# Final Evaluation of UN-REDD Mongolia National Programme

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Final Report

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Contents

List of Acronyms

AAC   Annual allowable cut (of timber)
AFOLU   Agriculture, Forests and Other Land Use
ALAMGAC   Administration of Land Management, Geodesy and Cartography
BeRT   Benefits and Risks Tool (of UN-REDD Programme)
BUR   Biennial Update Report
CBNA   Capacity Building Needs Assessment
CE   Collect Earth
CBIT   Capacity Building Initiative for Transparency (under the Paris Agreement)
CKMM   Communications, Knowledge Management and Media
CCPIU   Climate Change Project Implementing Unit
COP   Conference of Parties
CSO   Civil Society Organization
CTA   Chief Technical Advisor
DFPC   Department of Forest Policy and Coordination, MET
EF   Emission Factor
EIC   Environmental Information Centre
ERISC   Environmental Research and Information Study Centre
FAO   Food and Agriculture Organization of the United Nations
FAO-RAP   FAO – Regional Office Asia Pacific
FPIC   Free, Prior and Informed Consent
FRA   Forest Resource Assessment
FRDC   Forest Research and Development Centre
FRL   Forest Reference Level
FREL   Forest Reference Emission Level
FSDC   Forest and Sustainable Development Council
FUG   Forest user group
GASI   General Agency for Specialized Inspection
GCF   Green Climate Fund
GEF   Global Environmental Facility
GHG   Greenhouse gas
GHGI   Greenhouse gas inventory
GIZ   International Cooperation Agency of the German Government
GoM   Government of Mongolia
IGEB   Institute of General and Experimental Biology, Mongolian Academy of Sciences
IPCC   Intergovernmental Panel on Climate Change
MET   Ministry of Environment and Tourism
MRV   Measurement, Reporting and Verification
MTR   Mid-term Review
NDC   Nationally Determined Contribution
NFI   National forest inventory
NFMS   National Forest Monitoring System
NGO   Non-governmental Organisation
NPD   (UN-REDD) National Programme Director
NRSC   National Remote Sensing Centre
NS   National REDD+ Strategy
NSO   National Statistical Office
OECD   Organization for Economic Co-operation and Development
PAMs   Policies and Measures
PEB   Programme Executive Board

PMU	Programme Management Unit
RBPs	Results-based payments
REDD+	Reducing Emissions from Deforestation and Forest Degradation
REDD+ NP	REDD+ National Program (equivalent to NS)
ROtI	Review of Outcomes to Impacts (methodology)
RTA	Regional Technical Advisor
SDG	Sustainable Development Goal
SIS	Safeguard Information System
SFM	Sustainable Forest Management
SLMS	Satellite Land Monitoring System
SNAP	Sub National Action Plan
tCO$_2$e	Tonnes of carbon dioxide equivalent
TFI	Taxation Forest Inventory (of Mongolia)
ToC	Theory of change
TOR	Terms of reference
TS	Targeted Support
TSP	Targeted Support Program
TWG	Technical Working Group
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNEP-WCMC	UN Environment World Conservation Monitoring Centre
UNRC	United Nations Resident Coordinator
UN-REDD	United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries

Executive Summary

Introduction and methodology

The UN-REDD Mongolia National Programme (or 'Programme' from here on) commenced in January 2016, following two years of Targeted Support, and is due to finish on 30th November 2018. This evaluation, commissioned by UNDP on behalf of the UN-REDD agencies (FAO, UN Environment and UNDP), is based mainly on an evaluation conducted by the two consultants (see Annex IV for brief profiles) from 8th to 19th October 2018. During the mission they interviewed over 30 key informants (listed in Annex III) and conducted an evaluation workshop (17th October) attended by 32 Programme stakeholders. The data generated by the evaluation workshop allowed the consultants to apply 'theory of change' analysis, including in the identification of design gaps, in line with the terms of reference (TORs) (see Annex I).

The interviews and workshop were complemented by skype interviews with UN Agency Regional Technical Advisors (RTAs) and a former Chief Technical Advisor (CTA) of the FAO-GEF Project, and written comments supplied by two key informants, including the former CTA of the Programme. The consultants also reviewed many reports listed in Annex II.

Main conclusions and findings

The main conclusions are that:

- The Programme has been successful in establishing technical readiness, and safeguards readiness is reasonably 'on track'; but it has been less successful in achieving policy and institutional readiness, and therefore achievement of the Programme Goal/Indicator is partial. Overall, the Programme was rated as between Moderately Satisfactory (MS) and Moderately Unsatisfactory (MU).
- The main shortcoming of the Programme is progress on the National REDD+ Strategy (NS) – called the REDD+ National Program (NP) in Mongolia[1]. There are also concerns that the PAMs[2] are insufficiently transformational (i.e., PAMs that will slow down, halt or reverse the deforestation and forest degradation drivers) and inter-sectoral, and with the quality of the process. It is concluded that there is insufficient time left to achieve a NS of satisfactory quality.
- The main factor affecting performance has been delays associated with weak government leadership (and political instability), including not having alternate National Programme Directors (NPDs) with decision-making powers. This has been reinforced by weak state implementing institutions, language/translation issues that have slowed down and complicated quality control, entrenched forestry mindsets, slow UNDP procurement procedures (as noted in the Mid-Term Report) and frequent changes in key personnel including UNDP Country Office (CO) Focal Points and RTAs (as well as the NPDs).

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[1] Unlike most other National Programs in Mongolia that are approved at Ministerial level, the REDD+ National Program is being prepared for approval at the cabinet level in order to obtain the high level and cross-sectoral political support needed for effective implementation.

[2] It should be noted that this analysis is based on the April 2018 version of the PAMs that were available at the time of the Evaluation Mission. It is therefore possible that the very recently modified PAMs are more transformational and inter-sectoral.

- There was a consensus among key informants that three years is too short for a REDD+ readiness programme (notwithstanding the delays). For example, key informants from GIZ recognised the need for the Programme to "find its feet" in the first year.
- The evaluation team agrees with most key informants that not working on soil carbon and the permafrost layer was an important missed opportunity given the distinguishing characteristics of boreal forest compared to tropical forest and Mongolia's difficulties in AFOLU soil carbon reporting to the UNFCCC. It is however recognised that this was not a straightforward decision and that the scientific and methodological work would have been challenging.
- The main recommendation is a request for a three-month no-cost extension to finalise the NS and to develop a donor proposal for working on MRV of soil carbon and the permafrost layer; this is due to the important current AFOLU reporting gap to UNFCCC and the significance of potential greenhouse gas emissions from forested permafrost layer areas due to anthropogenic drivers.

The following table summarises the achievement of Programme outcomes and outputs using the rating system proposed in the TORs: Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU).

OUTCOME 1: Management arrangements, stakeholder awareness and engagement	MS
Output 1: Multi-stakeholder consultation process	MS
Output 2: UN-REDD PMU established	Between S & MS
Output 3: CSO/LC[1] forum established	Between MS & MU
Output 4: Public awareness raised	MS
Output 5: Consultation/participation plan developed	MS
Output 6: Stakeholder Engagement Handbook	MS
OUTCOME 2: National REDD+ Strategy prepared	U
Output 7: Barriers to REDD+ identified	MS
Output 8: REDD+ PAMs identified and prioritised	MU
Output 9: National funding mechanisms identified	MS
Output 10: Capacity-building plans	Between S & MS
Output 11: Gender analysis	Between S & MS
Output 12: Safeguard policy framework	S
Output 13: NS prepared	U
OUTCOME 3: Forest Reference Level developed	S
Output 14: Capacity built for FRL	S
Output 15: FRL methodology developed and tested	S
OUTCOME 4: NFMS and SIS developed	S
Output 16: NFMS and FIS	S
Output 17: MRV system	S
Output 18: Safeguards Information System (SIS)	S

It should be noted that there is an inter-relationship between the outputs, e.g., the awareness raising or communications component has not had a sufficiently large effect[2] on traditional forester

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[2] This is not to say that there has been no effect on these attitudes, for example, it is reported that there has been a significant cut to the 2019 pest/disease spraying budget.

attitudes on pest control, forest protection and the role and rights of forest user groups (FUGs), and this has hampered reaching a consensus on the needed transformational PAMs (in relation to the drivers), and thus development of the NS. At the same time it is recognised that it can take a longer time frame to change attitudes.

This evaluation also finds that the performance of the PMU was between Satisfactory and Moderately Satisfactory in the light of a difficult operating environment, and technical backstopping by RTAs was Satisfactory although it not helped by frequent personnel changes. Support from the UNDP CO was less satisfactory especially in the first year, and was not helped by changes to the Focal Point. The Mid Term Review (2018) rated the support of the regional and country offices as "mixed".

As regards the UN cross-cutting issues, many gender-related activities were undertaken, and there is reason to believe they have had a positive effect. The 2017 report on Gender and Social Inclusion was written by gender specialists and has informed the MET's revised Gender Action Plan. It is also hoped that the Handbook on Gender Sensitive and Socially Inclusive Stakeholder Engagement (awaiting approval) will be used extensively, including beyond the forest sector. On the other hand, there was no mention of gender in the April 2018 (latest English) version of the PAMs.

The capacity building activities have been essential for technical and safeguards readiness, although some key informants were critical of the excessive number of trainings and other capacity building events. During the first two years there were some problems of tailoring training topics to audiences, especially at the provincial/local level, but following the MTR this has improved. The FAO *Open Foris* toolkit, especially the *Collect Earth* tool, has been essential in the MRV-related components, and the UN-REDD Programme REDD+ Academy course materials have been used extensively in training and capacity building at all levels, including in schools and universities. [1]

As regards sustainability or continuation of the REDD+ process, it seems unlikely there will be a REDD+ implementation phase. It is broadly agreed that the main priority for Mongolia and the forest sector is adaptation, and for which donor finance[2] is more likely to be available. This reality was recognised early in the Programme as shown by the development of the "REDD+ Vision" of *Building climate resilient forest ecosystems, livelihoods and a sustainable economy for a greener future.* Given this situation it can be argued that the priority is to build on the progress achieved in the Programme, but to re-mould and adapt it more towards the adaptation agenda (with mitigation as a co-benefit), and thus take advantage of the strong synergy between the potential livelihood enhancement activities/benefits (e.g., increased thinning rights/benefits for FUGs, and expansion of the wood-processing sector) and mitigation priorities (more intensive SFM, including thinning, and an increased annual allowable cut (AAC)).

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[1] A noteworthy achievement has been that that, building on the REDD+ Academy materials, three public universities have developed or modified their undergraduate or postgraduate curriculae, including offering a 'Forest and Climate Change' course from 2019.

[2] In Mongolia, sustainability tends to be seen as dependent on donor finance. But this should not be the case. As found by the Financing Mechanisms and Options report, the forest sector could be financially self-sufficient through reallocation of current expenditure (mainly away from pest prevention/control and towards SFM), more effective revenue collection, earmarking forest revenue for the forest sector, and a more favourable policy/investment environment for the private sector, most obviously in the wood processing sector. These changes are also needed for the mitigation and adaptation agendas.

As regards sustainability of the systems, mechanisms and institutional arrangements of the Programme, the technical systems (NFMS, FIS, NFI) will continue, at least in the short term, due to donor support; Mongolia's reporting commitments to the UNFCCC and the NDCs will also hopefully incentivise longer-term sustainability through national funding. Some components of the safeguards framework or system could also be adapted to a forestry-focused adaptation programme. It is hoped that the core groups (if not the TWGs) could continue or be revived in some form in an adaptation NP context. The sustainability of the civil society forum is doubtful due to its weak capacity, including as regards governance, lack of resources and an unclear implementation role**Recommendations**

For MET and UN agencies: a request should be made for a three-month no-cost extension with the main objective of completing the unfinished readiness agenda so that national capacity to apply for future adaptation or mitigation funding (with a focus on SFM) is strengthened. The priorities are completion of the REDD+ National Program document and development of a donor proposal for work on soil carbon, especially in permafrost layer areas. This recommendation is justified by the delays in implementation documented in this report, the concern that an NS or REDD+ National Program developed by the official termination date of the Programme could be of poor quality, the desirability of adapting the NS to add or incorporate the adaptation agenda (since it would respond better to national priorities and would enhance implementation funding potential), and the relatively short duration of the Programme compared to other countries. For the MET, PEB, National Strategy TWG and PMU: Given the very strong synergy of the actions needed for both mitigation (or REDD+) and adaptation, amend the REDD+ NP so that it is more in line with the Programme's "REDD+ Vision" and becomes a REDD+ and Adaptation NP. This would require modified or additional PAMs to increase adaptation capacity in the forest sector, especially as regards livelihood resilience of vulnerable stakeholder groups, including reconciling grazing and forestry issues in some areas, and enhancing local institutional capacity. There should also be more emphasis in the PAMs/actions on an enabling policy and regulatory framework (including strengthening of rights) for SFM by FUGs, and for wood and NTFP processing.

For the NS TWG and PMU: The NS/NP should be based on the PAMs and not try and incorporate activities proposed in the six Sub-National Action Plans (SNAPs). The SNAPs should be re-visited after the NS has been approved, and according to whether and when they are needed in the REDD+ implementation stage. For the UN-REDD Programme: clearer guidance could be provided on the sequencing of national and sub-national planning and good practice as regards the substantive content of NS documents.

For the NS TWG and the PMU: Undertake a rapid assessment of current data and understanding of the drivers in permafrost layer areas, given the significance of potential greenhouse gas emissions from melting permafrost due to anthropogenic drivers.

For the global UN-REDD Programme and the UN agencies: The requirement of a named decision-making alternate (at all times) to the National Programme Director needs to be explicitly specified in the National Programme Document signed by government. Linked to this there should be a clear prioritisation and distinction between reports, decisions or steps that need approval and those that don't, and who can give this approval.

For UN agencies and GoM: Minimise the number of personnel changes as regards CO focal points, RTAs, CTAs and NPDs.

For UN agencies: develop common financial/accounting definitions and procedures, e.g., liquidation categories and procedures on "hard" and "soft commitments".

For UNDP and the UN-REDD Programme: the length of the in-country evaluation mission should be increased to three weeks or 15 working days.

Part A. Introduction

1   Context of the National Programme

The UN-REDD Programme is the United Nations Collaborative Programme on Reducing Emissions from Deforestation and forest Degradation (REDD+) in developing countries. UN-REDD Programme (subsequently called the Programme) was launched in 2008 and builds on the convening role and technical expertise of the Food and Agriculture Organization of the United Nations (FAO), the United Nations Development Programme (UNDP) and United Nations Environment, referred to as the participating UN Organizations (UN Organisations). The Programme supports nationally led REDD+ processes and promotes the informed and meaningful involvement of all stakeholders, including indigenous peoples and other forest-dependent communities, in national and international REDD+ implementation.

Mongolia is a landlocked country with a territory of 1.564 million square kilometres. The mean annual temperature ranges from -8°C to 8°C across regions and the annual precipitation varies from 50 mm in the Gobi desert to 400 mm in the mountainous areas. Climate change assessments in 2009 and 2014 have demonstrated that fragile ecosystems, reliance on extensive livestock husbandry and rain-fed agriculture, growing population and urbanization process are combining to make Mongolia vulnerable to climate change, which is taking place faster than in other regions – the average annual temperature in Mongolia has increased by 2.1 degrees Celsius between 1940 and 2014, about three times the global average.

Prior to 1990, natural resource use, including water use, grazing, hunting and forestry, was managed according to fairly specific planning frameworks guided by national objectives. This management system collapsed with communism. Mongolia transitioned into a democratic state in the early 1990′s and adopted a new constitution in 2006. The Environmental Protection Law passed in 2006 guides natural resource use and conservation, and is supported by additional legislation such as the Protected Areas Law (2006), Forest Law (2007), and Water Law (2004, 2012). A Pastureland Management Law has been under review for some time and has yet to meet legislative approval.

After the political changes Mongolia experienced relatively rapid rates of economic growth due mainly to exploitation of its mineral resources. However, the equity and environmental risks have become increasingly recognised so that in recent years the Government of Mongolia (GoM) has committed to a green development path through creation of the Ministry of Environment and Tourism (MET)[1], the Green Development Policy and Sustainable Development Vision (2015), ratification of the Paris Agreement (2016) and submission of its Nationally Determined Contributions (NDCs) to the UNFCCC.

Although the southern expanse of the Siberian Taiga extends into Mongolia, only about 10% of the country is forested according to the Forestry Reference Level (FRP) report submitted to the UNFCCC

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[1] Formerly called the Ministry of Environment, Green Development and Tourism (MEGDT).

(Government of Mongolia 2018[1]). The country includes two major forest biomes, boreal forest in the north accounting for about 14 million hectares, and saxaul forest in the south accounting for about 2 million hectares (op cit). Over the 2005-2015 period an estimated 52,660 hectares of forest have been lost.Reforestation in boreal forests has been limited; most of the afforestation and reforestation efforts are concentrated in Saxaul trees/shrubs in the south to combat desertification.

Mongolia joined the UN-REDD Programme in 2011 and is the only country in the Programme with significant boreal forest cover. The REDD+ Readiness Roadmap was officially adopted by MET in June 2014. The Roadmap sets out four main outcomes that are restated in the National Programme Document:

1. National REDD+ management arrangements established while ensuring improved stakeholder awareness and effective stakeholder engagement;
2. National REDD+ Strategy (NS) prepared;
3. Forest reference emissions levels (FRL) and forest reference levels (FREL) developed;
4. National Forest Monitoring System (NFMS) and Safeguards Information System (SIS) developed.

The National Programme Document was signed in September 2015 by the MET and the three UN agencies. The Programme budget was US$ 3,996,450 distributed between the UN agencies as follows: UNDP: $2,396,800 (60%); FAO: $1,171,650 (29.3%); and UN Environment: $428,000 (10.7%). The goal, indicator and target of the Programme were stated as follows:

- Goal: Support the GoM in designing and implementing (sic[2]) its National REDD+ Strategy and in meeting the requirements under the UNFCCC Warsaw Framework to receive REDD+ RBPs.
- Indicator: Full-scale implementation of the Roadmap with necessary capacities to meet international requirements for receiving REDD+ RBPs and necessary institutional arrangements to implement the NS[3].
- Target: By 36 months after Inception, evidence of national ownership in the REDD+ processes and increased support by development partners.

Following two years of 'Targeted Activities', the Programme officially commenced in January 2016 when the first Programme Executive Board (PEB) meeting and inception event were held. The Programme is due to end on 30th November 2018.

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[1] Government of Mongolia. 2018. Mongolia's Forest Reference Level submission to the United Nations Framework Convention on Climate Change. UN-REDD Mongolia National Programme, Ministry of Environment and Tourism, Ulaanbaatar.

[2] This was an error in the National Programme Document since the Programme is for 'Readiness' and does not include 'Implementation' activities.

[3] The National REDD+ Strategy (NS) has been renamed the REDD+ National Program (REDD+ NP) to conform with the new Regulation #49.

