in their readiness work including NPs, otherwise known as backstopping, was provided by the SNA on an annual basis and was therefore out of sync with the cycle of the National Programmes.

7. The total staff costs exceeds this backstopping cost, noting that the difference relates to the provision of support to other partner countries, the generation of knowledge materials and methodological guidance, management and coordination of the programme as well as finance and administration.

8. The historical cost of backstopping hovers on an annual basis around an average of 8 million. This enabled support to countries with NP and enabled engagement and programming in new countries. Figure 2 in the annex shows the evolution over time of the backstopping costs to the overall budget, whereas Figure 3 provides the forecasted cost for 2017-2020.

9. The architecture and staff deployment of the UN-REDD team across regions and thematic areas of REDD+ is intended to enable broad geographic coverage, proximity to countries, cross-fertilization across regions, and expertise in the full range of REDD+ technical areas. Furthermore, the three agencies need administrative and finance teams to ensure compliance with the UN-REDD Programme requirements.

Therefore while the average cost of backstopping stands at 8 million annually, there is an incompressible cost irrelevant of the number of countries supported which is reflected in the budget considered herewith. This is reflected in Figure 3 in the annexes.

10. The support and oversight costs provided herein are estimates based on the situation of the NPs at the time of submission of this document. Building on previous experience, flexibility for reallocation has been built into this document as country circumstances evolve and the support provided is contingent on external circumstances, therefore allowing for predictability without certainty.

1.2. Strategies including lessons learned

11. One of the key lessons recorded so far in most of the NP evaluations (c.f. final evaluations of NPs available on the UN-REDD workspace) is that REDD+ remains a complex and multifaceted domain, whose success relies in the combination of: (i) sharp technical analysis; (ii) wide-ranging stakeholder engagement from indigenous peoples to the private sector; (iii) robust policy design including fiscal measures and land-use planning; (iv) institutional capacity building particularly on establishing UNFCCC-compliant land and forest monitoring systems, as well as financial mechanisms; and (v) cross-sectoral coordination.

12. The mobilization of external expertise - e.g. through consultancies - for providing technical support of such complex processes has proven lengthy, time-consuming and often technically not rewarding. Indeed the learning curve for REDD+ readiness has been so sharp that maintaining cutting edge knowledge is only possible when experts are fully immersed in REDD+ processes and available to be deployed imminently. For instance, it is building on experiences from early countries that the UN-REDD Programme has internalized the need to adequately sequence and tailor work on safeguards to the priorities identified in national strategies. Similarly, as the programme has started supporting the more advanced countries on REDD+ implementation, the focus of readiness work has been sharpened to enable the production of requisite information that will enable implementation. It is for that maintaining a core contingent of experts and staff that are able to bring this added value to the countries is necessary to ensure uptake of lessons learned and accelerate the pace of implementation, including through reducing the time necessary for recruitments and procurement should these be done for each assignment individually.

13. Combined with the above is the tendency of national stakeholders, be they governments or non-governmental actors, to want to reorient REDD+ programmes towards more traditional forest management programmes such as community based forestry etc. This is why the oversight of the UN-REDD Programme team is absolutely critical to maintain the focus of NPs on the critical path towards delivering on REDD+ commitments, in line with UNFCCC provisions and approvals of the UN-REDD governance body.

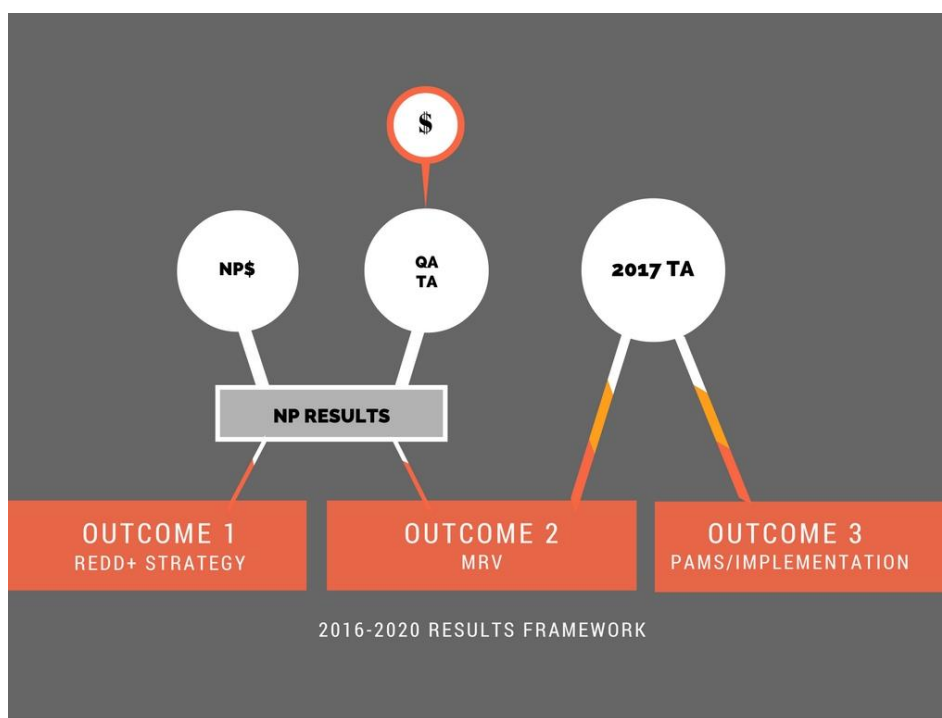
14. From a fiscal and risk management point of view, the annual approval of staff costs and budget through the SNA has proven to generate a major uncertainty and therefore risk of reduced oversight and support to NPs. The allocation of resources considered in the context of this document therefore addresses this issue and requests the allocation of funds over the full duration necessary to see existing commitments to their closure.

