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13 September 2012

Ms. Sezin Sinanoglu  
Resident Representative  
UNDP Mongolia

**Subject: Delegation of Authority for funds under UN-REDD Programme Targeted Support for REDD+ readiness in Mongolia.**

I am pleased to confirm that the amount of \$91,485 USD (inclusive of GMS) is available as targeted support for securing sustainable financing for REDD+ readiness in Mongolia and exploring options for equitable and transparent benefit distribution. This targeted support responds to specific technical and capacity needs identified by Mongolia to strengthen national REDD+ readiness efforts. It is to be managed under the existing project for REDD+ (Mongolia REDD+ Roadmap Validation, Atlas Award 00065831, Project 00082173).

You may request the transfer of funds by submitting an ATLAS-generated Annual Work Plan (AWP) based on the attached concept note and work plan (Annex 1). Any budget revisions should be forwarded to Ms. Elspeth Halverson, Programme Consultant, with copy to Mr. Timothy Boyle, UN-REDD Regional Technical Advisor, based in Bangkok, with an explanation of the changes proposed. In this connection, please note that the UN-REDD Programme is not in a position to increase the programme budget above the amount already agreed. Therefore, any over-expenditure on the targeted support funds will have to be absorbed by other Country Office resources.

In order to meet UNDP's obligations under the UN-REDD Programme and to ensure consistent standards are applied to all UNDP activities related to REDD+, strict quality assurance measures must be undertaken. This involves General Management Services (GMS) provided by the Country Office and Specialized Technical Services (STS) provided by the EEG REDD team (Annex 2). For the specific services related to supporting this project, please refer to Annex 3. The STS costs are not charged to the country office but are charged to UNDP's allocation under the "Support to National REDD+ Actions – global programme 2011-2015".

**United Nations Development Programme**  
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As you know, GMS is intended to cover the costs of project support, supervision and oversight, not project implementation. Where a government party, as an implementing partner, requests UNDP to provide specific services as a part of the project implementation, then the government party is responsible for reimbursing UNDP in accordance with UNDP policies on cost recovery. In such a case, your office must maintain appropriate separation between support and oversight, and implementation services, in accordance with the UNDP Internal Control Framework.

We also take this opportunity to draw your attention to the following mandatory requirements for all funding from the UN-REDD Programme:

- UN-REDD Programme operational guidance must be applied during the implementation of targeted support.
- Any changes contemplated with respect to the project objectives and outcomes will have to be discussed with and approved by the EEG REDD team before being signed.
- Funds managed by UNDP will be audited in accordance with UNDP Financial Regulations and Rules and audit policies.

In conclusion, I would like to assure you of EEG commitment to the successful implementation of the targeted support to Mongolia's REDD+ readiness. The EEG REDD team is at your disposal for advice and technical support.

Should you have any concerns or questions, please contact our Principal Advisor, Mr. Tim Clairs.

Yours sincerely,



Veerle Vanderweerd

Director  
Environment and Energy Group  
Bureau for Development Policy

cc.

Mr. Thomas Eriksson, Deputy Resident Representative, UNDP Mongolia  
Ms. Bunchingiv Bazartseren, Environment Programme Analyst, UNDP Mongolia  
Mr. Vineet Bhatia, RBAP Environment Focal Point, UNDP  
Mr. Timothy Boyle, Regional Technical Advisor (REDD+), UNDP Regional Centre, Bangkok  
Ms. Elspeth Halverson, Programme Consultant (REDD+ - Targeted Support), EEG

**Annex 1** Concept Note and Annual Work Plan

**Annex 2** Responsibilities & Specialized Technical Services for Quality Assurance

**Annex 3** Agreed Responsibilities for targeted support to Mongolia



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## Annex 2:

### Responsibilities & Specialized Technical Services for Targeted Support to National REDD+ Readiness

In order to meet UNDP’s obligations under the UN-REDD Programme and to ensure consistent standards are applied to all UNDP activities related to REDD+, EEG requires the following Specialized Technical Services (STS) to be undertaken, in addition to the General Management Services (GMS) provided by the Country Office. The cost of STS is not covered by GMS. For targeted support to Mongolia, the cost of STS is charged to UNDP’s allocation under the “Support to National REDD+ Actions – global programme 2011-2015”<sup>1</sup>.