2   The Evaluation

2.1   Purpose of the Evaluation

As stated in the Terms of Reference (Annex I), the objectives of this evaluation are to:

- **Provide evidence of results to meet accountability** requirements. This includes (i) performance of the Programme in terms of relevance, effectiveness (outputs and outcomes) and efficiency, (ii) sustainability and up-scaling of results, and (iii) actual and potential impact stemming from the Programme.
- **Assess the status of REDD+ readiness** in Mongolia, **gaps and challenges** that need to be addressed to achieve REDD+ readiness and the possible future role of UN-REDD in the REDD+ process of Mongolia.
- **Promote learning, feedback and knowledge sharing** through results and lessons learned among the participating partners and stakeholders including the GoM, UN organisations and other partners. The evaluation will identify lessons of operational and technical relevance for future programme formulation and implementation in Mongolia and/or for the UN-REDD Programme as a whole.

The primary audience for the evaluation is the GoM, the three UN Organizations and the programme resource partners. The secondary audience for the evaluation is the UN-REDD Policy Board and national REDD+ stakeholders. This evaluation report will be made available to the public through the Programme website (www.un-redd.org).

2.2   Methodology

2.2.1   Review of documents

The evaluation team was able to study many documents, listed in Annex II, including:

- REDD+ Readiness Roadmap (2014)
- National Programme Document (2015)
- Mid Term Review (2018)
- Revised Results Framework (2018)
- The main consultancy reports commissioned by the Programme
- A series of policy briefings, some of which summarise longer consultancy reports
- Annual Reports, especially the 2017 Annual Report
- Minutes of meetings of the PEB and Technical Working Groups.

A provisional understanding and identification of key issues and follow-up questions from several of these documents were presented in Annex 2 of the Inception Report. Information from these documents was used to help assess the performance of the Programme according to the five OECD-DAC evaluation criteria[1]: relevance, effectiveness, efficiency, sustainability and impact.

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[1] OECD (2003), *Harmonising Donor Practices for Effective Aid Delivery*. DAC Guidelines and Reference Series, Organisation for Economic Co-operation and Development, Paris.

2.2.2 Key informant interviews and written submissions

Essential information for the evaluation was obtained from interviews with key informants or stakeholders, including : PMU staff, the NPD, the MET State Secretary, PEB chairs, staff in implementing government agencies, UN country office staff, civil society representatives who are members of the Forest and Sustainable Development Council (FSDC) established under the Programme, and staff or advisors to the FAO-GEF project "Mainstreaming Biodiversity Conservation, Sustainable Forest Management and Carbon Sink Enhancement into Mongolia's Productive Forest Landscapes" and the GIZ "Biodiversity and Adaptation of Key Forest Ecosystems to Climate Change II Programme."

In addition, several skype interviews were conducted with current and past Regional Technical Advisors (RTAs) of the three UN agencies and with an ex-CTA of the FAO-GEF Project. The former Chief Technical Advisor (CTA) of the Programme also sent extensive written comments. The report has also benefited from extensive discussions with the current CTA. For a complete list of interviewees, see Annex III.

2.2.3 Evaluation workshop with key stakeholders and informants

A one-day Evaluation Workshop was held on 17th October 2018 at the Holiday Inn, Ulaanbaatar, with 32 key stakeholders or informants (excluding the two consultants) listed in Annex III. The aims of the Evaluation Workshop were to:

- Assess the quality of the design of the Programme, including design gaps;
- Identify causative factors in the (more or less) successful achievement of the outputs and outcomes;
- Identify recommendations for meeting outstanding gaps in REDD+ readiness, necessary for an effective REDD+ implementation phase;
- Reveal lessons for UN-REDD and other readiness programmes in other countries.

The methodological basis of this workshop was theory of change (TOC) analysis, and more specifically (as specified in the TORs), the Review of Outcomes to Impacts (ROtI) method (although this was significantly adapted to the context). The essence of the ROtI method is to analyse relationships and causal linkages between project/programme strategies, outputs, outcomes and impacts (see Figure 1). The method was adapted in this evaluation in that the main focus was on the linkages, risks and assumptions between the activities, outputs and outcomes, rather than looking at linkages with impacts which will not be observable until the implementation phase.

Figure 1: Diagram of the ROtI Methodology

Log frame/Results Framework Review

Outcomes-Impacts Analysis

Impacts Identification
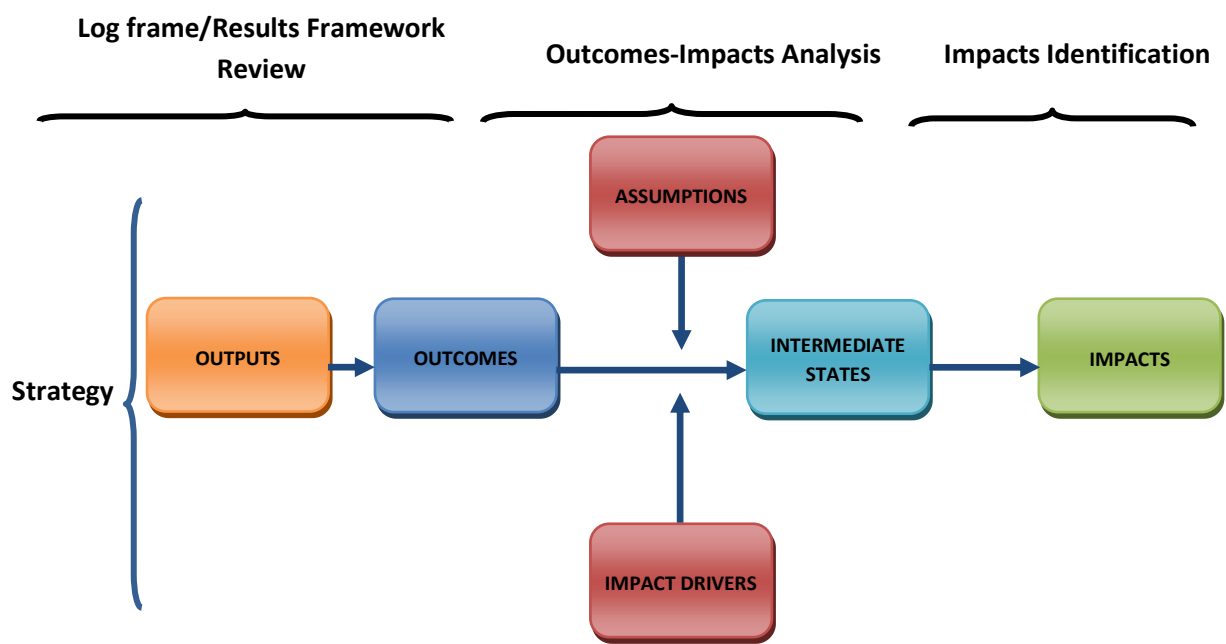
Source: GEF Evaluation Office. 2010. Towards Enhancing the Impacts of Environmental Projects. The ROtI Handbook. Methodological Paper #2. www.gefeo.org

In theory, the key steps and concepts in the ROtI approach are as follows:

- Analysis of risks and assumptions identified prior to programme implementation (i.e., in the National REDD+ Readiness Roadmap and the National Programme Document), including whether these risks and assumptions are associated with factors beyond the control of the Programme ("external risks") or with factors that the Programme should be able to influence or control ("internal risks").

- Analysis of how the Programme, through its design, tried to mitigate the negative consequences of any 'broken' assumptions (i.e., when a risk became 'real').

- Identification of missing "intermediate states". An intermediate state is defined as an achievement or result that would have increased the likelihood of an effective outcome or goal, and can refer to either external or internal risk factors.

- Identification of missing "impact drivers". An impact driver is an activity or output that could have been undertaken to help achieve a missing "intermediate state"; these usually address a barrier or constraint to achievement, e.g., poor coordination or collaboration between departments or ministries.

- Identification of "assumptions". These relate to external factors or risks, e.g., political instability. Broken assumptions can be important explanatory factors for disappointing outcomes, and are therefore important to consider when analysing how much the outcomes (or lack of them) can be ascribed to design issues as opposed to factors beyond the control of the Programme.

None of this terminology or jargon was used in the Evaluation Workshop since it could have caused confusion for some participants. In the workshop, participants were divided into five working

groups, one composed mainly of Programme Management Unit (PMU) members[1], including the CTA, and the other four corresponding to the four Programme outcomes; the non-PMU participants joined the working group that corresponded best to their experience and engagement with the Programme (or in other words according to the outcome they mainly worked on).

Working groups were then asked to complete two tables set out on flipchart sheets. The first of these tables involved the working group identifying positive achievements or aspects of the Programme, and the main explanations or causative factors for this success. This exercise lasted about an hour. The second table focused on the challenges, problems, mitigation actions and possible gaps; working groups were asked to populate a six-column table (see Photo 1 and Table 1) in response to the following guiding questions (for each Output):

- What have been the challenges, problems or (realised) risks that have prevented achievement of a good quality outcome or output?
- What were the negative consequences of these challenges/constraints for the Programme?
- How did the Programme try to counteract or mitigate these problems or challenges?
- Was the mitigation measure effective in counteracting the challenge or problem?
- What else could or should the NP have done to improve the quality of the outputs and outcomes?

The discussions and tables generated by the guided questions allowed the evaluation consultants to develop, following the workshop, a table revealing some possible design gaps according to the views of the workshop participants (Table 2 in Section 3.1.2). Together with other data collected from key informant interviews and documents, this helped the evaluation team assess the design quality of the Programme and establish likely causative factors. The workshop was also important for triangulation of the findings from the other data collection methods.

Table 1. Worksheet for Evaluation Workshop participants (example for one Output only)

Output (example)	Main problems, challenges or risks	Main negative consequences (of each risk, challenge, etc.)	Mitigation measures	Effectiveness of mitigation measures	What else could or should have been done by the Programme?
8. PAMs identified and prioritised)	1.				
	2.				
	3.				

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[1] The rationale for this is that the presence of a PMU member in a working group would have almost certainly constrained participation of other working group members who would tend to defer to the superior knowledge of the PMU member.

Working groups and worksheet at the Evaluation Workshop
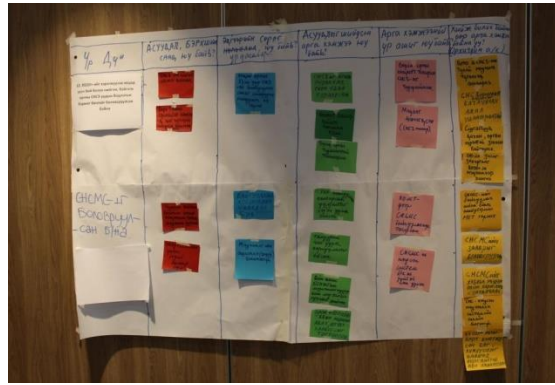
2.2.4   Methodology limitations or constraints in developing this report

The main constraints to developing this report have been: firstly, the short length of the evaluation mission in Mongolia (10 working days); and secondly the problem that some Programme activities are still "work in progress", especially as regards development of the NS, including definition of the PAMs. It is therefore only possible to evaluate the current state of progress, especially of Outcome 2, and an evaluation conducted in December 2018 or ex-post could produce some different findings.

Part B. Main findings of the evaluation

3 Concept and relevance of the National Programme

3.1 Design

3.1.1 Appropriateness of stated objectives and outcomes

The goal, indicator, target and outcomes of the Programme, as set out in Section 1, are appropriate for achieving REDD+ readiness in Mongolia except as regards the following observations:

- The goal should have excluded the word "implementing" since the scope of the Programme is REDD+ readiness, not REDD+ implementation;
- Inclusion of results-based payments in the goal was inappropriate for Mongolia given the expectations created: however, this situation was only fully realised after the driver's report;
- The target includes "increased support by development partners"; in retrospect it could be argued that if the National Strategy or REDD+ National Program is strictly limited to climate change mitigation this may not be so achievable since support for REDD+ readiness was already as high as could be expected from other donors[1] and donor interest in REDD+ implementation for Mongolia may be limited; however if the National Program is re-aligned to target both adaptation and mitigation objectives as recommended by this report, there appears to be more potential for securing donor support.

See also Section 3.2 for an analysis of the relevance of the Programme as regards national policies, the Nationally Determined Contributions (NDCs), the Sustainable Development Goals (SDGs) and the international UN-REDD Programme Strategy.

3.1.2 Theory of change analysis, challenges and design gaps

The theory of change of the Programme is that policy, institutional, technical and safeguards readiness for REDD+ implementation (or the Programme Goal) will be achieved as a result of effective delivery, including due to the services of the PMU, of the 18 outputs and four outcomes (represented   diagrammatically   in   Figure   2).

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[1] In the form of the GIZ supported Programme "Biodiversity and Adaptation of Key Forest Ecosystems to Climate Change II" and the FAO-GEF project already noted.

Figure 2. Theory of change of the UN-REDD Mongolia National Programme

The theory of change of the Programme was further explored in the Evaluation Workshop of 17th October. As shown in Table 2, workshop participants confirmed many of the challenges and problems mentioned in key informant interviews, such as:

- Time limitations and political instability prevented the first two National Programme Directors (NPDs) from providing coherent leadership (including due to the virtual absence of the second NPD for six months during an important period straight after the MTR), especially with no alternate NPD with decision-making powers (rejected by the second NPD);
- Weak institutional capacity, including due to job instability and frequent staff turnover in key implementing institutions (DFPC, FRDC and CCPIU), e.g., 15 of 27 FRDC staff are on short-term contracts and have limited time for collaboration on key activities;
- Language/translation issues that have complicated quality control, weakened the contribution of institutions with less English-speaking capacity, and ultimately weakened ownership;
- Problems caused by expectations of RBPs in the implementation phase;
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- Weak sustainability of the Forest and Sustainable Development Council (FSDC) or civil society forum;
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- Delays due to changing government regulations (mainly Regulation #49 on the development and format of National Program proposals);
- Time needed to engage with new concepts or processes, such as REDD+ and/or a national safeguards approach.

The workshop participants suggested some possible design gaps (or solutions to meet design gaps) including:

- Cabinet or high-level Ministry leadership of the Programme;
- Explicit inclusion in the National Programme Document of a decision-making alternate for the NPD, not just for the PEB but for approval of reports, expenditure, positions, etc.
- Stronger lead role of MET in delivery of outputs, e.g., consultation and participation plan, combined with increased awareness raising of key stakeholder groups;[1]
- Increased language support for key institutions involved in technical work (e.g., FRDC);
- Contracts between the UN-REDD Programme and key partners, e.g., FRDC, CCPIU;
- Increased efforts to convince GoM to embed the FRL in the Forest Law;
- More capacity building of stakeholders in drivers' analysis;
- Increased legal and governance support to the civil society platform leading (ideally) to the FSDC attaining legal status;
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- Several activities and outputs should have been operationalised earlier in the Programme such as: Standard Operating Procedures (SOPs); identification of a provisional set of PAMs, which would have allowed an earlier start to the safeguards work; developing consensus on

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[1] It is unclear if this was in fact more an issue of institutional capacity to take a stronger lead role in output delivery since stronger national ownership and leadership was encouraged through the National Implementation Modality adopted by UNDP Mongolia.

the MRV definition; the Stakeholder Engagement Handbook (still to be approved by MET); and gender mainstreaming.

Aside from this list, two other possible 'gaps' came out strongly from the key informant interviews:

(a) More attention and action on soil carbon given its importance in boreal forests, and to the measurement of Agriculture, Forests and Other Land Use (AFOLU) change on peatlands and the permafrost layer. As in other (tropical) UN-REDD Programme countries the focus has been on above ground biomass. There is also no mention in the current PAMs of targeting permafrost layer forest in spite of an informed observation that a key issue is grazing in some forest edge areas inhibiting forest regeneration.

(b) Insufficient focus and effort on changing government forestry mindsets from traditional forest protection or conservation approaches, including at the provincial and local levels, as regards the efficacy and cost of different approaches to pest control or reduction.

Table 2. Challenges, mitigation measures and gaps (according to Evaluation Workshop participants)

Outcomes and Outputs	Challenges, problems and risks	External (Risk) or Internal	What was done (mitigation measure) and effectiveness?	What could have been done? (gaps)
OUTCOME 1: MANAGEMENT ARRANGEMENTS, STAKEHOLDER AWARENESS AND ENGAGEMENT				
Output 1: Multi-stakeholder consultation process	Unclear legal condition resulted in insufficient stakeholder cooperation	External	Leadership continuity by PEB until Task Force nominated: Effective	
Output 2: PMU established	Political instability and lack of time of NPDs; second NPD often absent; slow to get approvals	External	Alternate PMD proposed near start of Programme, rejected by NPD; also MTR recommendation but not approved by GoM	Explicit inclusion in National Programme Document of decision-making Alternate for the NPD (for PEB, approvals, etc.)
Output 3: CS Forum (FSDC) established	Individual agendas of member organisations	Partly external	Improved understanding through discussions: Partly effective	Increased legal & governance support to FSDC: statutes could have helped reconcile multiple agendas
	Uncertain sustainability after 2018, lack of management funds, etc.	Mainly internal	Limited administrative funds channelled to FSDC, some training in proposal writing : Weak effectiveness	More support for FSDC to attain legal status;
Output 4: Public awareness raised	Expectations associated with results based payments	Internal & External	Revision of key messages: Weak effectiveness – difficult to change initial perceptions	(Avoiding mention of results-based payments, e.g. in Programme Goal and Indicator)
Output 5: Consultation/ participation plan developed	Weak contribution of non-English speaking institutions causing weak national ownership in some areas (e.g., FRL report)	Internal	Help from English speakers in partner organisations: Partially effective	Stronger lead role of MET in delivery of outputs, and increased language support for key institutions
	Consultation plan insufficiently understood by stakeholders	Internal	Awareness raising efforts: Weakly effective	Strong awareness raising of consultation plan among key stakeholder groups
Output 6: Stakeholder Engagement Handbook	Handbook not yet distributed: not analysed by working group due to lack of information and/or expertise			Stakeholder Engagement Handbook developed earlier in Programme
OUTCOME 2: NATIONAL REDD+ STRATEGY PREPARED				
Output 7: Barriers (i.e., drivers) to REDD+ identified	Lack of previous studies of drivers resulted in slow process of data collection and understanding	Internal	Some empirical analysis conducted through outputs 14 and 17: partially effective	Capacity building of stakeholder groups on drivers, e.g., distinguishing/classifying deforestation and forest degradation, direct and underlying drivers
	Weak inter-sectoral collaboration at the decision making level	Internal pre-identified risk	No mitigation measure identified by working group	Cabinet or high level ministry leadership (but unlikely since forestry not high priority)