15. From a Human Resources management point of view, the agencies have put in place systems that allow for a pro-rated allocation of staff time to different programmes, budgets and work-streams. This will enable the NPs to continue to benefit from the specialized expertise available in the UN-REDD Programme, however in a punctual way. This is why in comparison with the historical cost of backstopping, the current fund allocation request is much reduced, recognizing however that the level of technical assistance is reduced commensurately.

16. From a results-based perspective, it is clear that the NPs would not deliver quality products and take bold adaptive management measures had it not been for the support and oversight of the UN-REDD Programme staff, and in particular the regional teams. Figure 1 below schematically represents the synergies between the support provided by the UN-REDD teams and the quality of implementation and

products of the NPs. This goes to show that the results (e.g. National Strategy adopted) produced by a NP would not have been delivered in the same quality had it not been for the support of UN-REDD Programme staff. The reason behind this is the transfer of lessons learned, enabling new countries to leapfrog their readiness process by building on what has been done elsewhere through the institutional and individual transfer of experiences. In the past this has raised an issue of reporting and attribution of results. Indeed there would be cases where both the SNA and a NP would report on the same result as both would have contributed it to it. In order to avoid duplicative reporting and attribution, this lesson has been incorporated into the monitoring and reporting of the present programme further below.

Figure 1: Complementarity of NPs and Technical Assistance



1.3. The proposed joint programme

17. The period considered for this programme is 2017-2020, during which 11 National Programmes will still be under implementation and require oversight and support. As seen in Table 1 below, five National Programmes (Nigeria, Republic of Congo, Papua New Guinea, Bolivia and Paraguay) will have completed implementation in 2016 and will require support for their operational and financial closure – e.g. presentation of final evaluation and reports, design of exit strategies, consolidation of financial reports, closing of accounts, transfer of unexpended funds to the Multi-Partner Trust Fund Office (MPTF) and financial closure.

18. The UN-REDD team will also provide oversight to the six pilot programmes of the Community-based REDD+ initiative (CBR+), which is implemented via the UNDP-GEF Small Grants Programme. This support is to ensure they inform the respective national REDD+ processes.

Table 1: Existing commitments per region 2017-2020

Region	2016	2017	2018	2019	2020
Africa	Côte d'Ivoire, Nigeria, Rep of Congo, Uganda	Côte d'Ivoire, Uganda			
Asia-Pacific	Bangladesh, Mongolia, PNG, Sri Lanka	Bangladesh, Mongolia, Myanmar, Sri Lanka	Bangladesh, Myanmar	Myanmar	Myanmar
LAC	Argentina, Bolivia, Colombia, Honduras, Paraguay	Argentina, Chile, Colombia, Honduras, Peru	Chile, Honduras, Peru	Chile, Peru	Chile, Peru

19. Throughout the period considered, the portfolio will progressively shrink with the closure of all NPs in Africa by 2018 and three NPs being under implementation from 2019 onwards. By 2020, all NPs will have been operationally closed. As indicated in the TOR of the fund, 2021 will be dedicated to the financial closure of the fund, which will also entail the financial closure of these last three NPs and the reimbursement of any unexpended amounts to the MPTF for an orderly closure of the fund.

20. The calculation of costs of oversight and quality assurance is based on the official dates of NP closure as per their signed programme documents or extension requests granted by the Policy Board. Any extension of the duration of NPs would have to be presented to the Executive Board or Interim Committee for consideration and should: (i) be fully justified in terms of the reasons for extension and plans to address any causes of delay; (ii) reflect the cost of oversight, quality assurance and technical assistance covered by the budget of the NP itself as they have not been accounted for in this present budget.

21. As full control over the evolution of NPs cannot be guaranteed, the costs of oversight and technical assistance, as well as the types of assistance (e.g. nature of the expertise, regular versus corrective missions), and the intensity of oversight cannot be fully anticipated. However based on historical trends and NP plans, the allocation and distribution of support is the most realistic possible, reflecting implementation progress, implementation modalities, country capacities, level of complexity and presence of other donors on the REDD+ arena in the country.

1.4. Results Framework (RF)

22. As indicated above, existing commitments have been grandfathered into the new strategy. This implies the need to map out the results delivered by these existing commitments to the new results framework. This section presents (i) the new results framework 2016-2020 as approved in the TOR; (ii) the organization and results framework of the NPs to which the technical assistance programmed herewith will be pegged. While a complex exercise in theory, this provides clarity in terms of alignment, reporting and attribution.

The 2016 – 2020 results framework

23. The overall development goal of the Programme is to reduce forest emissions and enhance carbon stocks in forests while advancing national sustainable development. To achieve this, the 2016-2020 Programme will support partner countries - through country-led approaches - to reduce forest emissions,

enhance carbon stocks and contribute to sustainable development. This objective is to be delivered through three outcomes, two of which are relevant to the approved National Programmes which will be supported through this Programme. Indeed outcome 3 of the results framework relates to REDD+ implementation, whereas the National Programmes focus on readiness type of support, which is in line with outcomes 1 and 2 as detailed below. The present fund allocation request and its associated technical assistance will therefore only be deployed in support of outcomes 1 and 2 of the results framework. As indicated in Figure 1 above, outcome 3 will be supported through other programmatic documents that generate distinctive results and contributions to the results framework.