Stage of the Project <sup>2</sup> Cycle	General Management Services, Country Office	Specialized Technical Services EEG REDD Team <sup>3</sup>
Scoping & Formulation	<ul style="list-style-type: none"> <li>• Liaises with national counterparts</li> <li>• Validates that concept reflects national development priorities, as well as UNDP strategies and plans as identified in the CPD and CPAP or UNDAF Action Plan, and is consistent with the Strategic Plan</li> <li>• Determines whether the concept has the potential to contribute significantly to the strengthening of national capacities and to making improvements in the development conditions for a large portion of the population</li> <li>• Identifies implementation risks and challenges, in the context of the national development conditions and past in-country programming experience</li> </ul>	<ul style="list-style-type: none"> <li>• Provides substantive policy and technical research and analysis relevant to the concept</li> <li>• Liaises with UN-REDD colleagues in FAO, UNEP and the inter-agency secretariat</li> <li>• Validates that the concept reflects UN-REDD priorities and is consistent with the UN-REDD Strategy and other UN-REDD guidance</li> <li>• Identifies implementation risks and challenges, in the context of international REDD+ negotiations and experience from other REDD+ related programming</li> <li>• Provides detailed screening of the concept against technical, financial, environmental and social criteria</li> </ul>

<sup>1</sup> For other sources of funds (SOF) –such as the GRIF, UN-REDD Tier 2 initiatives, bilateral funding - the STS need to be budgeted for.

<sup>2</sup> “Project” refers to the basis of UNDP’s support under the UN-REDD Programme. For the PGA, it refers to a transfer of funds from the “Support to National REDD+ Actions – global programme” that will be added to the existing UNDP Atlas Project for the UN-REDD National Programme

<sup>3</sup> Including Regional Technical Advisors in Regional Centres and Advisors/Analysts in New York, Geneva and the Oslo Governance Centre



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Stage of the Project <sup>2</sup> Cycle	General Management Services, Country Office	Specialized Technical Services EEG REDD Team <sup>3</sup>
Funding Approval	<ul style="list-style-type: none"> <li>• Clears the concept note on the basis of an operational quality assurance check and in the context of the contribution the expected results will make to national development priorities</li> </ul>	<ul style="list-style-type: none"> <li>• Reviews concept note against UN-REDD criteria</li> <li>• Clears the concept note on the basis of a substantive quality assurance check</li> <li>• Liaises with UN-REDD colleagues</li> </ul>
Project Development	<ul style="list-style-type: none"> <li>• Liaises with national counterparts concerning the preparation of the National Programme project development</li> <li>• Applies relevant provisions of the POPP for the project development</li> <li>• Drafts the revised AWP with the project developer</li> <li>• Organises and chairs the LPAC and prepares the minutes</li> <li>• Upon receipt of the Delegation of Authority, signs the project initiation plan</li> </ul>	<ul style="list-style-type: none"> <li>• Ensures relevant UN-REDD guidance and operational procedures are applied</li> <li>• Provides substantive technical input to the formulation of the project initiation plan</li> <li>• Reviews and clears the revised AWP to ensure it is consistent with UN-REDD requirements</li> <li>• Liaises with UN-REDD colleagues to ensure all UN-REDD requirements have been met</li> <li>• Issues the Delegation of Authority to the Country Office, setting out the quality assurance measures to be undertaken</li> </ul>
Implementation	<ul style="list-style-type: none"> <li>• Applies relevant provisions of the POPP and UNDP Monitoring &amp; Evaluation Handbook</li> <li>• General oversight and monitoring, including the provision of UNDP project assurance as set out in the POPP</li> <li>• Monitors progress of key activities as defined in Atlas</li> <li>• Liaises with in-country FAO and UNEP counterparts to ensure the coordination of activities</li> <li>• Monitors risks and updates the Risk Log</li> <li>• Prepares and submits financial reports</li> </ul>	<ul style="list-style-type: none"> <li>• Builds the capacity of the Country Office and the national implementing partners in the REDD+ domain</li> <li>• Prepares regular Mission Reports</li> <li>• Provides technical input and support to TOR development</li> <li>• Provides troubleshooting technical support</li> <li>• Works with UN-REDD colleagues in FAO and UNEP to ensure the coordination of activities</li> <li>• Contributes lessons and experiences from other UNDP REDD+ related programming and from other REDD+ initiatives</li> </ul>