Outcomes and Outputs	Challenges, problems and risks	External (Risk) or Internal	What was done (mitigation measure) and effectiveness?	What could have been done? (gaps)
Output 8: REDD+ PAMs identified and prioritised	"Was difficult to correlate with policies of other sectors, resulting in risk of displacement" (sic)	Internal/ex-ternal: inter-sectoral collaboration	Analysis of other sectoral policies: ineffective	
Output 9: National funding mechanisms identified	"Forest sector financial data not clearly classified in NSO data, making it difficult to analyse finance options"	External	NSO decision to classify forest sector financial data following official request: Effective for future analysis	
Output 10: Capacity-building plans	Lack of guidelines for REDD+ capacity building (e.g., curriculum development): disagreements from differing professional/academic goals	Internal/ external	Inter-university consultations leading to adoption of REDD+ in university curriculae: Effective	
Output 11: Gender analysis	Insufficient information and/or expertise in working group: not analysed by working group			
Output 12: Safeguard policy framework	(i) Limited capacity on safeguards, making safeguards clarification difficult	Internal	Consultation meetings on safeguards: Partly effective	(Increased capacity building of stakeholders on safeguards clarification process)
	(ii) Limited time & funding for stakeholder engagement, especially local government	Internal	More meetings and trainings of local government: Partly effective	Earlier identification of PAMs, providing more time for capacity building and stakeholder engagement
Output 13: National REDD+ Strategy prepared	Delays due to changing government regulations that increase complexity, e.g., Regulation #49 with 6 Annexes	External	REDD+ NP drafted in line with Regulation #49: Partly effective	Earlier planning and preparation of technical documents
OUTCOME 3: FOREST REFERENCE EMISSIONS LEVELS AND FOREST REFERENCE LEVELS DEVELOPED				
Output 14: Capacity built for FRL	Lack of institutional capacity and weak engagement in AFOLU work by some offices; limited non-permanent budgets	Internal	Incentives for key stakeholders so more involved, e.g. missions overseas, study tours, contracts: Partly effective	Contracts with key institutions, increased equipment, training; Convince government to embed measurements of activity data and emission factors in the mandates of relevant institutions.
Output 15: FRL methodology developed and tested	Lack of AFOLU studies resulting in use of generic not national data, e.g., for soil carbon	Internal	Capacity building: Partly effective	(More strategic communication and knowledge exchange with other donor programmes)
	NFI did not reflect whole forest area: poorer quality forest under-represented	Internal	Complementary NFI assessment of poorly stocked forest: Effective	

Outcomes and Outputs	Challenges, problems and risks	External (Risk) or Internal	What was done (mitigation measure) and effectiveness?	What could have been done? (gaps)
	Collect Earth assessment could be biased (methodology issue)	Internal	Quality Assessment and Quality Control (QA/QC) exercise conducted, including re-assessment of 10% of CE plots and ground verification: Effective	
	Data depends on imagery availability (Google Earth)	Internal	Various options of open source imagery are available through SEPAL and Collect Earth. Effective	
OUTCOME 4: NFMS AND SIS DEVELOPED				
Output 16: NFMS and FIS	(i) Inconsistent data from different sources caused data inconsistencies between UN-REDD & national partners	Internal	Introduction and capacity building for proposed sampling and measurement methods with all relevant national partners. International consultant report for proposal of a uniform NFI methodology: Effective	Earlier action to develop contracts with institutions in AFOLU sector
	(ii) Lack of job security leading to incomplete database in FIS	External	Increased technical training, including at provincial level: Partly effective	
	(iii) NFMS not consolidated due to lack of prioritisation and time	Internal	Collaboration scheme between stakeholders and support to TWG: Partly effective	GoM commitment to FIS specified in National Programme Document
Output 17: MRV system	Conflicting data in different reports due to different data collection channels and lack of consensus on MRV definition	Internal	Meetings and workshop to promote stakeholder collaboration, adoption of UNFCCC reporting format and guidelines by ALAMGAC: Partly effective	Early development of consensus on MRV definition
Output 18: Safeguards Information System (SIS)	(i) EIC receives limited or poor quality data, limited inter-agency data sharing	External/in-ternal	Meetings, defining functions and responsibilities of institutions, trainings (including provincial stakeholders): Partly effective	
	(ii) Uncertainty of institutional home of SIS (may not be effective if MET does not make EIC responsible for SIS)	External/internal	Study concluded that EIC should be institutional host of SIS	

Finally the workshop revealed the following 'broken assumptions' (some of these were identified as risks in the National Programme Document):

- NPD with sufficient position stability and time to provide strong and timely leadership;
- Job stability and time of key staff (e.g., in DFPC and FRDC) for effective collaboration with the Programme;
- Effective engagement by institutions with limited English speaking capacity;
- Language/translation issues would not complicate quality control or cause significant delays;
- Standard Operating Procedures (SOPs) for the PMU developed and approved in the first six months of the Programme[1]; and,
- Timely and efficient UNDP Country Office approval and procurement procedures.

An additional assumption that still holds true, but may not do so at the end of the Programme, is that the institutional 'host' of the SIS will be decided on technical criteria. The 'broken assumptions' have combined with other factors to help explain why the Programme has struggled to achieve a satisfactory level of policy and institutional readiness by the official Programme end date.

3.2   Relevance

The Programme is relevant and appropriate as regards national policy documents, the Nationally Determined Contributions (NDCs), the Sustainable Development Goals (SDGs) and the UN-REDD Programme Strategy (with caveats as regards some cross-cutting themes).

Firstly, it is in line with Green Development Policy (2014) which has six strategic objectives, of which two are particularly relevant:

- Promotes a sustainable consumption and production pattern with efficient use of natural resources, low greenhouse gas emissions, and reduced waste.
- Sustain ecosystem's carrying capacity by enhancing environmental protection and restoration activities, and reducing environmental pollution and degradation.

Secondly, it fits well with Mongolia's 2015 NDC and the 2011-2022 National Adaptation Plan (NAP) to Climate Change: the NDC specifies a 14% reduction in greenhouse gas emissions, and targets increasing the forest area to 9% by 2030, reducing the forest fire affected area by 30%, an increase in protected areas to 20-30% of the total land area by 2030, protection of native ecosystems in river basins, and reduced permafrost melt through forest protection. It also fits well with Mongolia's 2016 Sustainable Development Vision which emphasises a low carbon pathway and adaptation.

As regards the Sustainable Development Goals, the Programme can make a valuable contribution not only to the forestry and climate related goals, but also to related goals such as gender equality (SDG5), decent work (SDG8), reduced poverty or inequality (SDG10), strong institutions (SDG16) and partnerships (SDG17).

The United Nations Development Assistance Framework (UNDAF) 2017-2021 for Mongolia responds to lessons learned from the 2012-2016 UNDAF. The three main outcomes of the Framework are (1) promoting inclusive growth and sustainable management of natural resources; (2) enhancing social protection and utilization of quality and equitable social services; and (3) fostering voice and

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[1] The SOP for the PMU was developed by the CTA in 2016 but not approved until 2018.

strengthening accountability. The Programme is therefore most relevant to Outcome 1, and to a lesser extent to Outcome 3.

As regards the outcomes and cross-cutting themes of the UN-REDD Programme Strategy, it can be noted that:

- The Programme aims for broad stakeholder consultation and has made satisfactory progress in implementing a national safeguards approach;
- There is political agreement on the nature and format of the NS document (in line with Regulation #49) and civil society engagement has been promoted through establishment of the Forest and Sustainable Development Council (FSDC);
- The Programme has fulfilled the MRV requirements of the UNFCCC by establishing the NFMS and the FRL has been submitted (and re-submitted following comments) to the UNFCCC in 2018;
- Forest governance is addressed substantially in PAM number 7; and
- Gender equity has been advanced since the report on social inclusiveness and gender issues helped inform MET's Gender Action Plan, and through the Handbook on Gender Responsive and Socially Inclusive Stakeholder Engagement (awaiting approval).

However, the contribution of the Programme to some of the cross-cutting themes, such as transparency, participation and rights, has been less clear:

- Levels of transparency and participation in the definition of the PAMs and development of the NS have been sub-optimal (see Section 4.1.2);
- Rights and tenure issues of FUGs do not feature prominently in the current PAMs.

4 Results and contributions to stated objectives

4.1 Effectiveness and Efficiency in the delivery of Outputs and Outcomes

4.1.1 Outcome 1 and Outputs 1-6

Outcome 1: National REDD+ management arrangements established and improved stakeholder awareness and effective stakeholder engagement

Target[1]: Stakeholder awareness is increased significantly by 36 months after inception.

Achievement: There has probably been a moderate increase in stakeholder awareness, and a moderate, but not high, level of stakeholder engagement.

Concern: Institutional/management arrangements for REDD+ implementation are unlikely to be finalised by the end of the Programme since the GoM will not appoint the REDD+ NP Taskforce until the REDD+ NP is approved. This makes it difficult to ensure that the (eventual) Taskforce members have received sufficient capacity for implementation. On the other hand, several key informants felt that this is not a problem since the PEB will continue to provide leadership continuity until the REDD+ NP is approved, and the REDD+ NP Taskforce would be composed mainly of PEB/TWG members.

Rating: Moderately Satisfactory as regards effectiveness and efficiency.

Output 1: A broad-based, multi-stakeholder consultation process developed

Target: National REDD+ Taskforce is established and functional with full representation of all stakeholders by 36 months.

Achievements: Output 1 has been partially achieved through three established and functional TWGs (as well as smaller core groups to ensure progress between TWG meetings), establishment of the FSDC, and capacity building activities following the needs assessment targeted at the main stakeholder groups. This includes involvement of provincial/local stakeholders in the development of six Sub-National Action Plans (SNAPs).

Concerns: As stated for Outcome 1. Key informant interviews revealed that some stakeholders were unaware of the Consultation and Participation Plan.

Rating: Moderately Satisfactory.

Output 2: UN-REDD Mongolia Programme Management Unit (PMU) established

Target: Organise an independent final evaluation of the National Programme by 36 months.

Achievements: Performance of the PMU has been satisfactory considering the difficult operating environment, e.g., weak government ownership and leadership, understaffing and weak job security of implementation partners, translation/language issues, etc.

Concerns: It was also noted that communication between PMU members could have been better; there was a tendency for PMU interaction to be UN agency driven. The performance of one PMU member was considered as moderately unsatisfactory. The very slow approval of the SOP for the PMU has also been a hindrance to efficient operation. There have also been communication or coordination problems between the PMU and UNDP CO, especially in 2016.

Rating: Between Satisfactory and Moderately Satisfactory in the light of the difficult operating environment.

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[1] In the interests of brevity, only the most important targets are presented.

Output 3: Civil Society Forum established[1]

Target: Civil Society Forum is established and operational, and civil society is satisfied with the framework by 9 months.

Achievements:

An 18-member Civil Society Forum named Forest-Sustainable Development Council (FSDC) was formed in 2016, including representatives of Forest User Groups, local communities, civil society organizations and non-governmental organizations. FSDC members have received significant capacity building, and discussions revealed some evidence of empowerment, at least regarding their understanding of REDD+. There are FSDC representatives in the PEB and in the TWGs, and they have been involved in discussions on the PAMs, social inclusion and gender, risks and benefits analysis, safeguards and corruption. CSO members also said this was the first time they have been asked to contribute to policy development. An impressive achievement has been their involvement in a 'training of trainers' approach to build capacity at local levels, including advocacy training.

Concerns:

- During the initial stages to discuss the options for a Civil Society Forum, one of the proposals was to utilize an existing well-established network with national coverage, such as the Mongolian Environmental Civil Council (MECC). However, participants of these meetings decided against this due to doubts about the independence of MECC from the government and how well the various CSO actors/groups would be represented through the MECC. However, MECC is still represented in the Forum.

- Sustainability of the FSDC is an issue due to the combination of status their unclear role in implementation (due to the current lack of clarity of the REDD+ National Program), weak governance capacity and lack of resources. A Mid-Term Review recommendation for FSDC to give a presentation to high level government outlining their contributions to the current and future REDD+ process has not yet happened; key informants said this was due to a combination of weak capacity and lack of openness by government to broader civil society group.

- Strong individual member agendas and interests may have sometimes prevented common agreement; although this problem was partially ameliorated by developing a FSDC Protocol. There are also governance concerns such as the weak accountability of FSDC to their constituencies, but again this seems to have been ameliorated by support from the PMU.

Rating: Between Moderately Satisfactory and Moderately Unsatisfactory (partly due to the weak sustainability of the FSDC).

Output 4: Public awareness raised

Target: Stakeholder awareness raised (confirmed through a mid-term and final survey). This was changed from 'Public awareness raised'.

Achievements:

- Stakeholder awareness has been raised to some extent, but with a moderate level of effectiveness and efficiency (see below);

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[1] Output 3 originally included establishing of a local community forum, but this was established by the FAO GEF project.

- The High-Level Stakeholder Breakfast Meeting of December 2017[1] attended by members of parliament and hosted by the MET Minister. At first this gave an impetus to developing the NS, but this was lost due to the virtual absence of the second NPD for six months;
- 'Basic' and 'Advanced' REDD+ training courses, based on the UN-REDD REDD+ Academy materials: the 'Basic' training course has been given to 400 people, including in provincial/local areas, and the 'Advanced' course to 60 people (all recipients have completed a follow-up survey).
- Work with schools: it is reported that 300 secondary schools have been reached.
- Three universities have incorporated the REDD+ Academy Materials into their bachelor/master's level curricula on forest and climate change.
- Reaching out to the broader public through various audio-visual materials, including "REDD+ Vision" clips shown on TV and short YouTube films, including "REDD+: Forests and Climate Change in Mongolia" (http://www.mn.undp.org/content/mongolia/en/home/projects/un-redd-mongolia-national-programme-.html) and forest fire prevention awareness raising videos/cartoons:
  shttps://www.youtube.com/channel/UCkVTTLwxUZFg74qRLU0pewQ/featured

Concerns:
- Effectiveness and efficiency has been modest due to a combination of: language/translation issues that have complicated quality control and made everything slower[2], weak government leadership, the performance of the PMU Communications Officer, slow UNDP approval or procurement procedures, etc. The performance of the communications and knowledge component has been unsatisfactory.
- The Programme activities, and those of other donor projects, have insufficiently modified current foresters' attitudes towards forest management (instead sometimes overemphasizing forest protection), and this has hampered identification of more transformative PAMs that would more cost-effectively counter forest degradation drivers. For example, there seems to have been only a modest change in attitudes to pest control or management; there also seems to be limited acceptance of the role of civil society stakeholders. At the same time it is understood that change is very difficult when there are strong vested interests (in this case in the form of lucrative spraying contracts).
- It has proved very difficult to downplay the initial expectations by some people or groups of RBPs which may have arisen from various sources (the hope of receiving RBPs was still expressed by some stakeholders to the evaluation team).
- Problems with the website, such as news items not making sense and failure to upload reports, especially in English (e.g., nothing new was posted under News and Blogs from June to October 2018), and misleading text (e.g., making it difficult to distinguish between the UN-REDD Programme and REDD+ more generally). [3]

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[1] http://reddplus.mn/eng/breakfast-of-champions-moving-towards-a-greener-future-with-the-mongolia-redd-program/.

[2] For example, as noted by the MTR, there have been long delays in preparing and publishing printed materials, sometimes over a year (e.g., some Info Notes or briefing papers begun in 2016 only became available in late 2017).

[3] These issues were identified in the MTR report, but follow up has been weak.

- An attempt to form a broader Communications Working Group in 2016 was initiated by the PMU, but not supported by the NPD.
-
- Doubts about the methodology of the final survey to check whether/how much awareness had been raised. The final survey was therefore never conducted.

Rating: Moderately Satisfactory.

Output 5: Consultation and Participation Plan developed
Target: Implementation of the Plan has commenced and REDD+ consultation materials available by 12 months.
Achievements: Stakeholder consultation and capacity building has taken place as described under Outputs 1, 3 and 4.
Concern: Key informant interviews revealed that some stakeholders were unaware of the Consultation and Participation Plan, although this may be because it was developed relatively early in the Programme and people had forgotten it. At the Evaluation Workshop, this plan was singled out as an example of an output for which the GoM should have had a stronger lead role.
Rating: Moderately Satisfactory.

Output 6: Stakeholder Engagement and Operational Guidelines adapted to the Mongolian context (changed from "National FPIC guidelines adapted to Mongolian context")
Target: This refers to the originally proposed Free, Prior and Informed Consent (FPIC) guidelines.
Achievements: The Programme adopted a flexible approach based on experience from other UN-REDD Programme countries, and taking into account the existence of a set of FPIC guidelines developed by Oxfam for the mining sector. Therefore, it was decided to develop a Handbook on Gender Responsive and Socially Inclusive Stakeholder Engagement and a Training Manual.
Concern: The Handbook has encountered significant delays, mainly due to language/translation issues that have complicated quality control, and was still being finalised at the time of the evaluation. It is mainly oriented to Readiness rather than Implementation, but will be of some benefit in the early stage of implementation (e.g., in relation to the three "enabling PAMs").
Rating: Moderately Satisfactory.

4.1.2   Outcome 2 and Outputs 7-13

Outcome 2: National REDD+ Strategy (or REDD+ National Program) prepared
Target: NS prepared by 36 months.
Achievements: Most of the studies and steps required for developing the NS have been undertaken.
Concerns: At the time of writing, this is the weakest (and most important) Outcome. The following factors have slowed down progress on the NS or impacted the quality of the process:
- Weak leadership from government partly due to the problem of a busy or absent NPD;
- Uncertainty about the type of document: firstly, it seemed only a strategy document (similar to documents produced in other countries) approved by MET was possible, but this was changed to development of the REDD+ National Program (NP) in line with the new Regulation #49;
- Regulation #49 mandates a detailed plan comprising six chapters and detailed annexes, so that Mongolia is effectively developing a strategy and an investment plan at the same time (unlike, for example, Myanmar, PNG and Viet Nam);
- The mixed quality of some of the reports on drivers and PAMs according to some key

informants (different key informants were critical of different reports);

- The decision to incorporate the six Sub-National Action Plans (SNAPs), or elements of them, into the REDD+ NP;
- The very challenging nature of the task of writing the REDD+ NP in relation to the current capacity of the PMU and DFPC.

Rating: Unsatisfactory

Output 7: Barriers to REDD+ identified

Target: Review and update of drivers study by 24 months.

Achievements: The drivers' study was undertaken in 2016, followed by an Analysis of Land Use Change (using the Collect Earth tool) (2016), an updated analysis of drivers that appears as an annex in the NFI report (2017) and the Policy, Law and Regulation Review (2018).

Concern: Some key informants were disappointed with the quality of the 2016 drivers' report. It was commented at the Evaluation Workshop that there was insufficient capacity building for stakeholders to be able to effectively support the drivers' analysis.

Rating: Moderately Satisfactory.

Output 8: REDD+ PAMs identified and prioritised (including demonstration activities to test identified PAMs)

Target: Draft list of PAMs prepared by 18 months.

Achievements: From an initial list of 19 PAMs, 12 PAM topics and sub-activities have been prioritised, of which three are "enabling PAMs" (capacity building, financing mechanisms and management or implementation mechanisms). Some demonstration activities to test PAM #7 have taken place through the FAO-GEF project.

Concerns: A key question is whether some of the PAMs, as stated in April 2018, are sufficiently transformational to counteract the drivers. For example, PAM #5 is entitled "Reduced forest degradation by improved pest control regimes and increase the resilience of forest through improved ecosystem health." The title indicates that pest control is seen as the main strategy for reducing forest degradation due to pests; pest control absorbs an estimated 43% of Mongolia's forestry budget.[1] The PAM seems to place a strong emphasis on research capacity, insect detection, early warning systems, etc., associated with traditional pest control or treatment methods. The role of SFM in increasing resilience to pest and pathogen outbreaks is mentioned, but only after the control/treatment measures.[2] Some key informants reported heated discussion in a PEB meeting about traditional pest control compared to SFM and an increased AAC. Other concerns are whether the PAMs are sufficiently broad or cross-sectoral and the level of transparency in the process of prioritising and refining the PAMs: one key informant (a member of the NS TWG) said that it was unclear how the PAMs have been "internally prioritised".