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

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

Table 2: 2016-2020 UN-REDD Programme Results Framework

Goal/Impact/Outcome(s)	Indicator(s)
Outcome 1: National contributions to the mitigation of climate change through REDD+ are designed and adopted, including the provision of additional social and environmental benefits, and in conformity with the UNFCCC’s REDD+ safeguards.	PO 1.1 Degree of completeness of national REDD+ strategies and/or action plans (NS/AP)
	PO 1.2 Degree to which the NS/AP incorporates principles of social inclusion and gender equality.
	PO 1.3 Degree of anchoring of the NS/AP in the national development policy and institutional.
	PO 1.4 Degree of completeness of the design of a country approach to address the social and environmental safeguards for REDD+.
Outcome 2: National contributions to the mitigation of climate change through REDD+ are measured, reported and verified with the necessary institutional arrangements in place	PO 2.1 Robustness of FREL/FRL submissions.
	PO 2.2 Robustness of BUR REDD+ annex.
	PO 2.3 Degree of completeness of the NFMS in UN-REDD partner.
	PO 2.4 Degree of operational effectiveness of NFMS in UN-REDD partner.

Oversight and technical assistance – Results Framework

26. As indicated in the TOR, all fund allocations should have their own programmatic documents with individual result frameworks, budget allocation and linear relationship with the overall fund results framework presented above.

27. This document provides the framework for allocating the resources necessary for the oversight and quality assurance of the National Programmes that were approved and financed between 2009 and 2015. As the UN-REDD Programme is now entering its new phase 2016-2020 with a new set of TORs, it was agreed that all these ongoing NPs will be grandfathered into the new phase. The conceptual alignment of the ongoing NPs with the new results framework has been done through a mapping of outcomes and outputs of these NPs against outcomes of the new results framework as illustrated below. This will enable the aggregation of results and cumulative reporting, without interfering with the reporting of individual NPs against their own results framework.

28. The NPs approved under the previous phase were entirely geared towards readiness and adopted the Readiness Preparation Package (R-PP) as an organizing framework. The correlation between R-PP components and the UN-REDD results framework 2016-2020 is presented in Figure 4 in the annex. For the sake of simplicity, NPs will contribute to the achievement of Outcomes 1 and 2 as they are focused on readiness. Outcome 3 being focused on implementation is beyond the scope of existing NPs. The contribution of each NP result framework to the new UN-REDD results framework is also annexed to this document.

29. In essence, to keep the simplicity of proposed arrangements, the allocation of financial and human resources has been done against outcomes 1 and 2 of the results framework. It is quantified based on (i) lead agency for each individual NP; (ii) overall budget transacted by each agency as a proxy indicator of the level of effort to be deployed; (iii) components remaining in each NP and (iv) complexity of individual country settings – e.g. technical capacity, strength of country offices, complexity of REDD+ landscape etc.

30. The results framework for this specific fund allocation request is provided below. It is articulated around outcomes 1 and 2 of the new results framework and, considering the nature of this support, process rather than impact indicators have been retained.

Results Framework of the technical assistance and oversight to National Programmes 2017-2020

Outcome 1. National contributions to the mitigation of climate change through REDD+ are designed and adopted, including the provision of additional social and environmental benefits, and in conformity with the UNFCCC's REDD+ safeguards.

Outputs	Indicators	Means of verification
1.1. Countries adopt a national REDD+ strategy or action plan (NS/AP), using participatory approaches and feeding national development policy.	<ul style="list-style-type: none"> ▪ Number of technical reports, issues-papers, road-maps and other analytical and planning documents for a NS/AP for REDD+ that were submitted to the UN-REDD team for revision or advice. ▪ Number of multi-stakeholder platforms/fora to which UN-REDD provided advisory services (e.g. training, meeting design, facilitation, reporting). ▪ Number of government ministries/agencies, other than the ones leading on REDD+ readiness, receiving advisory services from UN-REDD. ▪ Number of countries that have used the UN-REDD methodologies for social inclusion during the REDD+ readiness process (i.e. stakeholder engagement guidelines, gender methodological brief, FPIC guidelines, and related knowledge papers). 	<ul style="list-style-type: none"> ▪ Annual reports ▪ Evaluations of National Programmes and of UN-REDD global support ▪ UN-REDD mission reports ▪ Official correspondence ▪ UN-REDD internal planning ▪ Links available on the Lima platform of the UNFCCC
1.2. Countries are equipped with approaches to safeguards that respect national context, address UNFCCC requirements, and mitigate risks and enhance benefits of selected strategic priorities of NS/AP	<ul style="list-style-type: none"> ▪ Number of countries designing a national approach to REDD+ safeguards with to the advisory services of UN-REDD ▪ Number of governmental agencies engaged in safeguards work that have benefited from UN-REDD advisory services. ▪ Number of policies, laws and regulations revised by the UN-REDD team to align national REDD+ efforts to international UNFCCC safeguards. 	

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

Outputs	Indicators	Means of verification
2.1. Countries establish National Forest Monitoring Systems and submit Reference Levels that conform to international UNFCCC requirements and align to the NS/AP for REDD+.	<ul style="list-style-type: none"> ▪ Number of capacity-building missions conducted to design a NFMS ▪ Number of operational and institutionalized NFMS ▪ Number of Biannual Update Reports (BUR) including information on emissions, removals and REDD+ results from NFMS ▪ Number of FREL/FRL submitted to the UNFCCC with attribution to UN-REDD 	<ul style="list-style-type: none"> ▪ Annual reports / BUR ▪ Evaluations of National Programmes and of UN-REDD global support ▪ UN-REDD mission reports ▪ Official correspondence ▪ UN-REDD internal planning

2. Delivering Existing Commitments 2017-2020

2.1. Quality Assurance and Technical Assistance

31. The UN-REDD Programme provides countries with a dedicated support for the implementation of their National Programmes, and the associated REDD+ processes. This support aims at ensuring both the efficiency of the NP (i.e. quality assurance) and its effectiveness (i.e. technical assistance). The combined quality-assurance and technical-assistance are needed to ensure the NPs are implemented as planned, to deliver qualitatively on each of the outputs and objectives, and overall to promoting readiness for REDD+. At the same time, the implementation support of UN-REDD follows the practice of adaptive management, enabling the NP to adjust to the circumstances and ambition of each country, responding to the challenges encountered, and seizing emerging opportunities.