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Stage of the Project <sup>2</sup> Cycle	General Management Services, Country Office	Specialized Technical Services EEG REDD Team <sup>3</sup>
	<ul style="list-style-type: none"> <li>• Supports the project’s systems, IT infrastructure, branding, knowledge transfer</li> <li>• Revises the AWP with the national implementing partner</li> <li>• Prepares progress reports as required</li> <li>• Provides other information on the status of implementation as may be requested by EEG or UN-REDD</li> </ul>	<ul style="list-style-type: none"> <li>• Provides operational guidance on UN-REDD requirements and guidance</li> <li>• Contributes technical input and quality assurance to monitoring, reporting and evaluations</li> <li>• Prepares technical analysis, compilation of lessons, dissemination of technical findings</li> <li>• Reviews and clears progress reports before submitting them to UN-REDD</li> </ul>
Evaluation and Completion	<ul style="list-style-type: none"> <li>• Commissions project evaluation as required and prepares a management response</li> <li>• Closes the project in accordance with the relevant provisions of the POPP</li> </ul>	<ul style="list-style-type: none"> <li>• Liaises with UN-REDD colleagues</li> <li>• Ensures any evaluation is undertaken in accordance with UN-REDD requirements and guidance</li> <li>• Ensures the project is closed in accordance with UN-REDD requirements</li> </ul>





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### Annex 3:

#### Agreed Responsibilities for Targeted Support to Mongolia's REDD+ Readiness

In compliance with the Responsibilities and Specialized Technical Services set out in Annex 2, the following responsibilities are agreed to support the implementation of targeted support of Mongolia's REDD+ readiness:

Key Tasks	Country Office	EEG REDD Team <sup>1</sup>
<b>Outcome 1- Increased capacity of the Forestry Agency to strategically plan and implement REDD+ Readiness actions while REDD+ is mainstreamed into the national planning process to secure increased political support</b>		
<p><b>Output 1.1:</b> Recommendations on how to engage with, strengthen and support the Parliament Committee on Environment, Food and Agriculture and the Forestry Agency</p> <p><b>Planned Activity:</b> Institutional and context analysis:</p> <ul style="list-style-type: none"> <li>• Mainstreaming REDD+ into national planning</li> <li>• Integrating REDD+ Roadmap into forest sector policy and action plan</li> </ul>	<p>Advertise and contract consultants (ICA Team Leader and two National Experts) to conduct institutional and context analysis targeted at poverty reduction, responsible mining and environmental sustainability in Mongolia.</p> <p>Provides country-specific input and context to consultants' programmatic and policy recommendations</p>	<p>Working with PEI &amp; DGG/OGC team:</p> <p>Provides input to TOR, participates in selection of consultants (LP &amp; AK)</p> <p>Provides technical input on consultants' ICA for REDD-Plus in Mongolia (LP &amp; AK)</p>
<p><b>Output 1.2:</b> Capacity/awareness-raising program to secure greater political support from the parliament</p> <p><b>Planned Activities:</b></p> <ul style="list-style-type: none"> <li>• Review recommendations of ICA</li> <li>• Consult with the Parliamentary Standing Committee to identify capacity and awareness needs</li> <li>• Design and implement the program</li> </ul>	<p>Provides country-specific input and context to the consultants' design and implementation of a capacity/awareness raising program for parliament</p>	<p>Working with DGG Parliamentary Support team:</p> <p>Provides technical backstopping and advice on to the consultants the development and implementation of the capacity/awareness raising program (LP &amp; AK)</p>
<p><b>Output 1.3:</b> Capacity development framework for the Forestry Agency</p> <p><b>Planned Activities:</b></p> <ul style="list-style-type: none"> <li>• Review recommendations of ICA</li> <li>• Consult with FA to identify functional and technical capacity development needs</li> <li>• Design and implement a capacity development framework</li> </ul>	<p>Provides country-specific input and context to consultants' design and implementation of a capacity development framework for the Forest Agency</p>	<p>Working with the Capacity Development team:</p> <p>Provides technical input on consultants' design and implementation of a capacity development framework for the Forest Agency (LP &amp; AK)</p>
<b>Outcome 2 - Potential options identified for effective, equitable and transparent management and sharing of</b>		