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[1] MET (2018). Briefing Note – Improved Pest Control and Management in Forests of Mongolia. Ulaanbaatar.

[2] PAM #5 also includes two sub-activities which should have been part of the current Readiness phase: sub-activity 5.6 is to "Implement a public information campaign for general public and decision-makers to increase the knowledge and awareness of Mongolia's forests and the role of long-term sustainable forest management (including promotion of tree vigour, beneficial parasites and insect predators) as approaches in increasing resilience for pest control" and sub-activity 5.7 is "to undertake a policy review on improved effectiveness of pest budgets including a financial review and cost-benefit assessment on the effectiveness of current forest pest control policies."

Rating: Moderately Unsatisfactory.

Output 9: Options for National REDD+ Funding Mechanism developed (changed from "National fund management and mechanism for distribution of positive incentives designed")
Target: Proposals for national fund management being reviewed by the public, national authorities and the international community by 22 months.
Achievement: The main achievement is a well-argued report on the financing options for the promotion of sustainable forest management in Mongolia, and which places the emphasis on more efficient use of current finance (e.g., a sharp reduction on pest control expenditure), more efficient forest revenue collection, earmarking of forest revenue for SFM, and providing positive economic or policy-based incentives to attract private sector finance, most obviously to the wood-processing sector (e.g., by increasing import tariffs on Russian timber imports which would then increase domestic timber values).
Concern: The main concern is whether there is sufficient political will to pursue appropriate trade and fiscal policies for a financially self-sustaining forest sector. Some parties are still hopeful that a combination of RBPs and donor finance will be available to fund Mongolia's forest sector.
Rating: Moderately Satisfactory

Output 10: Capacity-building plans developed for key institutions for REDD+ implementation
Target: A capacity building plan is under implementation by 22 months.
Achievement: The Capacity Needs Assessment and Training Plan has been prepared and will be approved by the end of the programme.
Concern: The main concern is the continuous need for capacity building or training due to frequent staff changes. A failure to follow standard practice in the form of post-event evaluations by participants was rectified by the MTR.
Rating: Between Satisfactory and Moderately satisfactory

Output 11: Gender analysis undertaken to make all outputs of the National Programme gender sensitive
Target: Proposals to mainstream gender approved and implemented by 24 months.
Achievements: The social inclusion and gender report, as well as a policy brief, helped with the updating of MET's Gender Action Plan, and the Handbook on Gender Responsive and Socially Inclusive Stakeholder Engagement and a related Training Manual (not yet approved by MET) should be valuable resources.
Concern: The main concerns are the low level of capacity for gender mainstreaming at the provincial/local level, and the limited use of gender-differentiated monitoring indicators.
Rating: Between Satisfactory and Moderately Satisfactory.

Output 12 (from Outcome 2): REDD+ social and environment safeguard policy framework developed
Target: Preparation and approval of draft Safeguard Framework by 20 months.
Achievements: Although work on the safeguards component started slowly due to having to wait for a preliminary set of PAMs, most of the necessary steps have been completed, including:

- Benefits and risks analysis of provisional PAMs, and proposed measures to enhance benefits and reduce risks
- Review of safeguards-relevant policies, laws and regulations (PLRs)

- National safeguards clarification
- Safeguards approach document (prepared)

Concerns: Some key informants feel that this has proved a time consuming and complicated process for national stakeholders. This was partly due to slow translations of reports.
Rating: Satisfactory.

Output 13: National REDD+ Strategy prepared through the collation of technical outputs from Outcomes 1-4.

Target: National REDD+ Strategy prepared and in final stages of approval by 36 months.

Achievements: Studies have been undertaken on policies, financing mechanisms, corruption risk reduction, recommendations for the wood-processing industries, fire management, pest control and management and saxaul forest to help determine the technical details of the REDD+ NP. Six Sub-National Action Plans (SNAPs) are expected to be completed.

Concerns: In addition to the concerns listed above for Outcome 2, Further concerns are that a national consultant was engaged only in May 2018 (after a long delay) and with a limited understanding of REDD+. The DFPC also showed limited interest in a REDD+ NP.

Another concern is the SNAPs. They are difficult to do well[1], and in Mongolia they have been prepared with a limited budget and time frame compared to some UN-REDD Programme countries. A brief review by the current CTA of one of the SNAPs revealed that it was of mixed quality and was strongly influenced by provincial local forestry staff or professionals. Another concern is that when a SNAP is developed before the NS, it may include activities or policies that contradict the PAMs.
Rating: Unsatisfactory

4.1.3   Outcome 3

Outcome 3: Forest Reference Emissions Levels (FREL) and Forest Reference Levels (FRL) developed

Target: Nationally endorsed FREL/FRL (no target date given)

Achievements: The main achievement has been efficient preparation of the FRL and its submission to the UNFCCC in January 2018, and following comments, the modified FRL submission sent in June 2018.

Concerns: One concern is that most of the work was done by PMU staff, and institutional participation was not as strong as desirable. Secondly, given the importance of soil carbon in boreal forests Mongolia is currently unable to include soil carbon in the AFOLU data sent to the UNFCCC (see discussion in Section 6).
Rating: Satisfactory.

Output 14: Capacity built for the development of FRELs/FRLs

Target: National agreements reached by 18 months.

Achievement: The FRL preparation capacity of partner departments and research institutions through intensive training and collaboration. This was an impressive achievement given that several of the main partner institutions were weakly resourced with few and overworked technical staff, some of whom did not have job security. On the other hand, the remote sensing capacity of key collaborating individuals in Mongolia seemed high compared to some other UN-REDD Programme countries.

Concern: The main concern is the job instability of key staff, so that semi-continuous capacity

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[1] Based on the international consultant's experience of developing sub-national action plans under the Viet Nam and Nepal UN-REDD Programmes.

building is needed to maintain institutional capacities[1].
Rating: Satisfactory.

Output 15: FREL/FRL methodologies developed and tested
Target: FREL/FRL submitted to UNFCCC by 30 months.
Achievement: Timely submission of the FRL to the UNFCCC, including through collecting data from 123,000 plots using the Collect Earth tool (following development of a Collect Earth Training Guide). Emission Factors (EFs) were derived from updated NFI data.
Concern: As expressed above for Outcome 3, the decision not to work on soil carbon in spite of its importance in boreal forests.
Rating: Satisfactory.

4.1.4 Outcome 4 and Outputs 16-18

Outcome 4: National Forest Monitoring System (NFMS) and Safeguards Information System (SIS) developed
Target: One NFMS (no date given)
Achievements: NFMS/MRV capacity has been developed, the forest stock data and map improved. The proposed institutional arrangements for Mongolia's NFMS have been drafted including data sharing agreements, and guidelines for consistency and transparency in data collection and analysis.
Concerns:
- Lack of a final decision on institutionalization of the NFMS.
- The challenges of inter-sectoral collaboration (and to a lesser extent inter-donor collaboration) needed for further capacity building and an effective MRV.[2]
- The need for more field testing of the PAMs so that the FUG-led data collection and monitoring activities piloted in the FAO-GEF project can be scaled up.[3]
Rating: Satisfactory.

Output 16: NFMS and Forest Information System (FIS) development process managed
Target: Forest boundary delineation completed by 36 months.
Achievements: Three SOPs have also been drafted (for the NFI, FIS and FUG-led monitoring) which, once approved will facilitate inter-institutional collaboration and timely reporting to the UNFCCC. FUG-led data collection and monitoring has been piloted and shown to be feasible, and an FUG-led monitoring protocol has been developed; trainings in FUG tenure area delineation; a training plan for FUGs in SFM has been prepared; and the REDD+ Satellite Land Monitoring System (SLMS) geo-portal server housed in the EIC will be used to monitor progress of the NDCs.
Concerns: The main concerns are:
- Approval of the SOPs to ensure state budget and staffing for the NFMS and FIS (otherwise FRDC and EIC may not have the time and resources to ensure the quality of the NFMS).
- Weak current monitoring of SFM and carbon stock enhancement.
- Land monitoring skills (using Collect Earth) of ALAMGAC to comply with IPCC guidelines.

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[1] This concern is recognised in the design of other donor programmes, e.g., the JICA funded 2017-2021 "Project for capacity development to establish a national GHG inventory cycle of continuous improvement."
[2] Although the new FAO-led Capacity Building Initiative on Transparency (CBIT) Programme will tackle these issues.
[3] Field work on this aspect began in October 2018.

- EIC's data and web portal (SLMS) management skills

Rating: Satisfactory.

Output 17: REDD+ MRV system developed
Target: The NFI methodology is assessed by 24 months.
Achievements: The NFI, which was mainly developed by the GIZ project, has allowed the use of national Emission Factors (EFs) in reporting AFOLU change to the UNFCCC; MRV capacity has been developed in key institutions through multiple training courses on GIS, Collect Earth, SEPAL, etc.; the REDD+ SLMS Portal has been launched; independent assessment of NFI methodology undertaken; guidance document on capacity building of FRDC and a private inventory company for NFI management and reporting.
Concerns: The main concerns are:
- How to retain the expert pool in AFOLU developed by the Programme (state finance limitations mean that there is a worrying reliance on donor projects);
- The quality of the Saxaul forest inventory data for estimating national EFs;
- Formalisation of institutional arrangements for the MRV by the end of the Programme (at the Evaluation Workshop it was noted that there is clarity as regards the roles of the CCPIU, FRDC and ALAMGAC).

Rating: Satisfactory

Output 18: Safeguards Information System (SIS) established
Target: The safeguards information is made available to the central database by 30 months.
Achievements: In 2018, SIS objectives were agreed, information systems and sources assessed, indicators proposed, institutional arrangements and SIS architecture proposed, an SIS design document prepared. Even if there is no REDD+ implementation phase, the safeguards framework and an adapted form of the SIS could be very important for an adaptation (+ mitigation) programme with a strong focus on SFM.
Concerns: The main concerns are:
- In spite of agreement by the TWG on institutional roles, there has been no final decision by the MET on the SIS host.
- Time left to ensure a good quality SIS is "established", including the on-line SIS database[1], as opposed to "developed" – the REDD+ implementation issues need to be resolved before the SIS can become fully "established".
- The SNAPs, if implemented, would need considerable safeguards' work for alignment with the national safeguards framework and for subnational implementation to the SIS.

Rating: Satisfactory

4.2 Cross-cutting issues: REDD+ vision, social inclusion/gender, capacity development and 'normative products'

4.2.1 Mongolia's REDD+ Vision

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[1] It should be noted that while the host for the on-line SIS database requires a decision by the MET and a regulation needs to be developed, which may take some time, it is possible to go ahead with an Excel-based database as part of the "development" of the SIS.

Mongolia's REDD+ Vision was discussed by the PMU in late 2016 when the limited potential for RBPs was realised. This led to the PMU proposing to the PEB in December 2016 that Mongolia should change the focus, resulting in the following definition of the REDD+ Vision:

> *Building climate resilient forest ecosystems, livelihoods and a sustainable economy for a greener future*

This vision reflects Mongolia's reality in which warming is taking place at a rate three times the global average, limited potential for RBPs, and the greater possibility of donor funding for an adaptation implementation programme in which mitigation is a co-benefit (rather than vice versa). The vision also responds to the SDGs in that it highlights the importance of managing forests so that they can adapt to the changing climate (SDG13) and the role of forests in supporting livelihoods and poverty reduction (SDG1) and achieving a greener future (SDG15). However, as noted by the MTR, it is unclear whether the vision has been sufficiently transmitted to, and believed by, key stakeholders.

4.2.2 Gender and social inclusion

As regard gender equity issues Mongolia has a relatively strong regulatory framework (2011 Law on Promotion of Gender Equality) and made various international commitments. There is also an environmental sector Gender Strategy (2014-2030). On the other hand, there, as reported in the Readiness Roadmap there is a strong gender bias in the division of labour, a highly segmented labour market with differential wage rates, and a prevalence of gender stereotype cultural norms and behaviour.

Gender equity as well as broader social inclusiveness objectives have been addressed in the Programme through the following activities and products:

- PMU staff trainings on "Gender and Social Inclusion in Program Operations" and "Gender and Social Inclusion in Communication and Development of Awareness Materials."
- Development by the PMU of a Gender Action Plan which includes ensuring a balanced gender ratio in the management and institutional structures in workshops, trainings and other events (it has been observed that sometimes more women than men participated).
- Use of a gender responsive Consultation and Communication Plan (especially important for Outputs 11 and 18).
- Under the safeguards framework process, social inclusion analysis was conducted with a broadened scope including disadvantaged groups, and using multi-stakeholder, consultative mechanisms. This involved focus group discussions and individual interviews to explore key gaps for gender equity in the forest sector, including: low engagement of women in reforestation and protection activities, low decision-making participation (e.g. in FUGs), weak capacity for gender mainstreaming (e.g., in the MET), lack of gender disaggregated data, and lack of good examples of gender integration in the forest sector. It was concluded that effective promotion of gender equity/mainstreaming and social inclusiveness objectives will only be possible when mechanisms have been established at the national, *aimag* and *soum* levels in which men, women, youth and ethnic groups are equitably involved.
- Preparation of the *Handbook for Socially Inclusive and Gender Responsive Stakeholder Engagement.* Based on experience in Mongolia and international good practice, this presents strategies and a guideline for addressing gender considerations, especially the inclusion of women and disadvantaged groups in REDD+ processes.

- Development of a training manual for *Gender Responsive and Socially Inclusive Stakeholder Engagement for REDD+ in Mongolia*.
- The Social Inclusion Report[1], backed up by a policy briefing, has been widely circulated and used to help develop an updated version of the MET Gender Action Plan.

It seems likely that these activities have raised the capacity of key stakeholders, especially in the MET, and strengthened the basis for mainstreaming gender equity and other social inclusiveness issues in the implementation stage, but there was insufficient time in the evaluation mission to undertake an objective evaluation of these activities by holding interviews with independent Mongolian gender experts who had had some engagement with the Programme.

4.2.3 Capacity building

Most of the issues around capacity building have already been mentioned in Sections 4.1.1 and 4.1.2. The Programme has organized many activities to strengthen skills, raise awareness and enhance understanding, including training based on REDD+ Academy materials in ten *aimags*. The MTR (2018) made several observations on these capacity-building activities, including that:

- Some trainings were insufficiently tailored for the audience, e.g., some local-level trainings were too technical; an FSDC key informant said that the forestry trainings were too oriented towards protection/conservation rather than SFM and livelihoods.
- Until 2018 there was limited post-event evaluation of the training workshops by the trainees, in spite of this being standard international practice; and
- When questioned, many people could not explain the difference between the UN-REDD Programme and REDD+, a problem exacerbated by confusing information on the Mongolia REDD+ website.

These problems have been mainly rectified through implementation of MTR recommendations.

4.2.4 Normative products

As regards the normative UN-REDD Programme/UN agency tools, PMU members reported that:

- The FAO *Open Foris* toolkit was used extensively in the MRV component, especially the *Collect* and *Collect Earth* tools; it was commented that these were easy to use and "everyone was interested"; there will also be a training workshop in November 2018 for using the cloud-based computing tool SEPAL, which is also an in-house, open-source FAO tool.
- The REDD+ Academy materials have also been used extensively for capacity building national, provincial and local stakeholders, as well as in universities and secondary schools.
- The UN-REDD/FCPF (2012) *Guidelines on Stakeholder Engagement in REDD+ Readiness with a Focus on the Participation of Indigenous Peoples and Other Forest-Dependent Communities[2]* was useful for identifying stakeholders in the stakeholder analysis work.

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[1] http://reddplus.mn/eng/wp-content/uploads/2017/12/Social-Inclusion-Final_Report_Eng.pdf
[2] https://www.unredd.net/index.php?option=com_docman&Itemid=134&view=list&slug=joint-fcpf-and-un-redd-se-guidelines-1120

- The UNDP Competence Based Capacity Needs Assessment Tool was very useful for assessing institutional capacities.
- The *Benefits and Risks Tool* (BeRT), after it was adapted to the Programme context, was useful for the initial identification of potential benefits and risks of the PAMs;
- The original plan was to use the FPIC Guidelines. However it was decided that these were not needed since Oxfam had developed a good FPIC manual for Mongolia's mining sector which was also suitable for the forest sector, and due to the focus of the FPIC Guidelines on indigenous peoples rather than local communities more broadly.

4.3   Sustainability and scaling up

The key question as regards sustainability is whether the UN-REDD Programme will lead to either REDD+ implementation or an adaptation-oriented programme in accordance with the "REDD+ Vision." Due to the relatively low potential of RBPs for Mongolia and weak government leadership, REDD+ implementation seems unlikely. An adaptation programme focusing on SFM would also be more attractive to potential donors. On the other hand, forestry is not a donor priority (among donors engaged in Mongolia). As set out in the financing options study[1] donors may decide that a substantially increased national financial contribution could be made to the forest sector through re-allocation of the current budget, improved revenue collection, earmarking forest revenue, improved economic and policy incentives for private sector finance in the wood processing sector, etc.

If there is an adaptation programme with an SFM focus, the safeguards approach/SIS[2] and the FSDC could have important roles. Also, an Adaptation National Program Taskforce could take over from the PEB and/or NS TWG. But without an implementation stage (whether REDD+ or adaptation), the structures and systems developed in the Programme, except for the more technical systems for UNFCCC reporting, are unlikely to continue.

On the other hand, the technical systems (NFMS, FIS and NFI) and associated inter-agency collaboration should continue, at least for the next few years, due to various donor-supported projects over the 2018-2021 period: the FAO led Capacity Building Initiative for Transparency (CBIT) project, a JICA GHG inventory support programme, and a Global Green Growth Institute (GGGI) project that involves upscaling the MRV system. Without the support of these projects there would be major concerns about the institutional capacity and resources needed to maintain these systems. This is because the main institutions involved in the MRV system and AFOLU reporting (FRDC, NRSC, ALAMGAC and CCPIU) are under-staffed and many technical staff are on short-term appointments that are vulnerable to political change (e.g., a change in the MET Minister). For example, at present 15 of 17 technical staff of FRDC are thought to be on short-term contracts, and there is a high turnover rate of specialist staff. In the longer term it is hoped that the responsibilities inherent in the NDC and UNFCCC reporting requirements will ensure the required continuity of national budgetary support.

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[1] Bann, C. & Gonchigsumlaa, G. 2018. Assessment of Financing Mechanisms and Options for Mongolia's REDD+ Action Plan. MET/UN-REDD Mongolia National Programme. Ulaanbaatar.
[2] : Technically SIS is only a requirement for REDD+, but having a safeguards approach that can include relevant donor frameworks would be advantageous in a mixed adaptation and mitigation programme, and the option of using the SIS approach for this may also be attractive.

A similar situation prevails for the DFPC. As pointed out by the MTR, implementation is likely to be strongly dependent on the DFPC and the FRDC, and currently there is insufficient capacity and job stability to feel confident, including as regards having the time and mandate to secure the inter-departmental coordination needed for REDD+ implementation. The NPD has suggested forming a separate REDD+ department or office as in some other countries (e.g., Nepal), but this would only happen if the REDD+ NP is officially approved.