More specifically, the implementation support comprises the following:

- **Quality assurance** (efficiency) – This refers to the support provided to ensure the planned outputs are fulfilled and serve the intended objectives. Quality assurance typically turns around the annual work plan and budget, which is the key management instrument for NPs. The UN-REDD team provides advice on the design, adoption, implementation, monitoring and review of the annual work plan and budget, ensuring its feasibility, confirming the right sequence of activities and helping define the share of responsibilities. It also helps with monitoring the implementation and ensuring adaptive measures – in both management and budget – are applied when needed. Quality assurance also covers reporting, programme evaluations, extracting lessons and working with the national partners on exit strategies.
- **Technical assistance** (effectiveness) – This refers to the set of information, knowledge and expertise that UN-REDD personnel possesses, and which is provided to country teams managing REDD+ efforts, and their close partners and stakeholders, to ensure national REDD+ processes are technically sound, socially inclusive and conform to international provisions and standards (notably those of the UNFCCC: e.g. the Warsaw Framework on REDD+, Cancun safeguards, Article 5 of the Paris Agreement). The provision of such technical know-how will take different forms, depending on needs and cost-effectiveness considerations, such as: technical and briefing notes, in-country missions (for policy advice, problem solving, stakeholder engagement et al.), training events, review of national reports and official documents, knowledge sharing (e.g. webinars, South-South exchanges), transfer of data, telecommunications (e.g. phone and skype calls), sharing of contacts and networks for potential partnerships, and liaison with international organizations.

32. Both quality assurance and technical assistance are closely connected – they are in fact provided in conjunction. While quality assurance focuses on the sound management of the NP, technical assistance caters for robust management of the REDD+ readiness. Both are obviously connected, as the NPs are meant to underpin national REDD+ readiness in the beneficiary countries. By providing them jointly, the UN-REDD is an indispensable partner for the implementation of NPs, ensuring excellence in both process and outcomes.

33. The UN-REDD team comprises a wide range of expertise, which will be partially available to support the implementation of the NPs. In this sense, the proposed budget is to cover a portion of the labour and time of a portion of UN-REDD's technical and policy expertise. The UN-REDD team, based in both UN regional hubs (Bangkok, Nairobi and Panama) and in global centres (notably Geneva and Rome), comprises the following experts:

- Regional Technical Advisors, who are seasoned development practitioners, able to support programme management (NP planning and delivery) as well as to advice on policy processes (REDD+ readiness), at country level.

- Stakeholder Engagement Specialists – one in each region – with strong expertise in the participation of indigenous peoples and civil society organizations in public policy.
- Foresters, with expertise in building national forest monitoring systems and designing forest reference levels.
- Social and Institutional Specialists, with expertise in social inclusion, governance, gender mainstreaming, community rights and safeguards.
- Environmental Specialists, particularly on assessing the multiple benefits and services of forests.
- Environmental Economists, Land Use Planners and Sectoral Specialists overseeing the assessment of drivers and design of responses.

34. These teams of experts are based at the country, regional, and global levels and are deployed to provide substantive and country-specific technical support to countries. The expertise within the UN-REDD Programme teams encompasses the different elements of the UNFCCC processes and the cross-cutting issues identified in the strategic framework as necessary to deliver robust results on REDD+. To minimize transaction costs and provide optimal services to countries, the UN-REDD teams will be structured as 'inter-agency country support teams' with one lead advisor and constituted in a way that responds to a country's REDD+ profile, technical and substantive needs.

35. The UN-REDD team provides the support primarily through the resident offices of UN agencies in each country, which have the NP implementation responsibility and accountability. Yet flexible working arrangements are often put in place, to ease the technical and policy support of UN-REDD reaching government and national stakeholders. In this sense, the UN-REDD team supports simultaneously the resident offices of UN agencies at country level and the national stakeholders involved in REDD+ readiness – the latter include national focal points and coordinators, programme units, government officials, civil society organisations.

36. In essence, the role of the UN-REDD team consists of ensuring that the NPs are on track, that they remain in alignment with the approved objectives, that adapt to evolving circumstances and opportunities, that deliver quality products within the budgetary limits, meet the fiduciary and programmatic standards of the UN-REDD Programme, and meet the reporting and monitoring requirements of the fund. In addition, the Team ensures the NP is a genuine catalyst for readiness to REDD+ in the countries, ensuring that such readiness aligns with UNFCCC provisions, promotes policy reforms and economic transformations towards sustainability, and advances social inclusiveness along the way.

2.2. Workplan and budget

37. The following table provides an overview of the budgets per country considering the NP lifetime, the support needed as indicated above and the agency providing that support.