<sup>1</sup> EEG REDD Team: Members of the EEG REDD Team providing STS to this project are: AK – Akihito Kono (UN-REDD Regional Coordinator), EH - Elspeth Halverson (Programme Consultant – Targeted Support), LP – Leo Peskett (Programme Consultant – Governance and Multiple Benefits)



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Key Tasks	Country Office	EEG REDD Team <sup>1</sup>
<b>eventual REDD+ benefits</b>		
<p><b>Output 2.1:</b> Review of cash transfer schemes - effectiveness and applicability to REDD+ benefit management and distribution</p> <p><b>Planned Activities:</b></p> <ul style="list-style-type: none"> <li>• Outline a review approach</li> <li>• Conduct stock-taking</li> <li>• Review of past/existing mechanisms</li> <li>• Validate findings with key stakeholders</li> </ul>	<p>Advertise and contract consultant to conduct a review of cash transfer schemes for REDD+</p> <p>Provides country-specific input and context to consultants' review approach and stakeholder validation process</p>	<p>Provides input to TOR, participates in selection of consultant (LP &amp; AK)</p> <p>Provides technical input on consultant's review approach and stakeholder validation process (LP &amp; AK)</p>
<p><b>Output 2.2:</b> Assessment of social impacts of the past and current cash transfer schemes and identification of relevant safeguarding options</p> <p><b>Planned Activities:</b></p> <ul style="list-style-type: none"> <li>• Develop an impact assessment framework</li> <li>• Review social impacts of past/existing mechanisms</li> <li>• Validate findings with stakeholders</li> </ul>	<p>Provides country-specific input and context to consultants' impact assessment framework and review of past/existing mechanisms</p> <p>Provide practical preparation, organization and follow-up for stakeholder validation process</p>	<p>Provides technical input on consultant's consultants' impact assessment framework and review of past/existing mechanisms (LP &amp; AK)</p>
<p><b>Output 2.3:</b> Recommendations and work plan for developing benefit sharing systems for REDD</p> <p><b>Planned Activities:</b></p> <ul style="list-style-type: none"> <li>• Prepare an initial options report describing scenarios for REDD+ BDS</li> <li>• Validate the report and recommendations with stakeholders at national and sub-national level</li> <li>• Finalize the report with Government endorsement</li> <li>• Document replicable lessons from the process</li> </ul>	<p>Provides country-specific input and context to consultants' options report</p> <p>Provide practical preparation, organization and follow-up for stakeholder validation process</p>	<p>Provides technical input on consultant's options report and documentation of replicable lessons from the review process (LP &amp; AK)</p> <p>Reviews consultant's final report (LP &amp; AK)</p> <p>Participates in stakeholder validation process at national level (LP &amp; AK)</p>
<p><b>General project and budget management</b></p>	<p>Leads the engagement with in-country partners and stakeholders for the planning and implementation of UN-REDD Programme targeted support in Mongolia</p> <p>Manages the budget according to the work plan and budget put forth in the concept note of 31 July 2012</p>	<p>Provides guidance and quality assurance in dialogue and cooperation with CO both on planning and implementation (AK &amp; EH)</p> <p>Builds the capacity of the Country Office and the national implementing partners regarding REDD+ (AK)</p> <p>Provides the format for reporting, based</p>





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Key Tasks	Country Office	EEG REDD Team <sup>1</sup>
	<p>(attached).</p> <p>Reports on deliverables in accordance with UN-REDD Programme reporting requirements.</p> <p>Both the financial and progress report should be sent to the EEG REDD team</p>	<p>on the UN-REDD reporting requirements for the Global Programme and Targeted Support. (EH)</p>