4.4   Likelihood of impact

Impacts refer mainly to mid- to long-term social and environmental effects, for example, reduced deforestation, improved ecosystem services, poverty reduction, improved gender equity, etc. But these kinds of impact will only be observable in the REDD+ implementation phase. It is possible that the stakeholder engagement activities may have helped strengthen or empower civil society, which could indirectly lead to long-term development benefits, but this is not a strong proposition in this case since the sustainability of FSDC is uncertain.

Based on the comments of key informants, it would require actions beyond the scope of a REDD+ programme, such as significantly increased capacity-building activities, e.g., in organisational development, for CSOs/NGOs to be sufficiently empowered to expect longer term development impacts.

5   Factors affecting performance

5.1   Programme Management and Coordination

The institutional and management arrangements of the Programme are shown in Figure 3. The main implementation agencies (DFPC and FRDC) are under the MET. The PEB was formed to appraise and approve key documents, including annual work plans, budgets and reports, to ensure delivery of the intended results and to address critical issues and risks that cannot be addressed by the DFPC (with the support of the PMU). The Chair of the PEB is the State Secretary of the MET, the Co-chair is the UN Resident Coordinator (UNRC), and the Secretary is the NPD. The PEB includes participating UN agencies, representatives of relevant Ministries and Departments, and civil society representatives (see Annex V).

Figure 3. UN-REDD Mongolia National Programme Organizational Structure

Figure 4. UN-REDD Mongolia National Programme Management Unit Structure
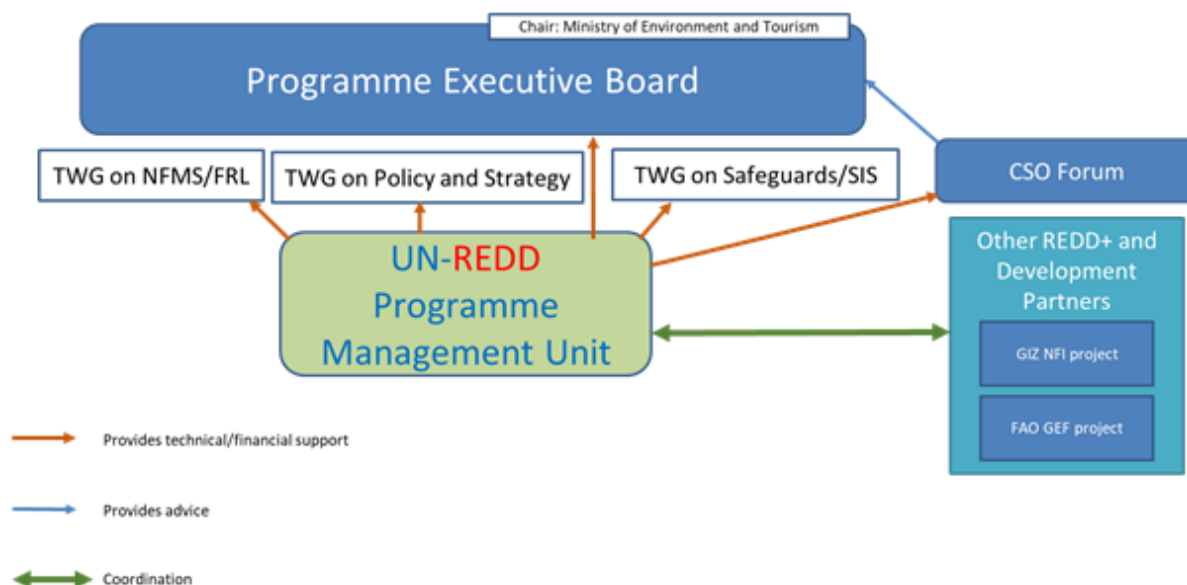
The National Programme Document (2015) stated that the PEB would report to a Multi-Sectoral National REDD+ Taskforce (via the PMU). However, the GoM ruled that the Taskforce would only be appointed if and when the REDD+ NP is approved. Effectively therefore the PEB is providing government leadership of the Programme. Most key informants thought that this was a satisfactory arrangement until such time as a Taskforce is appointed.

The Programme also receives feedback and support from three TWGs (one for Policy and Strategy development, one for the Safeguards framework and SIS, and one for FRL/NFMS), and a Civil Society Platform called the Forest and Sustainable Development Council (FSDC). "Core groups" that are smaller than the TWGs and more practical as working groups have also been formed for the safeguards and FRL/NFMS outcomes. While these arrangements have been generally satisfactory, there has been criticism that the TWG chairs should have been more pro-active as regards initiating activities rather than relying on the PMU (MTR 2018). An observation as regards the NS TWG is that there have been excessively long gaps between TWG meetings (e.g., between April 2018 and the end of October 2018) considering the urgency of the task and the UNFCCC requirement for stakeholder participation (as set out in the 'Cancun safeguards').

Apart from the NPD, the PMU has nine staff as shown in Figure 4: Programme Manager, CTA, national and international NFMS/FRL experts, GIS specialist, Governance/Safeguards Expert, Communications Officer, Finance Officer and Programme Secretary. The cost of one PMU member is split by UN Environment and UNDP, three are financed by FAO, and the rest by UNDP and MET. The PMU is supported by the UNDP and FAO country offices, and by the FAO, UNDP and UN Environment Regional Offices in Bangkok. Since UN Environment does not have a country office, some of its activities are financed by UNDP though a UN to UN agency agreement. The support to PMU from the country and regional offices was described by the Mid-term Review as "mixed".

Figure 4. UN-REDD Mongolia National Programme Management Unit Structure

Administrative reporting
Functional reporting
Guidance/Directions
Technical Reporting
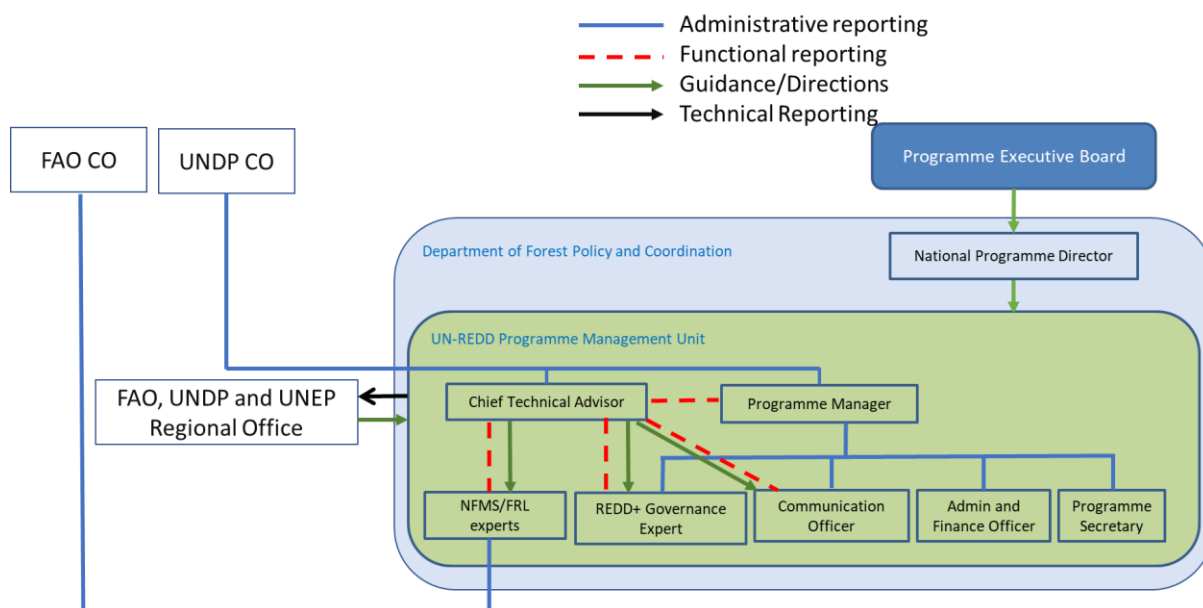
The DFPC, as the agency responsible for management of forested lands, is the lead implementing partner, and the Head of the DFPC is the NPD. The erratic availability and leadership of the second NPD has been noted above, but the collaboration and involvement of the current NPD has been much better in spite of his heavy workload; the Programme agreed to fund a personal assistant to the NPD, which has significantly helped this situation in the short term.

Another key implementing institution is the FRDC, the main institution for forest data collection and analysis, pest control, tree planting and other forestry activities. It is mainly responsible for managing the NFMS (together with the EIC), but the small number of technical staff are over-worked and face continuous job instability. Two FAO-financed PMU staff have been mainly based at FRDC to enhance ownership and capacity building (as recommended in the MTR). The UNFCCC Focal Point is the CCPIU. It is responsible for submitting the FRL, the safeguards Summary of Information Note (SOI), Nationally Determined Contributions, and the Bi-Annual Update Report (BUR). The Programme has effectively raised the capacity of CCPIU for UNFCCC reporting.

The MTR report (January 2018) noted there were not many regular planning meetings between the PMU and DFPC, FRDC and CCPIU, but this improved in 2018. Some activities have been seriously delayed leading to many activities being undertaken in a short time, for example during Q4 2017, and again in Q2 2018, many missions, training events and SNAPs were conducted in a short period making time management, supervision and quality control very difficult. The MTR report (2018) also reported that the quality of some outputs (e.g., Saxaul forest study) was below standard.

The PMU is guided by a SOP manual, but this was only approved in 2018 The MTR (2018) was quite critical of the internal work organization of the PMU, while recognising the complexity of Programme implementation, commenting that "it was not always clear who was responsible for what." Some people interviewed (during the MTR) were critical of internal communication, with over-reliance on email rather than face-to-face discussions. Some of the emailing needed to be more formalised. The MTR recommended more frequent meetings with the NPD/DFPC, other partner organizations and staff of the MET, as well as other (non-forest) sector ministries/departments, and more serious application of the performance appraisal system and follow-up actions.

5.2 Role and performance of UN agencies, including regional backstopping

UNDP, the lead agency, is responsible for overall Programme management, including coordinating the inputs of the three UN agencies. The MTR commented that UNDP "does not have a "team" as such, though this depends on the definition employed. UNDP contracted PMU staff support the coordination of all three agencies activities, and in the final year of the program it is essential that this is improved to ensure that the major elements of REDD+ are linked."

The UNDP CO has been responsible for procurement of UNDP responsible activities (in UNDP responsible Outputs). The MTR observed the slow or "bureaucratic" process of approving TORs and consultants, sometimes associated with blurred responsibilities between UNDP procurement staff and the PMU. There have also been occasional delays due to unforeseen problems, such as illness of a responsible officer and lack of a backstopping option. Another factor has been that the UNDP office was restructured in January 2017 and a new more government-led delivery strategy adopted in which the UNDP Country Office has operated with a 40% reduction in staff numbers. Since UN Environment does not have an office in Mongolia, UNDP agreed to manage some of UN Environment's inputs, as has been the case in some other countries; but this arrangement seems to have been problematic and time consuming according to UNDP. Following an MTR recommendation for increased integration between UNDP CO and the PMU, joint meetings have been held every two weeks in 2018, and there has been increased collaboration in the development of communication products.

FAO has had a team of six people (including the RTAs based in Bangkok) working on Outputs 14-17. The three staff members in Ulaanbaatar (two based mainly at the FRDC) have maintained regular contact with Bangkok, and serve as key members of the TWG and core group, thereby ensuring the overall progress of the FAO components. The FAO team has performed effectively, for example, developing the FRL within less than two years of the Programme. There was a change of the FAO international advisor (in PMU) in 2017, with a junior post replacing a more senior one, but this was compensated by increased backstopping from RTAs.

UN Environment have a team of six people including the RTA. An international and national consultant, staff from UNEP-WCMC and a PMU staff member (part-time) have worked with the Safeguards TWG to make good progress in developing the safeguard framework and the SIS after a slow start (due to the delays in identifying PAMs).

The Regional Technical Team (RTT) is comprised of experts from the three UN agency regional offices in Bangkok and FAO HQ (Rome). Support from the RTT has included technical assistance and guidance, training, quality control, bringing international perspectives (e.g., the UNFCCC perspective), drafting TORs for international consultants, assisting with TORs for national consultants, and providing recruitment and pricing advice. The RTT support has been acknowledged by the PMU to be of good quality and timely (in the MTR), although a PMU member also felt that some technical backstopping could have been undertaken more efficiently by skype. In 2018, following another MTR recommendation for more effective use of the RTAs, a regional backstopping plan involving all the agencies was developed, and regular meetings have been held.

5.3 Financial management and administration

The MTR (2018) also assessed financial management and performance. One observation was that on different occasions different disbursement rates were presented to the MTR involving misleading and sometimes conflicting data. It seems that this problem continued to some extent in 2018: UN Environment was firstly informed that the safeguards component was over-spent, but after this situation was questioned, was later advised that there was under-spending.

A significant challenge for financial management, as in other UN-REDD Programme countries, is that each UN agency has different financial management systems including different liquidation categories and procedures on so-called "hard" and "soft commitments". For example, in the case of UN Environment, when funds are committed, for instance through a contractual agreement with UNEP-WCMC, they are accounted as spent, but this is not the case for the other agencies.

The MTR observed that financial management and reporting could be improved with regular updates on disbursement, including liquidated funds and hard/soft commitments. It appears that financial management has improved following the uptake of various MTR recommendations, including quarterly monitoring of finances, more timely follow-up of outstanding payments and the extension or termination of outdated contracts, introduction of a recording and dating system for all work undertaken, and more systematic signing and dating of Finance Forms (rather than backdating them).

Annex VIII shows the year by year expenditure for each outcome and output, the cumulative expenditure at 23rd October 2018, and the percentage of each budget line (output or outcome) spent. It also shows the expenditure of each participating UN Agency. The total or accumulated disbursement rate to 23rd October 2018 was 84%; the disbursement rate for both FAO and UNDP was 87% and for UN Environment it was 100% (recalling that committed funds are also recorded as spent funds). This compares to a 21% overall disbursement rate in 2016 reflecting the slow start to the Programme.

5.4   Government ownership and leadership

Government ownership and leadership of the Programme is unsatisfactory, due mainly to political issues and possibly because forestry related work is not regarded as high priority by the GoM. The main problem has been lack of leadership, mainly by the second NPD combined with not having an officially appointed alternate to be able to make timely decisions. The second NPD in particular was absent for long periods (e.g., between mid-December 2017 and April 2018) and opposed the idea of an alternate with decision-making powers. This resulted in a series of delays which in turn delayed the safeguards work. The MTR also reported that some TWG members seemed insufficiently motivated, and that understanding of REDD+ in the MET and collaborating ministries (e.g., Ministry of Finance and Ministry of Food, Agriculture and Light Industry) has been too weak for people to "buy into".

These factors, combined with other factors, such as slow UNDP procurement procedures and language/translation issues, have had a snowball effect on the time issue; for example, slow identification and prioritisation of the PAMs has delayed both the NS and safeguards process, and resulted in a very rushed process in the last few months of the Programme.

5.5   Complementarity support from other-donor supported projects

There have been three donor-supported projects with complementary objectives to the Programme: the GIZ program "Biodiversity and adapation of key forest ecosystems to climate change II" the FAO-

GEF project "Mainstreaming Biodiversity Conservation, Sustainable Forest Management and Carbon Sink Enhancement into Mongolia's Productive Forest Landscapes" and the ADB funded project "Sustainable Forest Management to improve Livelihood of Local Communities."

As regards the GIZ project, the main contribution to the REDD+ agenda has been the NFI, which was mainly completed before the Programme started. This provided key information for the FRL and NFMS. There was however a significant shortcoming: degraded or low-quality forest was under-represented. The Programme has therefore worked closely with GIZ in sampling additional NFI plots. Both on the NFI work and in discussions on the PAMs, close collaboration between the programmes has been achieved. The participation of the senior (at the time of the evaluation mission) GIZ advisor in the Evaluation Workshop (17th October 2018) also indicated this good collaboration.

The FAO-GEF project also collaborated directly with the Programme due to its objectives of developing and testing the FUG-related PAM and the associated FUG-led monitoring methodology. The MTR reports that discussions have also been held on forest monitoring strategies, governance and advocacy, joint awareness activities, and management planning.

According to the former CTA of the FAO-GEF project, collaboration between the programmes, especially in 2016, was complicated by differences in views as regards: SFM and an increase in the AAC, increased thinning rights for FUGs, recognition of the need to accommodate grazing needs of FUG members (e.g., thinning would open up the forest and can be combined with seasonally controlled grazing) and the potential for RBPs. The former CTA said that he sometimes felt that the two programmes were pulling in opposite directions, and that the number of trainings, taking staff away from implementation tasks, was problematic for the FAO-GEF project. The MTR also observed that coordination between the programmes could be improved, and recommended closer integration and joint work planning.

The ADB project had an initial focus on FUGs and livelihood strategies, but (from key informant comments) it appears collaboration with both the FAO-GEF project and the Programme has been limited. This was partly due to a change of direction by the ADB project involving increased work on "forest cleaning" and with companies (rather than FUGs).

Representatives of the GIZ and FAO-GEF projects were added to the PEB in December 2017 with the aim of improving collaboration. The NPD is also director of the GIZ, FAO-GEF and ADB projects, so has a key role in coordinating the programmes, but limited time to pursue this. Following an MTR recommendation, a joint workplan with FAO-GEF, highlighting co-funded activities, has been developed and quarterly update meetings held.

Part C. Conclusions, recommendations and lessons learned

6   Conclusions

6.1   Achievement of Programme objectives and REDD+ readiness

Table 3 presents the evaluation team's rating of the achievement of the Programme outcomes and outputs. The main achievements have been:

- Effective delivery of the technical outcomes and outputs, especially submission to the UNFCCC of the FRL and development of the components (NFI[1], NFMS and FIS) and technical capacity for an effective MRV system; this is important for Mongolia whether there is a REDD+ implementation phase or not, e.g., for reporting on Mongolia's NDCs and other UNFCCC requirements like the Biennaul Update Report (BUR) to the UNFCCC.
- Development of the safeguard framework and the SIS, which is on track to be "developed" but not "established" by the end of the Programme.

Table 3. Rating of achievement of outcomes and outputs

Outcomes and Outputs	Rating
OUTCOME 1: Management arrangements, stakeholder awareness and engagement	MS
Output 1: Multi-stakeholder consultation process	MS
Output 2: UN-REDD PMU established	Between S & MS
Output 3: CSO/LC[2] forum established	Between MS & MU
Output 4: Public awareness raised	MS
Output 5: Consultation/participation plan developed	MS
Output 6: Stakeholder Engagement Handbook	MS
OUTCOME 2: National REDD+ Strategy prepared	U
Output 7: Barriers to REDD+ identified	MS
Output 8: REDD+ PAMs identified and prioritised	MU
Output 9: National funding mechanisms identified	MS
Output 10: Capacity-building plans	Between S & MS
Output 11: Gender analysis	Between S & MS
Output 12: Safeguard policy framework	S
Output 13: NS prepared	U
OUTCOME 3: Forest Reference Level developed	S
Output 14: Capacity built for FRL	S
Output 15: FRL methodology developed and tested	S
OUTCOME 4: NFMS and SIS developed	S
Output 16: NFMS and FIS	S
Output 17: MRV system	S
Output 18: Safeguards Information System (SIS)	S

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[1] While recognising the major contribution of the GIZ Programme to the NFI.

Note: *The rating uses the six point scale specified in the TOR for the 'Programme Performance Rating' (see below): Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU).