Table 3: Overview of Quality Assurance/Technical Assistance per country

C.f. attached document entitled Table 3: Overview of Quality Assurance/Technical Assistance per country

2.3. Consolidated budget by Agency

Table 4: Budget by UN Agency (USD)

Outcome 1: National contributions to the mitigation of climate change through REDD+ are designed and adopted, including the provision of additional social and environmental benefits, and in conformity with the UNFCCC's REDD+ safeguards.							
Outputs	Budget Categories	UN Agency	2017	2018	2019	2020	Total
Output 1.1.- Countries adopt a national REDD+ strategy or action plan (NS/AP), using participatory approaches and integrating into national development planning processes	Staff and other personnel costs	FAO	132'366	93'971	57'381	18'220	301'938
	Supplies, commodities, materials		904	663	422	181	2'170
	Equipment, vehicles and furniture including depreciation		624	457	291	125	1'497
	Contractual services		5'978	4'384	2'790	1'196	14'348
	Travel		5'223	4'242	2'699	1'157	13'320
	General operating and other direct costs		2'547	1'868	1'189	509	6'113
	Staff and other personnel costs	UNDP	2,369,858	1,252,332	430,410	270,277	4'322'877
	Travel		150'000	120'000	75'000	25'000	370'000
	General operating and other direct costs		142'188	131'752	67'137	36'659	377'736
	Sub-total		2,809,688	1,609,669	637,319	353,324	5'409'999
Output 1.2 Countries are equipped with approaches to safeguards that respect national context, address UNFCCC requirements, and mitigate risks and enhance benefits of selected strategic priorities of NS/AP	Staff and other personnel costs	FAO	130'214	92'443	56'448	17'923	297'029
	Supplies, commodities, materials		889	652	415	178	2'135
	Equipment, vehicles and furniture including depreciation		613	450	286	123	1'472
	Contractual services		5'881	4'313	2'745	1'176	14'115
	Travel		5'138	4'173	2'655	1'138	13'104
	General operating and other direct costs		2'506	1'838	1'169	501	6'014
	Staff and other personnel costs	UNEP	910'279	767'094	493'350	383'223	2'553'947
	Travel		47'910	40'374	25'966	20'170	134'421
	Sub-total		1'103'430	911'337	583'036	424'433	3'022'236
	Outcome total		3,913,118	2,521,006	1,220,353	777,756	8'432'235

Outcome 2: National contributions to the mitigation of climate change though REDD+ are measured, reported and verified with the necessary institutional arrangements in place							
Outputs	Budget categories	UN Agency	2017	2018	2019	2020	Total
Output 2.1. Countries establish National Forest Monitoring Systems and submit Reference Levels that conform to international UNFCCC requirements and align to the NS/AP for REDD+.	Staff and other personnel costs	FAO	1'730'091	1'228'253	750'002	238'140	3'946'486
	Supplies, vommodities, materials		11'817	8'667	5'515	2'363	28'362
	Equipment, vehicles and furniture including depreciation		8'150	5'977	3'804	1'630	19'560
	Contractual services		78'140	57'303	36'466	15'628	187'537
	Travel		68'261	55'440	35'281	15'120	174'102
	General operating and other direct costs		33'293	24'415	15'537	6'658	79'903
	Outcome total		1'929'754	1'380'053	846'604	279'540	4'435'950
Total Programme cost			5,842,870	3,901,061	2,066,958	1,057,295	12'868'185
Indirect support cost 7%			409,001	273,074	144,687	74,011	900'773
Grand Total			6,251,873	4,174,135	2,211,644	1,131,306	13'768'958

Notes:

1. The existing National Programmes provide countries with readiness type of support, and in a retrofitting exercise were programmatically aligned to Outcomes 1 and 2.
2. The present fund allocation request does not include resources allocated to outcome 3. Contributions to the realization of Outcome 3 shall be considered in separate fund allocation requests.

Table 5: Summary Budget by Agency by Year

Budget Category	Agency	2017	2018	2019	2020	Total
Staff and other personnel costs	FAO	1'992'671	1'414'667	863'831	274'283	4'545'452
Supplies, commodities, materials		13'611	9'982	6'352	2'722	32'667
Equipment, vehicles and furniture including depreciation		9'387	6'884	4'381	1'877	22'529
Contractual services		90'000	66'000	42'000	18'000	216'000
Travel		78'622	63'854	40'635	17'415	200'526
General operating and other direct costs		38'346	28'120	17'895	7'669	92'030
Sub-total FAO		2'222'637	1'589'507	975'094	321'966	5'109'205
Staff and other personnel costs	UNDP	2,369,858	1,252,332	430,410	270,277	4'322'877
Travel		150'000	120'000	75'000	25'000	370'000
General operating and other direct costs		142'188	131'752	67'137	36'659	377'736
Sub-total UNDP		2,662,046	1,504,084	572,547	331,936	5'070'614
Staff and other personnel costs	UNEP	910'279	767'094	493'350	383'223	2'553'947
Travel		47'910	40'374	25'966	20'170	134'421
Sub-total UNEP		958'189	807'468	519'317	403'393	2'688'367
Total Programme cost		5,842,872	3,901,059	2,066,957	1,057,295	12'868'185
Indirect support cost		409,001	273,074	144,687	74,011	900'773
Grand Total		6,251,873	4,174,135	2,211,644	1,131,306	13'768'958

2.4. Monitoring, evaluation and reporting

38. Programmatically speaking monitoring, evaluation and reporting will consist of two levels: (i) individual NPs supported and overseen through the funds allocated herewith will report on substantive achievements and results as defined in their own results frameworks. As indicated above, these are mapped against and aggregated to contribute to the 2016-2020 Programme reporting at outcome level. (ii) reporting on the use of funds considered in this programme will be pegged against the NPs – therefore the substantive reporting will be folded under the NPs – while the financial reporting will be undertaken at the level of UNDG budget lines. The restriction of substantive reporting to the NPs aims to ensure that there is no double accounting and attribution of results. It also recognizes that the expertise, staff time and other resources allocated through this programme are entirely aimed at supporting NPs in delivering their results.

39. From a fiduciary point of view, reporting will be done on: (i) expenditure; (ii) commitments; (iii) staff time; (iv) missions and requests for support.

40. In terms of value for money, the quality of the technical assistance and quality assurance needs to be assessed and evaluated. This is one of the parameters assessed and evaluated in the final evaluations of NPs. Therefore rather than undertaking a separate evaluation of the quality of support, this will be extracted from individual NP evaluations and collated through a synthesis of final evaluation documents similar to what was presented at the Policy Board 15 in Costa Rica.

41. Evaluation will be undertaken at the individual NP level as indicated in their individual NP documents. These include both mid-term reviews as well as independent final evaluations. The support provided through the present programme will contribute towards these evaluations – e.g. through the review of evaluation TORs, contribution to the process, review of reports, preparation of management responses etc.

42. Participating UN Organizations will monitor the deployment of staff and resources and report against these to the Executive Board (EB) on an annual basis or as otherwise deemed necessary. This monitoring and reporting on resources is aimed to assure the EB that NPs are properly supported and to anticipate any gaps in resources.

2.5. Risk management

43. Risks inherent to each of the National Programmes are defined, monitored and mitigated in the context of these individual NPs. Risks to be anticipated in relation of the budget and programme of work included herewith are more of a programmatic nature, related to the portfolio and to the type of support anticipated.

44. The funds anticipated in this programme have been assessed and calculated on the basis of closing dates of existing NPs, not taking into account possible extensions. One of the risks could be that NPs do take longer time for implementation and that for instance the Myanmar, Chile and Peru NPs require more than three years for completing implementation. This risk would generate a liability on the programme as funds will not have been set aside for providing quality assurance beyond the anticipated closing dates. This risk will be mitigated by: (i) setting strict conditions for granting extensions (see above); (ii) ensuring that the regional teams work with the national teams, Programme Management Units and other partners on preparing sober and realistic work plans that take into account potential delays and risks; and (iii) focusing NPs on the most meaningful and necessary elements of readiness that can be completed during the lifetime of programmes and are relatively stand alone in nature.

45. From an operational point of view, while the UN-REDD Programme in its new phase anticipates a streamlined approach to implementation through the set-up of country support teams and lead advisors, staff deployment and associated budget for this programme has been undertaken on a business as usual

basis which entails redundancies at regional level, participation of multiple staff members in NP board meetings, continued joint missions and therefore the multiplication of advice to countries associated with higher costs. The participating UN Organizations have started to apply a modus operandi for the support to existing NPs that aligns with the new strategy and entails a revision of staff deployment, roles and responsibilities that are more streamlined. This consists of the designation of lead advisors for each country, the constitution of a country support team, and the application of simplified financial transfers, reporting and monitoring procedures. As these measures have only been put in place, their effectiveness will need to be monitored and adjustments will have to be made as feedback is received from countries and from the teams.

3. Organizational matters

3.1. Management and coordination arrangements

46. During the 2008-2015 phase, the UN-REDD Programme governance body consisted of a Policy Board with the responsibility of approval of funding allocations and for overall oversight over the programme. The cohort of National Programmes considered in this document have been approved by that Policy Board. Considering the transition into the new phase and agreement between the Agencies, the MPTF and donors, the National Programmes will be grandfathered therefore shifting responsibility under the new governance structure.

47. The UN-REDD Programme Fund governance structure as presented in the Programme's Strategic Framework 2016-2020 and Terms of Reference (TORs) is comprised of the Executive Board (EB), Programme Assembly, National Steering Committee, the Secretariat, participating UN Organizations and the Administrative Agent.

48. The Executive Board has general oversight of the Programme, taking decisions on the allocation of UN-REDD Fund resources. The Board is also responsible for providing operational guidance, reviewing and approving funding allocations for each country, global thematic activities and regional programmes, and approves the use of non-earmarked or earmarked funds for Programme outcomes.

49. The UN-REDD Programme Assembly is a multi-stakeholder forum whose role is to foster consultation, dialogue and knowledge exchange about UN-REDD stakeholders. Its responsibilities include discussing progress, challenges and lessons learnt, promoting collaboration with other initiatives, discussing developments in the international REDD+ processes, and advising the EB on these issues.

50. The National Steering Committee is a multi-stakeholder body which has oversight over country programmes approved or confirmed by the EB. Its main task is to guide and oversee the implementation of the national UN-REDD Programme support.

51. The UN-REDD Programme Secretariat supports the governing bodies and the overall operation of the Fund. It advises the EB on strategic priorities, programmatic and financial allocations and organizes the programming and appraisal processes. It is the UN-REDD Programme's central point of contact and liaises with other REDD+ initiatives.

52. The three participating UN Organizations - FAO, UNDP and UNEP - are responsible for the implementation and delivery of Programme outcomes as approved by the EB and the National Steering Committee.

53. The Administrative Agent to the UN-REDD Programme Fund is the UNDP MPTF Office. The Administrative Agent is responsible for fund administration and design.

54. Interim arrangements. An Interim Committee established on 13 September 2016 has been put in place in order to smoothen the transition and enable imminent decision-making for the Programme.

3.2. Administrative arrangements

55. The UNDP MPTF Office serves as the Administrative Agent of the UN-REDD and is responsible for the receipt of donor contributions, the transfer of funds to the participating UN Organizations, the submission of consolidated narrative and financial reports to donors. As the Administrative Agent, the MPTF Office transfers funds to the participating UN Organizations on the basis of the funding decisions made by the UN-REDD governance structure and on the basis of the signed Memorandum of Understanding between each participating UN Organization and the MPTF Office.