There has been less success in achieving the policy and institutional related outputs and outcomes, mainly due to weak government leadership and political instability (also affecting the performance of implementing institutions) that have caused serious delays in Programme delivery. Together with other factors, this has resulted in less satisfactory progress in developing the PAMs (Output 8) and the NS (Output 13).

There is a strong inter-relationship between the outputs – for example, the persistence of traditional forestry attitudes on pest control, forest protection and the role/rights of FUGs has hampered the process of identifying 'transformational' PAMs, i.e., PAMs that will slow down, halt or reverse the deforestation and forest degradation drivers, and thus development of the NS. At the same time it is recognised that the time frame was rather short to expect a change in attitudes. Another concern is that the PAMs are not sufficiently inter-sectoral, e.g., how to reconcile SFM with the grazing interests of FUG members. Also, since the wood-processing sector comes under a different ministry (MOFALI), its role may have been downplayed.

Overall, as revealed in the Programme Performance Rating (Table 4), the Programme was rated at between Moderately Satisfactory (MS) and Moderately Unsatisfactory (MU).

Table 4. Programme performance rating table

Criterion	Rating*	Summary assessment
Concept and relevance		
Design	MS	Doubts about RBPs and omission of soil carbon and permafrost layer
Relevance	S	Relevant to national policies, SDGs, etc., although adaptation is a higher priority than mitigation
Results and contribution to stated objectives		
Delivery of Outputs	MS	Shortcomings in outputs associated with NS, but satisfactory on technical and safeguards' outputs
Effectiveness	MS/MU	Hampered by weak government leadership and other factors
Efficiency	MS/MU	Delays have increased cost/time of achieving outputs, e.g., leading to need for no-cost extension; also hampered by language/translation issues
Cross-cutting issues:		
Gender	S	Reports completed and Stakeholder Engagement Handbook is 'on track' but not yet approved
Capacity development	S	Good on technical and institutional readiness, but weaker on policy and awareness raising
Normative Products	S	Open Foris Toolkit, including Collect Earth, and UN-REDD Programme REDD+ Academy courses have significantly contributed to outputs
Sustainability	MU*	Unlikely due to low government ownership, low potential for RBPs and limited donor interest in REDD+ implementation, but strong for MRV system (NFMS, NFI, FIS)
Up-scaling	MU*	Unlikely for REDD+, but more potential for SFM in an Adaptation NP (with mitigation as a co-benefit)
Likelihood of Impact	n.a.	Not appropriate for readiness stage.
Factors affecting performance		
Programme Management and Coordination	S	Satisfactory in a difficult operating environment
Human and Financial Resources Administration	MS	Some accounting problems, partly due to different UN agency accounting practices, but better in 2018 following the MTR
Technical Backstopping and Supervision	S	Satisfactory but frequent personnel changes of RTA have not helped
Government participation and ownership	U	Highly Unsatisfactory in first two years, but some improvement in 2018 with the current NPD
Monitoring, reporting and evaluation	MS	Adequate
Overall Programme Performance	**MS-MU**	**Good progress on technical and safeguards readiness, but government ownership issues and other factors have resulted in unsatisfactoryprogress on policy and institutional readiness**

Note: * MU = Moderately Unlikely

Due to the delays, the Programme has run short of time for policy and institutional readiness. The main problem s development of the NS or REDD+ National Program, including reaching agreement on the PAMs. It is understood that the PMU recently proposed some modifications to the PAMs, but these were not available to the Evaluation team. At the time of the Evaluation mission, this left a month for all the detailed planning, including the six chapters and annexes mandated by Regulation #49. There was also the challenge of attempting to incorporate elements of the six SNAPs. It was concluded that there was insufficient time left for achievement of a good quality NS, including a good quality process with strong stakeholder participation.

While safeguards readiness is 'on track', the delays associated with the slow identification of the PAMs have meant that much of the work is being undertaken in the last few months of the Programme, and it will mean that the SIS is "developed" but not "established". It should also be noted that while the PAMs continue to be modified, the safeguards work will need to re-assess them for potentially altered risks and benefits.

In summary it is concluded that while the UN-REDD Programme has been successful as regards establishing technical readiness, and safeguards readiness is 'on track', it has been less successful in achieving policy and institutional readiness, and therefore achievement of the Programme Goal has been partial.

6.2 Factors affecting performance

The main factor affecting performance has been weak government leadership and ownership of the Programme; for example, the second NPDs was insufficiently available and pro-active, decision making was slow (e.g., approval of reports), and it is reported that some government staff were reluctant to attend TWGs. This has been exacerbated by weak state agencies (especially DFPC[1] and FRDC), job instability, weak inter-agency/sectoral collaboration (e.g., in data sharing), the slow process of changing entrenched forestry mindsets, language/translation issues that have complicated quality control, and slow UNDP procedures. As regards other factors affecting performance, it is concluded that:

- The performance of the PMU, including the CTAs, is rated as between satisfactory and moderately satisfactory in the face of the difficult operating environment caused by weak government leadership. The PEBs and TWGs have been generally well attended.
- Technical backstopping from RTAs has been satisfactory although it may have weakened over time as the number of RTAs was reduced and their responsibilities broadened, and has not been helped by frequent personnel changes.
- UNDP CO support was not always satisfactory, especially in the first year, which again contributed to the delays. A possible factor in this was the frequent personnel changes, including the UNDP Focal Point. It is noted that the MTR rated the support of the regional and country offices as "mixed".

6.3 Programme design (including design 'gaps')

6.3.1 Design gaps identified at the Evaluation Workshop

The most important design issue is that Programme duration has been insufficient (almost every key informant felt that it should have been a four-year programme), even taking into account two years of Targeted Activities and the complementary contributions of the GIZ and FAO-GEF projects. A GIZ key informant felt it was unrealistic to expect to achieve so much in the first year when the Programme was "finding its feet", as well as because it was more than six months after Programme inception before the CTA was in place. Although some of the delays were unexpected, other start-up issues were more predictable and international experience should have resulted in a more pragmatic time frame, especially in a country where almost everything has to be translated from the national language into English (and vice versa), and therefore the quality control process is slow and difficult.

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[1] The six technical staff of DFPC are very over-stretched and some of them do not have job security.

Based on the Evaluation Workshop discussions and findings, it is possible to identify some design gaps (or responses to gaps) which contributed to the mixed success of the Programme:

- Cabinet or high-level Ministry leadership of the Programme (although it seems unlikely that GoM would have agreed to this);
- Nomination of an alternate NPD with decision-making powers (there should have been prior agreement on this in the National Programme Document);
- A stronger lead role for MET in the delivery of some outputs, e.g., the consultation and participation plan;
- Development and approval of the SOP for the PMU in the first six months of the Programme;
- Earlier programming of several activities, including: the drivers study and identification of the PAMs; Stakeholder Engagement Handbook (still to be approved by MET); and gender mainstreaming;
- Capacity building of stakeholder representatives in the analysis of drivers;
- Contracts between the Programme and implementing state institutions (DFPC, FRDC, CCPIU, ALAMGAC, etc.) for delivering specific outputs and products;
- and
- Language support for state institutions with limited English capacity.

6.3.2   Soil carbon and the permafrost layer – a missed opportunity?

The evaluation team held extensive discussions with key informants and UN agency staff about whether there was a 'missed opportunity' as regards the Programme's engagement on soil carbon and the permafrost layer. All the main Programme documents, such as the Readiness Roadmap and the National Programme Document, emphasise the uniqueness of the Mongolia Programme among UN-REDD National Programmes as the only one with (substantial) boreal forest. Compared to tropical forest, from the mitigation perspective, the fundamental differences of boreal forest are that (a) most carbon is stored in the soil rather than biomass, and (b) tree growth is much slower. There is also the critical role of forest cover in slowing down the melting of the permafrost layer and its movement north.

It is also understood that this was a difficult decision that was extensively debated by national and international advisors, including in some of the early MRV TWG meetings. It should also be noted that it was hoped that a combination of the NFI, conducted in 2014 by the GIZ programme, and the ADB-funded Wetlands International study on peatlands would have led to satisfactory estimates of (national) Emission Factors (EFs) for soil carbon in peatland forest, and thence reliable AFOLU reporting to the UNFCCC. When the NFI data became available at the end of 2016, it was apparent that degraded forest was under-represented so that additional data collection and capacity building for MRV of the other four carbon pools became the main priority. Also a JICA-funded programme on AFOLU reporting, including for soil carbon, was in the pipeline (the main focus of this has however been on grassland[1]).

While the difficulty of the decision is acknowledged, Mongolia has not been able to report soil carbon AFOLU data in peatland areas to the UNFCCC. Although the Programme would not have

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[1] The JICA funded "Project for capacity development to establish a national GHG inventory cycle of continuous improvement" runs from October 2017 to October 2021.
https://www.jica.go.jp/project/english/mongolia/018/outline/index.html

been able to come up with all the answers in three years, even limited progress could have been beneficial for Mongolia and possibly other boreal forest countries. It could have allowed the UN-REDD Programme to make a unique contribution to the 'state of the art' of our understanding of the potential (and constraints) of REDD+ for boreal forest. See also: http://stories.unep-wcmc.org/borealforestsmongolia/index.html

6.4 Cross-cutting issues: gender, capacity building and normative products

Many gender-related activities were undertaken by the Programme, and there is reason to believe they have had a positive effect. The 2017 report on Gender and Social Inclusion was written by gender specialists and it is known that this report has informed the MET's revised Gender Action Plan. Gender risks and benefits have also been analysed in the safeguards process. It also hoped that the Handbook on Gender Sensitive and Socially Inclusive Stakeholder Engagement (awaiting approval) will be used extensively, including beyond the forest sector. On the other hand there is currently no mention of gender in the PAMs (April 2018 English version).

The capacity building activities have been essential for satisfactory achievement of technical and safeguards readiness, although several key informants were critical of the excessive number of training and other capacity building events. During the first two years there were some problems of tailoring training topics to audiences, especially at the provincial/local level, but following the MTR this has improved.

Among the normative products, the FAO *Open Foris* toolkit was used extensively in the MRV component, especially the *Collect* and *Collect Earth* tools, and the UN-REDD Programme REDD+ Academy materials have contributed importantly to capacity building and awareness raising efforts, thereby contributing to effectiveness and efficiency.

6.5 Sustainability

The issue of sustainability refers firstly to whether there is likely to be a REDD+ implementation phase. It seems currently unlikely that there will be a REDD+ implementation phase due to an inter-related combination of the limited potential for RBPs, weak government ownership, and the likely limited interest of donors. On the other hand, an adaptation implementation programme with a focus on SFM and in which mitigation is a co-benefit responds to the needs of Mongolia and its forests, and faces a more favourable donor environment.

As regards the institutional, human and technical capacity and systems developed by the Programme, the technical systems associated with MRV (NFMS, FIS, NFI) should continue, at least in the short-term, due to Mongolia's reporting commitments to the UNFCCC, the NDCs and due to donor programmes. Some components of the safeguards framework or system could also be adapted to the needs of a forestry-focused adaptation programme, but this is less clear. It is hoped that the core groups (if not the TWGs) that have driven the technical and safeguards work could be continued or revived in some form in an adaptation programme context. The sustainability of the civil society forum (or the FSDC) is doubtful, partly due to its weak capacity, including on governance issues.

A final point on sustainability is that donor finance should not be the main issue. As found by the Financing Mechanisms and Options report, Mongolia's forest sector could be much more financially self-sufficient through reallocation of expenditure, more effective revenue collection, earmarking forest revenue for the forest sector, a more enabling policy and regulatory framework for the FUGs, and a more favourable policy/investment environment for the private sector in the wood processing sector.

7   Recommendations

Strategic/operational recommendations

For MET and UN agencies: a request should be made for a three-month no-cost extension with the main objective of completing the unfinished readiness agenda so that national capacity to apply for future adaptation or mitigation funding (with a focus on SFM) is strengthened. The priorities are completion of the REDD+ National Program document and development of a donor proposal for work on soil carbon, especially in permafrost layer areas. **Justification:** delays in implementation documented in this report, the concern that an NS or REDD+ National Program developed by the official termination date of the Programme could be of poor quality, the desirability of adapting the NS to add or incorporate the adaptation agenda (since it would respond better to national priorities and would enhance implementation funding potential), and the relatively short duration of the Programme compared to other countries.

Strategic/thematic recommendations

For the PEB, NS TWG and PMU: Given the very strong synergy of the actions needed for both mitigation (or REDD+) and adaptation, amend the REDD+ NP so that it is more in line with the Programme's "REDD+ Vision" and becomes a REDD+ and Adaptation NP. This would require modified or additional PAMs to increase adaptation capacity in the forest sector, especially as regards livelihood resilience of vulnerable stakeholder groups, including reconciling grazing and forestry issues, and enhancing local institutional capacity. There should also be more emphasis in the PAMs on an enabling policy and regulatory framework for SFM by FUGs, including strengthening rights, and for wood and NTFP processing. **Justification:** This is provided by the priority for Mongolia of adaptation compared to the limited potential of REDD+ RBPs, and the synergy between livelihood enhancement activities/benefits (e.g., increased thinning rights/benefits for FUGs, and expansion of wood-processing sector) and mitigation priorities (more intensive forest management, including thinnings and an increased AAC).

For the NS TWG and PMU: The NS/NP should be based on the PAMs and not try and incorporate activities proposed in the six Sub-National Action Plans (SNAPs). The SNAPs should be re-visited after the NS has been approved, and according to whether and when they are needed in the REDD+ implementation stage. **For the UN-REDD Programme:** Clearer guidance could be provided on the sequencing of national and sub-national planning and good practice as regards the substantive content of NS documents. **Justification:** Sub-national REDD+ planning is not required for UNFCCC compliance, and the six SNAPs may include elements that contradict national PAMs (e.g., pest control strategies). This will make the task of finalising the NP more feasible.

For the NS TWG and the PMU: Undertake a rapid assessment of current data and understanding of the drivers in permafrost layer forest. **Justification:** The significance of potential greenhouse gas emissions from melting permafrost merits investigation of potential anthropogenic mitigation measures.

Operational recommendations

Note: there are not many operational recommendations due to the extensive recommendations of the MTR (2018) most of which have been implemented (as noted in the Inception Report).

For UN-REDD Programme and the UN agencies: The requirement of a named decision-making alternate (at all times) to the NPD needs to be explicitly specified in the National Programme Document signed by government. Linked to this there should be clearer prioritisation and distinction between reports, decisions or steps that need approval and those that don't, and who can give this approval. **Justification**: Avoidance of serious delays in Programme delivery.

For UN agencies and GoM: Minimise the number of personnel changes as regards country office focal points, RTAs, CTAs and NPDs. **Justification:** Continuity and direction, with less time lost in the process of new people needing to understand the context.

For UN agencies: develop common financial/accounting definitions and procedures, e.g., liquidation categories and procedures on so-called "hard" and "soft commitments". **Justification:** more efficient accounting by PMU and avoidance of financial reporting errors due to differences between UN agency accounting procedures.

For UNDP and the UN-REDD Programme: the length of the in-country evaluation mission should be increased to three weeks or 15 working days. **Justification:** 10 working days in country is insufficient time to undertake a comprehensive evaluation in compliance with the TORs.

8   Lessons learned

Lessons learned on substantive issues:

- In the case of Mongolia, three years was too short for the UN-REDD Programme, even taking into account two years of targeted activities and the complementary activities of the FAO-GEF and GIZ programmes. A decision on the duration of a REDD+ readiness programme depends on many criteria. Based on the experience of the UN-REDD National Programme the following considerations should be added to already existing criteria:
    - ➢ The likely strength of government leadership, e.g., political will for REDD+;
    - ➢ The political climate: the likelihood of political instability and delays to Programme delivery;
    - ➢ Strength/stability of implementing government departments or agencies and working relationships with other partners;
    - ➢ Language: much more time is needed for quality control and the effective involvement of international consultants or staff (e.g., CTA and RTAs) if most work is conducted in the national language and this has to be translated into a 'mainstream' international language; there is also the challenge of not knowing the quality of the original documents and consultations (i.e., what is lost in translation?)
- The challenge of trying to change traditional forestry mindsets. This has implications for the communications and awareness raising activities, as well as the time issue.
- The difficulty of trying to defuse expectations about RBPs having initially raised them – this is the problem of trying to "put the genie back in the bottle." A stronger pre-programme feasibility analysis of the potential for REDD+ RBPs for Mongolia might have led to a decision not to go ahead with a UN-REDD Programme in Mongolia.
- On the basis of some of these 'lessons', it seems that the risks/assumptions analysis when developing the Readiness Roadmap was insufficiently robust, and therefore did not sufficiently inform Programme design.

Lessons learned on operational issues include:

- When a REDD+ readiness programme is housed in a forestry department or environment ministry, as in Mongolia, there are more likely to be difficulties in inter-sectoral and inter-institutional data sharing and other forms of collaboration necessary for REDD+.
- The importance of including the explicit requirement for a decision-making alternate to the NPD in the National Programme Document. Even following the MTR recommendation this has not been officially approved.
- Notwithstanding that most of the problems in Programme delivery were associated with weak government leadership, joint planning and close collaboration between the lead UN agency Country Office and PMU, and more widely between all three UN agencies, is essential for efficient delivery of the outputs due to the interdependence of Programme components, e.g., the safeguards work cannot be started until the PAMs are identified, which depends in turn on the drivers analysis.
- Getting an experienced former RTA with previous experience of conducting an MTR of a UN-REDD National Programme, rather than an external consultant, to coordinate the MTR was a

cost-effective strategy. It resulted in many important recommendations, most of which have been implemented. However, it could have been even more useful had it been undertaken half way through the Programme in mid-2017.

- As commented above, one of the causes of Programme delays, especially in the first year, was slow UNDP procedures. A key informant even referred to the UNDP CO as a "bottleneck". It was observed that the situation as regards UNDP CO support and coordination with the PMU improved significantly when a UNDP staff member came to the PMU office for one day a week. A possible lesson or even recommendation for other UN-REDD Programmes is that the support of the lead UN agency CO is likely to improve significantly if this practice were more widely adopted. (On the other hand it could be argued that the real issue is the level of interest and need for optimal digital communication rather than face-to-face interaction with its cost-effectiveness implications).

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Annex I. Evaluation Terms of Reference (extracts)

Objectives, Scope and Audience

The scope of the evaluation is the UN-REDD Mongolia National Programme. The evaluation will be based on data available at the time of evaluation and discuss outputs delivered by the Programme from the time of inception, January 2016, until the time of closure in 31 November 2018. It will also assess the likelihood of future outcomes and impact that may not have been achieved yet by October 2018.

The evaluation of the UN-REDD Mongolia National Programme is undertaken to assess (i) programme performance in terms of relevance, effectiveness (outputs and outcomes) and efficiency, (ii) sustainability and up-scaling of results, and (iii) actual and potential impact stemming from the programme. The evaluation has the following objectives:

- To provide evidence of results to meet accountability requirements;

- To assess the status of REDD+ readiness in Mongolia, gaps and challenges that need to be addressed to achieve REDD+ readiness and the UN-REDD Programme's possible role in the future REDD+ process in the country;

- To promote learning, feedback and knowledge sharing through results and lessons learned among the participating UN Organizations and other partners. The evaluation will identify lessons of operational and technical relevance for future programme formulation and implementation in the country, especially future UN-REDD Programmes, and/or for the UN-REDD Programme as a whole.