Administrative Agent Functions

56. On behalf of the participating UN Organizations, and in accordance with the UNDG-approved "Protocol on the Administrative Agent for Multi Donor Trust Funds and Joint Programmes, and One UN funds" (2008), the MPTF Office as the Administrative Agent of the UN-REDD will:

- Open a specific project for this funding allocation and disburse funds to each of the participating UN Organization in accordance with instructions from the Interim Committee. The Administrative Agent will normally make each disbursement within three (3) to five (5) business days after having received instructions from the Interim Committee along with the relevant Submission form and Project document signed by all participants concerned;
- Provide to Donors, narrative reports and financial statements (annual and final), based on submissions provided to the Administrative Agent by the UN-REDD Secretariat and participating UN Organizations;
- Proceed with the operational and financial closure of the project in the MPTF Office system once the completion is notified by the participating UN Organization, in accordance with the work plan described above (accompanied by the final narrative report, the final certified financial statement and the balance refund);

Accountability, transparency and reporting of the participating United Nations Organizations

57. Participating United Nations Organizations will assume full programmatic and financial accountability for the funds disbursed to them by the Administrative Agent. Such funds will be administered by each participating UN Organization, in accordance with its own regulations, rules, directives and procedures.

58. Each participating UN Organization shall establish a separate ledger account for the receipt and administration of the funds disbursed to it by the Administrative Agent for this project. This separate ledger account shall be administered by each participating UN Organization, in accordance with its own regulations, rules, directives and procedures, including those relating to interest. The separate ledger account shall be subject exclusively to the internal and external auditing procedures laid down in the financial regulations, rules, directives and procedures applicable to the participating UN Organization.

59. Each participating UN Organization will provide the Administrative Agent and the UN-REDD secretariat with:

- Annual progress reports to be provided no later than 31 March;
- Final (end of project) narrative reports, to be provided no later than three months after the operational closure of the project;
- Annual financial statements as of 31 December with respect to the funds disbursed to it from the UN-REDD Fund, to be provided no later than four months (30 April) after the end of the calendar year;

- Certified final financial statements after the completion of the activities in the approved programmatic document, to be provided no later than five (5) months (31 May) after the end of the calendar year in which the financial closure of the activities in the approved programmatic document occurs;
- Unspent balance at the closure of the project would have to be refunded and a notification sent to the MPTF Office, no later than six months (30 June) of the year following the completion of the activities.

3.3. Fund management arrangements

60. The UN-REDD Programme Fund will operate under the pass through modality with the UNDP MPTF Office as Administrative Agent. The arrangement is governed by the Memorandum of Understanding (MOU) signed by the three participating UN Organizations and the Administrative Agent (MPTF Office). The Administrative Agent is responsible for receiving, administering and transferring funds to the PUNOs based on approval from the EB and National Steering Committee; consolidating yearly reports including end of project reports; and statements based on submissions from each PUNO and providing these to each donor and the Executive Board. The Administrative Agent is also responsible for disbursing funds to the Secretariat for direct costs based on the decision of the Executive Board.

61. Contributions to the UN-REDD Programme Fund may be accepted from governments, inter-governmental or non-governmental organizations. Contributors are encouraged to provide unearmarked contributions; however, a contributor may earmark its contributions as provided in the Terms of Reference of the UN-REDD Programme.

62. Each participating UN Organization will use the funds disbursed to it by the Administrative Agent from the UN-REDD Fund Account to carry out the activities for which it is responsible as set out in the approved programmatic document, as well as for its indirect costs. Participating UN Organizations will commence and continue to conduct operations for the UN-REDD Fund activities only upon receipt of disbursements made by the Administrative Agent in accordance with the MOU. Indirect costs of the PUNOs recovered through Programme support costs will be seven percent (7%). All other costs incurred by each participating UN Organization in carrying out the activities for which it is responsible under the UN-REDD Fund will be recovered as direct costs.

3.4. Legal context or basis of relationship

63. Participating UN Organizations have signed an MOU to implement the UN-REDD Programme, which came into effect on 20 June 2008 and ends on 31 December 2021, as a part of their respective development cooperation, as more fully described in the UN-REDD Programme Strategic Framework.

64. FAO, UNDP and UNEP have agreed to adopt a coordinated approach in collaborating with donors who wish to support the implementation of the UN-REDD Programme. They have agreed to establish a common development fund and establish a coordination mechanism (the UN-REDD Programme Executive Board) to provide overall leadership and strategic direction to UN-REDD Programme implementation and to facilitate the effective and efficient collaboration between the three participating UN Organizations, the Forest Carbon Partnership Facility (FCPF) of the World Bank, and other partners and stakeholders. Each of the three organizations has agreed to comply with the UN-REDD Programme Strategic Framework 2016-2020, the MoU between FAO, UNEP and UNDP regarding the operational aspects of the MPTF, the TORs and Standard Administrative Agreements with donors.

65. Participating UN Organizations agree to undertake all reasonable efforts to ensure that none of the funds received pursuant to the UN-REDD Programme are used to provide support to individuals or entities associated with terrorism, and that the recipients of any amounts provided by participating UN Organizations do not appear on the list maintained by the Security Council Committee established

pursuant to resolution 1267 (1999). The list can be accessed [here](#). This provision must be included in all sub-contracts or sub-agreements entered into under this Framework document.