The primary audience for the evaluation will be the Government of Mongolia, the three participating UN Organizations of the UN-REDD Programme and the programme resource partners. The secondary audience for the evaluation will be the UN-REDD Policy Board and national REDD+ stakeholders. The evaluation will also be made available to the public through the UN-REDD Programme website (www.un-redd.org).

Evaluation Criteria

To achieve the evaluation objectives, by defining the standards against which the initiative will be assessed, the following five evaluation criteria will be applied:

- **Relevance**, concerns the extent to which the National Programme and its intended outcomes or outputs are consistent with national and local policies and priorities and the needs of the intended beneficiaries. Relevance also considers the extent to which the initiative is aligned with the UN-REDD Programme Strategy 2011-2015[1] and the corporate plans of the three participating UN Organizations. Relevance vis-a-vis other REDD+ or REDD+-related programmes implemented in the country should also be examined, in terms of synergies, complementarities and absence of duplication of efforts.

- **Effectiveness**, measures the extent to which the National Programme's intended results (outputs and outcomes) have been achieved or the extent to which progress towards outputs and outcomes has been achieved. The consultants will also attempt to explain <u>why</u> certain outputs and outcomes have been achieved better or more than others.

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[1] The UN-REDD Programme Strategy 2011-2015 is available on:
http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=4598&Itemid=53

- **Efficiency**, measures how economically resources or inputs (such as funds, expertise and time) are converted to achieving stipulated outcomes and outputs.

- **Sustainability**, analyse the likelihood of sustainable outcomes at programme termination, with attention to sustainability of financial resources, the socio-political environment, catalytic or replication effects of the project, institutional and governance factors, and environmental risks.

- **Impact**, measures to what extent the National Programme has contributed to, or is likely to contribute to intermediate states towards impact, such as changes in the governance systems and stakeholder behaviour, and to impact on people's lives and the environment. The evaluation will assess the likelihood of impact by critically reviewing the programmes intervention strategy (Theory of Change) and the presence of the required drivers and assumptions for outcomes to lead to intermediate states and impact.

Factors and processes affecting the attainment of National Programme results – which looks at examination of preparation and readiness of the National Programme, country ownership, stakeholder involvement, financial planning, performance of national and local implementing agencies and designated supervision agency, coordination mechanism with other relevant donors projects/programmes, and reasons for any bottlenecks and delays in delivery of project outputs, outcomes and the attainment of sustainability.

Evaluation Methodology

The UN-REDD National Programme final evaluation will adhere to the UNEG Norms & Standards[1]. It will be conducted by two independent consultants under the overall responsibility and management of the three participating UN Organizations' Evaluation Departments through their participation in the Evaluation Management Group, in consultation with relevant headquarter, regional and country staff of the participating UN Organizations.

Evaluation findings and judgements should be based on sound evidence and analysis, clearly documented in the evaluation report. Information will be triangulated (i.e. verified from different sources) to the extent possible, and when verification is not possible, the single source will be mentioned[2]. Analysis leading to evaluative judgements should always be clearly spelled out. The limitations of the methodological framework should also be spelled out in the evaluation reports.

The evaluation will rate the different evaluation criteria using the table for rating performance.

In attempting to attribute any outcomes and impacts to the programme, the evaluators should consider the difference between what has happened with and what would have happened without the programme. This implies that there should be consideration of the baseline conditions and trends in relation to the intended programme outcomes and impacts. This also means that there should be plausible evidence to attribute such outcomes and impacts to the actions of the project. Sometimes, adequate information on baseline conditions and trends is lacking. In such cases this should be clearly highlighted by the evaluators, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about project performance.

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[1] UNEG Norms & Standards: http://uneval.org/normsandstandards
[2] Individuals should not be mentioned by name if anonymity needs to be preserved. In such cases sources can be expressed in generic term (Government, NGO, donor etc.).

As this is a final evaluation, particular attention should be given to learning from the experience. Therefore, the "why?" question should be at the front of the consultants' minds throughout the evaluation exercise. This means that the consultants need to go beyond the assessment of "what" the programme performance was, and make a serious effort to provide a deeper understanding of "why" the performance turned out the way it did, i.e. of processes affecting attainment of programme results. This should provide the basis for the lessons that can be drawn from the programme. In fact, the usefulness of the evaluation will be determined to a large extent by the capacity of the consultant to explain "why things happened" as they happened and are likely to evolve in this or that direction, which goes well beyond the mere assessment of "where things stand" today. The consultant could also provide recommendations for the way forward.

Evaluation tools

The Mongolia UN-REDD National Programme final evaluation will make use of the following tools:

a) A desk review of project documents including, but not limited to:
   - Relevant background documentation, including the UN-REDD Programme Framework Document[1];
   - Relevant reports, such as National Programme Annual, Semi-Annual and quarterly Reports, publications, external evaluations by donors, partners etc.;
   - Project design documents, such as the National Programme Document, annual work plans and budgets, revisions to the logical framework and Programme financing;
   - Documentation related to National Programme outputs and relevant materials published on the Programme website, reports from workshops or consultations etc.;
   - The final report of the Strategic Review of the Mongolia UN-REDD National Programme;
   - Other relevant documents, such as possible new national policy documents, sector plans and available evaluations bearing relevance for the UN-REDD Programme.

b) Semi-structured interviews[2] with key informants, stakeholders and participants, including:
   - Government counterparts;
   - Government stakeholders including all ministries participating from coordinating bodies or steering committees;
   - Civil Society Organizations;
   - Country, regional and headquarter personnel from the three UN-Agencies involved in the National Programme, e.g. the Programme Management Unit, Resident Coordination and Regional Technical Advisers;
   - Representatives from other bi-lateral or multi-lateral initiatives co-financing the NP if applicable.

c) The Theory of Change and subsequent application of the Review of Outcomes to Impacts (ROtI) approach on progress towards impact[3].

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[1] The UN-REDD Programme Framework Document is available on:
http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=4&Itemid=53
[2] Face-to-face or through any other appropriate means of communications
[3] GEF Evaluation Office, (OPS4) Progress towards Impacts: The ROtI Handbook: Towards enhancing the impacts of environmental projects – Methodological paper 2.

Consultation process

While fully independent in its judgements, the Evaluation Team will adopt a consultative and transparent approach with internal and external stakeholders. Throughout the process the evaluation team will maintain close liaison with a key evaluation focus group of stakeholders (Consisting of representatives of the evaluation departments of the three participating UN Organizations and the UN-REDD Secretariat), the REDD+ Coordination Unit, UN headquarters, regional, sub-regional and country level staff members, and other key stakeholders. Although the team is free to discuss with the authorities concerned anything relevant to its assignment, it is not authorized to make any commitments on behalf of the Government, the donor or the participating UN Organizations.

The draft evaluation report will be circulated among the three participating UN Organizations, including the key evaluation focus group and other key stakeholders, including civil society, for comment before finalization; suggestions will be incorporated as deemed appropriate by the evaluation team.

Annex II   List of documents reviewed

Report name
UN-REDD Country level support to REDD+ Readiness in Mongolia (2011)
Forest Sector Financing Flows and Economic Values in Mongolia (2013)
Action Plan for Mongolia's National Forest Monitoring System for REDD+ under the UNFCCC (2014)
National REDD+ Readiness Roadmap (2014)
National Programme Document. UN-REDD Mongolia National Programme (2015)
Preliminary Assessment of the Drivers of Forest Change in Mongolia (undated)
Institutional Capacity and Arrangement Assessment for REDD+ (2016)
Using Spatial Analysis to Explore Potential for Multiple Benefits from REDD+ in Mongolia (2017)
Stakeholder Engagement Plan (2016)/REDD+ Competence Based Needs Assessment (2017)
Forest Land Use, Land Use Change Assessment Report 2016-2017
Communications, Knowledge Management and Media Strategy (2016)
Mongolia: Policies and Measures for REDD+ (2017)
Analysis of Social Inclusion and Gender Dynamic for REDD+ in Mongolia (2017)
Social Inclusion and Gender Dynamics for REDD+ Synthesis (2017)
Workshop Report: Linking Social Inclusion and Safeguards in the REDD+ Context in Mongolia (2017)
Background report: Assessment of potential benefits and risks of REDD+ implementation in Mongolia (2017)
Meeting Report: 3rd Meeting of the Mongolia REDD+ Safeguards and Safeguards Information System Technical Working Group (2017)
Background Report: Policies, Laws and Regulations relevant to the Cancun Safeguards in Mongolia (2018)
Clarification of the Cancun Safeguards in Mongolia. Safeguards and Safeguards Information System. Final Draft (2018)
Analysis of Corruption Risks and Development of Policies and Measures for Mongolia's National REDD+ Strategy (2018)
Briefing Document and Discussion Paper on Format of Proposed REDD+ Policy Documents (2017)
Assessment of Financing Mechanisms and Options for Mongolia's REDD+ Action Plan (2018)
Saxaul Forest in Mongolia. Ecosystem, resources, values (2018)
Briefing Document on Institutional Mechanism and Legal Framework for REDD+ in Mongolia (2016)
Sub-National Action Plan for Reducing Emissions from Deforestation and Forest Degradation in Khuvsgul Province (2017) and review comments by T. Enters
Mid Term Evaluation Report (2018)
Rapid Assessment of Forest Fire Control and Prevention Strategies in Mongolia (2018)
Assessment of Wood Product Value Chains and Recommendations for the Mongolian Wood-Processing Industry (2018)
Mongolia's Forest Reference Level submission to the UNFCCC (2018)
Mongolia's Sustainable Development Vision 2030 (2016)
Green Development Policy of Mongolia (2014)
United Nations Assistance Framework of Mongolia (2016)
Intended Nationally Determined Contributions (INDCs) of Mongolia (2015)
National Action Plan on Climate Change (NAPCC) 2011-2022 (2011)

Annex III. List of people interviewed and other key informants

Interviewed stakeholders:

- Vinod Ahuja, FAO Representative in Mongolia
- Altangadas J., Forest Research and Development Centre (FRDC), MET
- Dan Altrell, GIZ
- Michael Trockenbrodt, GIZ
- Amarmaa J., Forest engineer, IRIMHE
- Banzragch Ts., Policy advisor, PMU
- Bat-Ulzii.Ch., GIS Specialist, PMU
- Batchuluun B., Communication officer, PMU
- Bayarsaikhan.G, Senior officer, Department of Light Industry Policy and Implementation Ministry of Food, Agriculture and Light Industry
- Bunchingiv Bazartseren, Program Analyst, UNDP CO Mongolia
- Dorjsuren Chimidnyam, Institute of General and Experimental Biology, MAS
- Delgermaa, Policy Consultant, National University of Mongolia
- Enkhjargal.D, Capacity Building/SIS Consultant, PMU
- Enkhtaivan N., Senior officer, Department of Forest Policy and Coordination, MET
- Thomas Enters, CTA, UNREDD Program, PMU
- Nathalie Faulkner, UNV, UNDP CO Mongolia
- Jagdag, Officer, Department of Forest Policy and Coordination, MET
- Daniela Gasparikova, Deputy Resident Representative, UNDP CO Mongolia
- Khishigjargal B., Programme Manager, PMU
- Khongor.Ts, FAO National Expert, PMU
- Khosbayar Battuvshin, Forest Research and Development Centre (FRDC), MET
- Luvsantseren G., Forest Sustainable Dev`t Council
- Nandin-Erdene, Remote Sensing Centre, IRIMHE
- Narangerel Zagdaa, Environmentral Information Centre (EIC), IRIMHE
- Otgonsuren B., Senior Officer, Department of Forest Policy and Coordination, MET
- Oyunchimeg A, Mongolian environmental civil society
- Oyunsanaa Byambasuren, National Programme Director, Director, Department of Forest Policy and Coordination, MET
- Oyuntulkhuur B., Program focal person, UNDP CO Mongolia
- Sanaa.E, GHG Inventory Specialist, Climate Change Project Implementation Unit, MET
- Solongo.Ts, National Project Coordinator, FAO/GEF Project "Mainstreaming biodiversity conservation, SFM and carbon sink enhancement into Mongolia"
- Beate Trankmann, UN RC and RR UNDP in Mongolia
- Tsengel.Ts, State Secretary of MET
- Yeseul, B., FAO International Consultant, PMU

Skype Interviews:

- Abu Mahmood, FAO/RAP
- Mathieu VanRijn, FAO/RAP
- Alexis Corblin, RTA UN Environment

- Ben Vickers, FAO/RAP RTA
- Celina Yong, UNDP Stakeholder Engagement Specialist
- Charlotte Hicks, UNEP-WCMC
- Timothy Boyle, former RTA UNDP
- Andrew Inglis, former CTA of FAO-GEF Project

Written comments sent by email:

- Chris Dickinson, ex UN-REDD Programme CTA, UNDP Mongolia
- Joel Scriven, ex RTA, UNDP, Bangkok

Participants of the Evaluation Workshop, 17th October 2018:

    Oyunsanaa.B, MET
2. Otgonsuren.B, MET
3. Enkhtaivan N, MET
4. Bayarsaichan G., MoFALI
5. Boldbaatar Ch., NUM
6. Battulga P., MAS
7. Nandin Erdene, IRIMHE
8. Dorjsuren Ch., MAS
9. Bunchingiv B., UNDP (UB)
10. Nathalie Faulkner, UNDP (UB)
11. Thomas Enters, Formerly UNEP, CTA of NP
12. Solongo.Ts, FAO/GEF
13. Altangadas .J, FRDC
14. Sanaa E., CCPIU
15. Batchuluun, NUM
16. Dan Altrell, GIZ
17. Chuluuntsetseg.D, GIZ
18. Tsogtbaatar, ADB
19. Oyunchimeg A, NGO
20. Z.Boldbaatar, FSDC
21. Baasanbyamba, FSDC
22. Luvsantseren, FSDC
23. B.Khishigjargal, PMU
24. Ts.Banzragch, NC
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26. Bat-Ulzii.Ch, FAO expert
27. Narantsatsral.B, PMU
28. Khongor.Ts, PMU
29. Enkhjargal.D, PMU
30. Batchuluun.B, PMU
31. Dulamjav.D, PMU
32. Chuluunzagd, Consultant on REDD+ Budget and investment

Annex IV. Brief profiles of evaluation team members

Michael Richards

Michael Richards is a natural resources economist with 40 years research and development experience in Africa, Latin America and Asia. He holds a BA in Land Economy from Cambridge University, an MSc in Agricultural Economics from the University of London, and PhD from the University of Glamorgan ("Economic Incentives for Sustainable Management and Conservation of Tropical Forests"). He is based near Oxford in the UK.

The first 13 years of his career were spent working on long-term assignments as an agricultural economist in Malawi, Sri Lanka, Mexico and Honduras, primarily for the UK Overseas Development Administration as well as for FAO on a range of agricultural, rural and community development programmes. Since 1990 he has worked mainly on forestry and environmental issues, especially as a Research Fellow for the Overseas Development Institute (1993-2001) and as an associate of Forest Trends since 2007, as well as an independent consultant working for a range of international NGOs and development agencies, including a year in Ghana working on an ITTO study of incentives for sustainable forest management.

Much of his work for ODI was on issues around payments for ecosystem services (PES), forest governance, the economic analysis of participatory forest management, forest trade, tenure issues in Latin America, and a range of other policy and institutional issues. His work for Forest Trends and other agencies or donors since 2007 has continued the above themes, as well as support to the development of community level PES projects, development of an impact assessment methodology for multiple-benefit carbon projects, and leading an applied research study of the livelihood impacts of proposed forest law enforcement and governance programs. Since 2014 he has undertaken several assignments for FAO in Vietnam and Nepal, where he has been mainly involved in developing, piloting and supporting (including through training) sub-national REDD+ planning under the UN-REDD Programmes in those countries. In 2017 he led the final evaluation of the Sri Lanka UN-REDD National Programme.

Tuya Tserenbataa

Tuya Tserenbataa has been working in environmental field of Mongolia since 1989. She holds a Master of Science degree on Conservation Biology (2003) from the University of Denver, USA, and Bachelor of Molecular Biology and Pedagogy (1989) from the Jozsef Attila University of Sciences, Hungary. She has worked as Research fellow at Institute of Biology of Mongolian Academy of Sciences (1989-1999); Visiting Scientist at San Diego Zoo, USA (1999-2000); Research and Monitoring Officer at "Conservation of the Great Gobi and Its Umbrella Species" Project, UNDP/GEF/MET (2003-2006); National Project Manager at "Strengthening Environmental Governance of Mongolia" Project, UNDP/Netherlands/MNET (2007-2010); and National Project Coordinator at "Ecosystem-based Adaptation Approaches to Maintaining Water Security in Critical Water Catchments in Mongolia Project, UNDP/AF/ MET (2012-2017).

In the earlier years of her career she studied taxonomy and population genetics of the Mongolian Argali sheep, Wild camel and Gobi bear with implications to conservation issues. Those involved

taking measures on strengthening protected areas management and community-based wildlife monitoring and management with cooperation of MET, UNDP, international and national research institutions and local communities.

She was part of the development and finalization of several policy documents namely Management Plan for the Great Gobi Strictly Protected Area "A", Strategic plan for Gobi Bear *(Ursus arctos gobiensis/ mazaalai)* , and Integrated Water Resources Management Plans of Uvs lake/ Tes river and Ulz river Basins in context of Climate change.

She has worked closely with MET, MoFALI and research institutions to strengthen environmental auditing and strategic environment assessment and piloting ecosystem-based adaptation measures in two river basins of Mongolia.

All these environmental projects had aspects and local measures of rehabilitation of riverbeds, agroforestry, tree nursery and planting measures and cleaning of forests with involvement of local communities and FUGs through transfer of efficient use of water, its' accumulation , protection, and efficient water allocation as well as saving technologies.