Annexes

Figure 2: Historical trend of backstopping costs

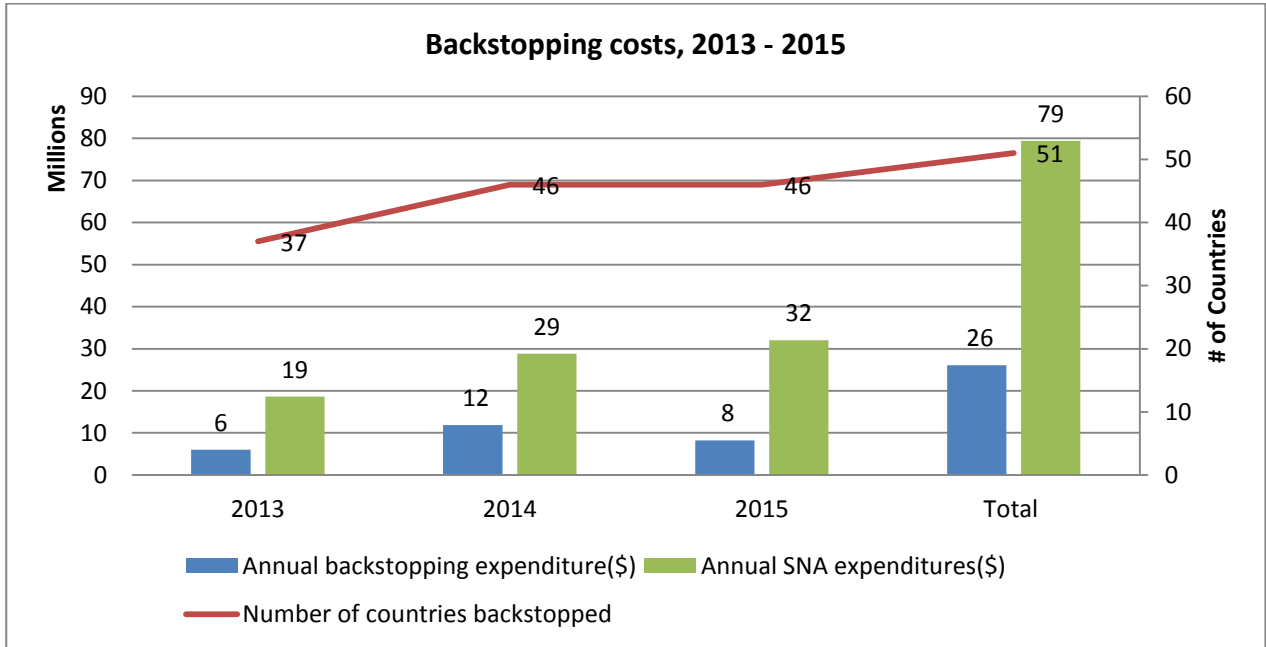


Figure 3: Evolution of TA cost per year for 2017-2020

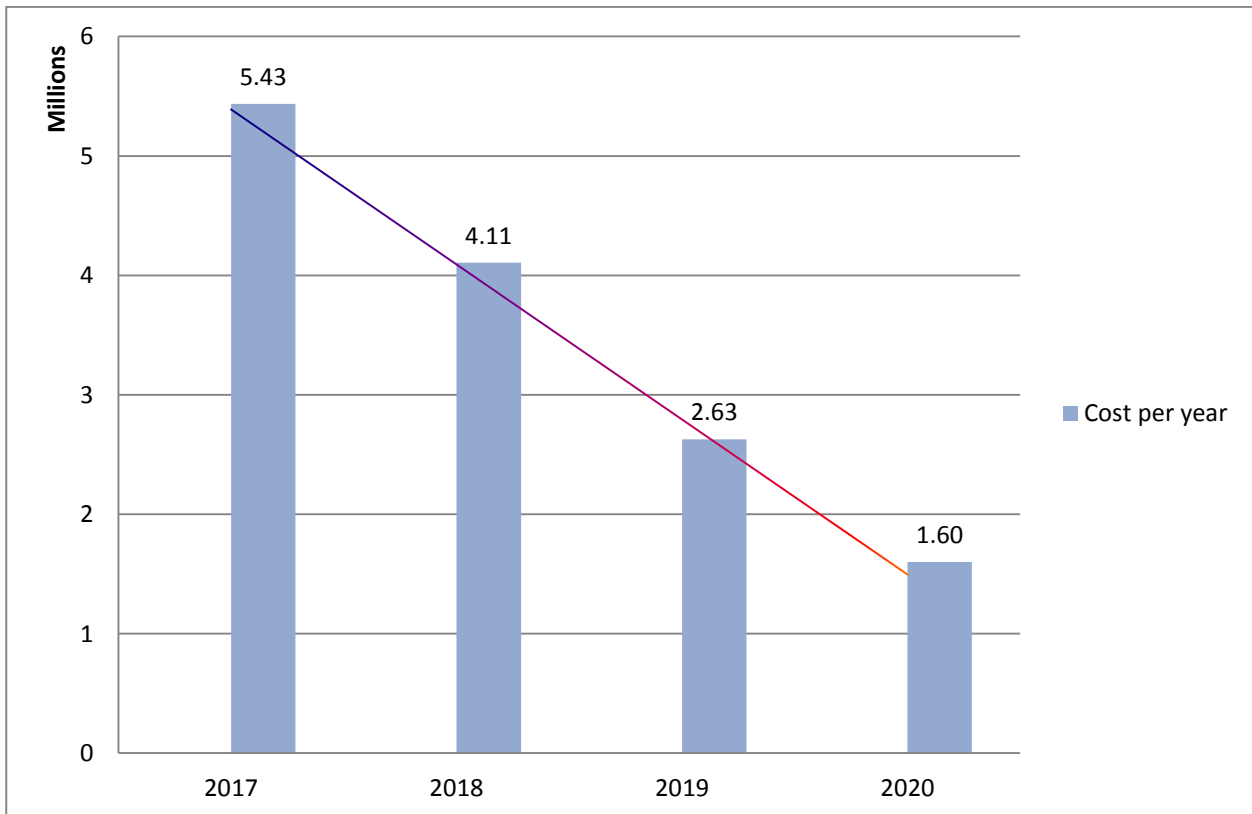


Figure 4: Alignment of R-PP components with 2016-2020 Results Framework