Annex V. Composition of Programme Executive Board, Technical Working Groups and Core Groups

Programme Executive Board (PEB)

Name	Position and Organization
Tsengel.Ts	State Secretary, Ministry of Environment, Green Development and Tourism
Beate Trankmann	Resident Representative, United Nations
Oyunsanaa B.	NPD, Head of the Department of Forest Policy and Coordination, Ministry of Environment and Tourism
Daniela Gasparikova	Deputy Resident Representative, UNDP
Emelyne Cheney	Regional Technical Advisor, UNEP
Vinod Ahuja	Resident Representative, FAO
Klaus Corsitto	GIZ
Narangerel. N	Director General, Development Financing and Debt Management Department, Ministry of Finance
Altangerel.T	Head of the Department of Monitoring and evaluation of Internal Auditing, Ministry of Environment and Tourism
Anand	Officer of the Division of Climate Change and Foreign Cooperation, Ministry of Environment and Tourism
Bunchingiv	Program Analyst, UNDP
Enkhbayar.D	Officer, Ministry of Food and Agriculture
Bayarsaikhan G.	Officer, Ministry of Food and Agriculture
Bold.I	Director of Mining Policy Department, Ministry of Mining and Heavy Industry
Sarantuya.B	Director, Information and Research Institute of Meteorology, Hydrology and Environment
Erdenebayar.D	Director of Division Sector Development Policy and Regulation, National Development Agency
E. Sanaa	Officer, CCPIU
Ganselem.D	Member, Forest Sustainable Development Council

National Strategy (NS) TWG/Core Group

Name	Organization
Tungalag M.	Director of DFPC, MET
Batjargal Z.	National Focal Point, UNFCCC Special Envoy on Climate Change of Mongolia UNFCCC
Otgonsuren B.	DFPC, MET
Dorjsuren Ch.	General and Experimental Biology Institute, Academy of Sciences
Luvsantseren G.	Forest Sustainable Dev`t Council

Chuluunbaatar Ts.	DFPC, MET
Tengis D.	Department of Green Development Policy Coordination, MET Green MET
Bayarkhuu S.	MET
Munkhbat D.	FRDC
Dulguun E.	MoF
Byambadorj N.	MoFALI
Chimgee B.	Ministry of Mining
Gomboluudev P.	Agency of Hydrology and Meteorology
Nyamdavaa Ch.	National Inspection Agency
Munkhsaichan D.	National Development Agency
Baasanbyamba N.	CSO
Baatarbileg N.	CSO
Bilguun O.	UNREDD National Programme

FRL & NFMS Technical working group

Name	Organization
Oyunsanaa B.	Ministry of Environment and Tourism
Dorj I.	Ministry of Environment and Tourism
Otgonchimeg R.	ALAMGAC
Erdenesan E.	National Statistical Office
Tsendsuren D.	Institute of Geoecology and Geography, Mongolian Academy of Sciences
Delgerjargal D.	University of Life Sciences
Bayartsetseg B.	University of Technological Sciences
Sanaa Enkhtaivan	Climate Change Project Implementing Unit (CCPIU), Nature Conservation Fund, MET
Aruinzul Ya.	Special Inspection Agency
Altangadas Janchivdorj	Forest Research and Development Centre (FRDC), MET
Nandin-Erdene	Remote Sensing Centre, IRIMHE
Dorjsuren Chimidnyam	Institute of General and Experimental Biology, MAS
Khishigjargal Mookhor	Mongolian University of Life Sciences
Khosbayar Battuvshin	Forest Research and Development Centre (FRDC), MET
Narangerel Zagdaa	Environmentral Information Centre (EIC), IRIMHE
Khongor Ts.	UNREDD National Programme

Safeguards and SIS Technical Working Group

Name	Organization
Oyunsanaa B.	Ministry of Environment and Tourism
Otgonsuren B.	Ministry of Environment and Tourism
Anand Ts.	Ministry of Environment and Tourism
Amarmaa.J	Forest engineer
Oyunchimeg A	Mongolian environmental civil society
Narangerel Zagdaa	Environmentral Information Centre (EIC), IRIMHE
Munkhsaichan D.	National Policy Development Agency
Dul B.	ALAMGAC
Erdenebaatar E.	ALAMGAC
Enkhbayar D.	MoFALI
Uyanga G.	National Statistical Office
Sanaa E.	CCPIU
Michid Kh.	FRDC
Khosbayar B.	FRDC
Altangadas J.	FRDC
Banzragch Ts.	NGO
Galtzul S.	National Emergency Agency
Enkhjargal D.	UNREDD National Programme

Annex VI. Attendance of PEB members at PEB meetings

PEB members	1st PEB 26/01/16	2nd PEB 07/12/16	3rd PEB 06/07/17	4th PEB 12/12/17	5th PEB 25/04/18
State Secretary, Ministry of Environment and Tourism	Absent	Present	Present	Present	Present
Resident Coordinator, United Nations	Present	Present	Present	Present	Present
NPD, Director of DFPC, Ministry of Environment and Tourism	Present	Present	Present	Present	Present
Deputy Resident Representative, UNDP	Present	Present	Present	Present	Present
RTA, UNEP	Present	Present	Present	Absent	
FAO Representative	Present	Present	Present	Present	Present
FAO/GEF Project	N/A	N/A	N/A	Present	Present
GIZ Biodiversity and Climate Change Project II	N/A	N/A	N/A	Present	Absent
Director General, Development Financing and Debt Management Department, Ministry of Finance	Present	Absent	Absent	Absent	Absent
Department of Monitoring and evaluation of Internal Auditing , Ministry of Environment and Tourism	Present	Present	Present	Present	Present
Division of Climate Change and Foreign Cooperation, Ministry of Environment and Tourism	Present	Present	Present	Present	Present
Program Analyst , UNDP	Present	Present	Present	Present	Present
Department of Policy Coordination of Light Industry, Ministry of Food and Agriculture	Present	Absent	Present	Absent	Present
Department of Policy Coordination of Husbandry, Ministry of Food and Agriculture	Present	Present	Absent	Absent	Absent
Mining Policy Department, Ministry of Mining and Heavy Industry	Present	Present	Present	Absent	Present
Director, Institute of Meteorology, Hydrology and Environment	N/A	Present	Absent	Present	Present
Division Sector Development Policy and Regulation, National Development Agency	N/A	Present	Absent	Absent	Absent
GHG Inventory, Climate Change and Nature Conservation Fund/ CCPIU	N/A	Absent	Present	Present	Present
Member, Forest Sustainable Development Council	N/A	Present	Present	Present	Present

OUTCOME 1: NATIONAL REDD+ MANAGEMENT ARRANGEMENTS ESTABLSIHED AND IMPROVED STAKEHOLDER AWARENESS AND EFFECTIVE STAKEHOLDER ENGAGEMENT	**Targets:** By 9 months after Inception, mechanisms of engagement and participation are established. By 36 months, stakeholder awareness is increased significantly.	**Means of verification:** surveys, reports, mid-term and final evaluations, etc.	• Stakeholder Engagement plan (2016) • Meeting Minutes/separate attendance lists by gender, supporting documents, last minutes from Jack/ – PEB • Meeting Minutes /reports – TWG Safeguards • Meeting Minutes – TWG Policies • Meeting Minutes – TWG Reference Level • Stakeholder Awareness Survey (2016; 2017) • Capacity Needs Assessment (2016) • Communication and Knowledge Management Plan (2017) • *Standard Operating Procedures (2017)?? What status*
Output 1: *A broad-based, multi-stakeholder National REDD+ Taskforce established*	By 6 months after Inception, TWGs are established. By 36 months, National REDD+ Taskforce is established and functional with full representation of all stakeholders.	Decree establishing TWGs and Taskforce Reports and minutes of TWGs meeting	• Decree establishing PEB (2015, 2016); • Decree establishing Core Group for Policies and Strategies (2017) • Decree establishing TWGs (2016abc) • Minutes/reports of TWG on Safeguards & SIS (3 Reports) • Minutes/reports of TWGs on NFMS and FRL (4 Reports) • Minutes TWGs and Governance (3 Reports)

			• Briefing Paper – REDD+ Taskforce
Output 2: UN-REDD Mongolia Programme Management Unit (PMU) established	By 2 weeks, proposal to establish REDD+ Unit agreed. By 5 weeks, REDD+ Unit established and operational (note: international advisor may come on board slightly later) By 18 months after Inception, conduct a participatory internal evaluation of NP to ensure adaptive management By 36 months, organise independent final evaluation of NP.	Collection of reports, minutes and guidelines.	• Agreement established between MET and UNDP • Decree on recruitment of staff • Performance evaluation • Mid-term review • Mid-term review progress update report /April 2018, report / • *Terminal evaluation Sep-Oct 2018 is taking place*
Output 3: CSO/LC forum established	By 6 months after Inception, draft stakeholder mapping completed. By 8 months after Inception, a draft proposal agreed to establish Forum, with ToR. By 9 months after Inception, Forum established and operational, and civil society is satisfied with the framework.	Minutes of Taskforce meetings. Minutes of Forum meetings. Survey of Forum members	• Structure on CSO Forum (Guidelines 2017, 2018) on website • Meeting Minutes Civil Society • Quarter Meetings (4) • Meeting Minutes Civil Society Aimag Events • Survey of Forum Members (Prep.) • Revised Operational Guidelines of FSDC (2018) • Report on FSDC / CSO Forum input to Policy and Measures (Prep) • Ministerial Decree approving FSDC (Prep, 2018) • *FSDC report 2017*
Output 4: Public awareness raised	By 6 months after Inception, website developed. Baseline survey completed By 8 months after Inception, REDD+ related material (leaflet, booklet, poster etc.) in circulation and TV and radio programmes broadcasted. By 36 months, stakeholder awareness raised.	Results of surveys Feedback and reports from the extension worker REDD+ related materials and Website.	• Website Completed and Modified in 2017 • Knowledge Flow Survey (2016) • Communication Strategy (2017) • Baseline Survey (2016; 2018) • Training for Media (2016, 2017) • Baseline Evaluations for Media (not completed) • List of Materials
Output 5: Consultation and participation plan developed	By 10 months after Inception, Consultation	Plan available	• Consultation and Stakeholder

	and Participation Plan prepared. By 12 months after Inception, implementation of Plan has commenced and REDD+ consultation materials available	Reports of consultation and participation activities (e.g. workshop reports)	Participation Plan Completed (2016) • Implementation of Plan (Annual Workplan 2017, 2018) • REDD+ Publication lis (See List) • *REDD+ Academy materials* • *Assessment of Financing Mechanisms and Options for REDD+ Action Plan*
Output 6: National FPIC guidelines adapted to Mongolian context *(changed to Develop Stakeholder Engagement Handbook)*	By 24 months after Inception, draft National FPIC Guidelines prepared By 2.5 years, options for institutionalisations agreed.	Mongolia-specific FPIC Guidelines available Institutionalisation options available.	• *Handbook on Gender Sensitive and Socially Inclusive Stakeholder Engagement* • *Capacity building programme: Gender Sensitive and Socially Inclusive Stakeholder Engagement* • *Training ppts, back to office report, handouts*
OUTCOME 2: NATIONAL REDD+ STRATEGY PREPARED	**Targets**: By the end of NP	**Means of verification**: Reports, meeting minutes, mid-term and final evaluations	• Meeting Minutes – List • Technical Briefing on REDD+ Strategy • Mid Term Review • Final evaluations
Output 7: Barriers to REDD+ identified	By 12 months after Inception, national study to identify and assess drivers completed By 18 months after Inception, study completed on legal alignment of laws and policies. By 24 months, review and update drivers study	Studies available Minutes of validation meetings available	• Drivers of Deforestation and Degradation (2016) • Analysis of Land Use Change (Collect Earth), (2016) • Policy, Law and Regulation Review (2018) • Updated Annex in Drivers Report from NFI (2017) • Brief on Drivers (Prep, 2018)
Output 8: REDD+ policies and measures (PAMs) identified and prioritised through: **1)identification of PAMs to address barriers to REDD+; and** **2) demonstration activities to test identified PAMs for REDD+**	By 18 months after Inception, draft list of PAMs prepared. By 2 years, national study completed to identify and assess strategies. By 21 months after Inception, cost-benefit analysis of Saxaul forest completed. By 26 months, review and update PAMs in	Studies available	• PAM final report (May 01,2017) • Risk and Benefit Assessment for PAM (2017) • Updated List of PAM (Prep, 2018) • National Program (Prep)

	relation to updated drivers.		• National Investment Plan (Prep) • Technical Document (Prep) • Assessment of Saxaul Forest Economic Values (Prep, 2018) • *Report on Drivers of Deforestation and Degrdation (2016)* • *Assessment of Financing Mechanisms and Options for REDD+ Action Plan* • *Assessment of Wood Product Value Chains and Recommendations for the Mongolian Wood Industry, and PEB materials*
Output 9: Options for National REDD+ Funding Mechanism are developed	By 15 months after Inception, option paper available By 18 months after Inception, assessment of institutional structure for forest management completed, including corruption risk analysis. By 22 months after Inception, proposals for national fund management and PIDP reviewed by public, GoM and international community.	Reports available Minutes of validation meeting available	• Technical Report on Risk and Corruption (2018) • Briefing Paper on Finance, Risks and Corruption (Prep, 2018) • PEB Meeting Minutes (2017) • Revise Indicators in MTR (2017) • *Assessment of Financing Mechanisms and Options for REDD+ Action Plan and PEB materials/ Assessment of Wood Product Value* Chains and Recommendations for the Mongolian Wood Industry
Output 10: Capacity-building plans developed for key institutions for REDD+ implementation	By 10 months after Inception, a Competency Framework is designed and adopted. By 12 months after Inception, a Capacity Needs Assessment completed. By 22 months after Inception, a Capacity Building Plan is under implementation.	Reports available Minutes of validation meeting available	• Competency Framework *(publication in Mongolian and English)* • Competence Based Capacity Needs Report (2016) • No minutes? • Technical Capacity Needs Report – NFMS and FRL (Prep, 2018) • Training Evaluation Forms (??)

			• Capacity Building Curriculum – Basic • Capacity Building Curriculum – Advanced • Capacity Building Curriculum – High Level • Capacity Building – Advanced – 5 courses for 200 high level stakeholders • Capacity Building – Basic – 10 courses for 400 people (10 Aimags)
Output 11: Gender analysis undertaken to make all outputs under National Programme gender sensitive	Gender analysis conducted by 18 months after Inception. Proposals to mainstream gender approved and implemented by 2 years.	Reports available Minutes of validation meeting available	• Social Inclusion Report (2017) • Social Inclusion Briefing Paper (2017) • Social Inclusion Meetings (2017) • Gender Marker Plan (2016-2017) • Social Inclusion Capacity Building Plan (Prep, 2018)
Output 12: REDD+ social & environmental safeguard policy framework developed	Preparation and approval of draft safeguard Framework by 20 months after Inception.	Framework available. Minutes of validation meeting available Official approval.	• Minutes of Risks and Benefits • Minutes of TWG Safeguards • Linking social inclusion and safeguards in the REDD+ context in Mongolia • Benefits and risks assessment workshop May 2017 /news item, English, workshop material English, Mongolian / • Mongolia REDD+ benefits and risks assessment, August 2017/Background report English Mongolian Assessment table English, Mongolian / Responsibilities of relevant institutions were defined for sustainability **MET/DFPC:** • Signing off on safeguards

			document
			• With TWG-S&SIS, determining roles/responsibilities for safeguards processes at national/subnational level
			• Developing and supervising plan for SOI
			• End-user for making Safeguards data-driven policy
			Forest units and FUGs: For implementation of processes and data collection at subnational level
			CCPIU: Submission of SOI to UNFCCC
Output 13: National REDD+ Strategy prepared through the collation of technical outputs from Outcomes 1-4	By 36 months, National REDD+ Strategy prepared and in final stages of approval	National REDD+ strategy available and adopted by stakeholders and Government	• Minutes of TWG Policies and Measures (2016-2017)
			• Minutes of Core Group National Program (Prep)
			• Technical Brief on National Strategy (2017)
			• Technical Brief on Aimag Planning (2017)
			• Subnational Plan – Selenge (2018)
			• Subnational Plan – Khusvgull (2018)
			• Subnational Plan – Khenti (2018)
			• Subnational Plan – Boreal (2018)
			• Subnational Plan – Saxaul (2018)
			• National Program Outline (2017) and Approved (2018)
			• Technical Document (2018)
			• Investment Plan Approved (2018)
OUTCOME 3: FOREST REFERENCE EMISSIONS LEVEL/FRL DEVELOPED	**Targets**:	**Means of verification**:	

	Nationally-endorsed FREL/FRL	Programme reports, MTR, final evaluation	
Output 14: Capacity built for the development of FRELs/FRLs	By 24 months after Inception, 15 individuals. By 12 months after Inception, Action Plan developed By 18 months after Inception, national agreements reached	-Group of national FRL experts –TWG FRL decision -FRL Action Plan -FRL core working group and TWG meetings -Capacity building trainings and future plans	- List of Personnel *TWG FRL decision (2016)* - FRL Action Plan (2016) *3 technical working group meeting agendas;* *Agenda for Collect Earth training conducted by FAO HQ team (2016, 2017)* *Detailed MRV/NFMS Capacity Building Plan (Phasing-out document, 2018)* - Capacity building trainings for Land use change matrix, biomass modeling software (2017 & Nov 2018 prep), and Trainings of Collect Earth (2016-17) - TWG members who participated in UNFCCC Technical Assessment as part of capacity building plan
Output 15: FRELs/FRLs methodologies developed and tested (*corresponds to outputs 15, 16 and 17 in Roadmap*)	By 18 months after Inception, data compiled. By 24 months after Inception, a decision on adjustment for national circumstances reached By 30 months after Inception, a FREL/FRL submitted to UNFCCC	-Historic forestry data compilation -Up-to-date field research on forest carbon stock UNFCCC submission -FRL submission	- AD & EF Data (FRL 2018) - Additional NFI samples in degraded stock (3 Field reports from NUM, MUST, IGEB. 2017) *CE Data on national level land use change and forest cover (FRL Report 2018, CCPIU Collect Earth analysis report 2018)* *FRL UNFCCC Submission (Jan 2018) and modified (Jun*

			2018)
OUTCOME 4: NFMS AND SAFEGUARD INFORMATION SYSTEM DEVELOPED	**Targets**: One NFMS	**Means of verification**: mid-term and final evaluations	FAO and UN Environment
Output 16: NFMS and Forest Information System (FIS) development process managed (*corresponds to outputs 18, 19 and 22 in Roadmap*)	By 36 months, 3 annual CBNA and NFMS reviews conducted By 24 months after Inception, a web-GIS platform and FIS database are operational By 18 months after Inception, a method for determining monitoring protocols for PAMs is adopted By 24 months after Inception, monitoring protocols are piloted in two sub-national units By 36 months, forest boundary delineation completed	-CBNA survey -Tailored capacity building training agenda -SEPAL training preliminary trainee survey -FIS web platfrom for REDD+ MRV (both for domestic NFMS and internaitonal reporting purpose) –same as Output 17 'REDD+ SLMS operationalization' -Updated Forest Atals web for international MRV+ -PAM monitoring protocol developed and piloted and PAM implementation monitoring SOP approved by ministry -Forest boundary delineated in Forest cover map and FUG tenure area update	• *CBNA 2017 for general NFMS capacity needs (cirulated to all national NFMS stakeholders- FRDC, IRIMHE, National universities and National institutes)* • *Individual capacity building demands surveyed - EIC (web server management skill), ALAMGC (new land monitoring tool-Collect Earth)* • *Survey on demand for enhancement of End-user product of Remote sensing (SEPAL training planned in Oct 2018)* • *Sustainable Land Monitoring System portal launched (Open to public for full operationalization in Nov 2018); containing progress of REDD+ actions inclduing safeguards relevant information – same as below Output 17* • *Forest Atlas web (Forest-atlas.mn) with briefs on CO_2 emission trend and biomass (plan Oct 2018), reference data for future reporting (FRL/BUR)*

			• PAM pilot test to be launched in 3 soums in Khentii aimag (Oct 2018) • SOP for PAM implementation monitoring reviewed and approved by ministry concerning national level implementation • Forest cover map (2016 Forest Mask, ERISC forest change 2000-2015) • FUG tenure area delineation training for all 46 Forest Unit specialists at national level -Field tracking + Spatial data processing (Sep 2018 planned)
Output 17: REDD+ MRV system developed (*corresponds to outputs 19, 20 and 21 in Roadmap)*	By 18 months after Inception, training on remote sensing and GIS is provided. By 24 months after Inception, the REDD+ SLMS is operational By 18 months after Inception, a tree species and forestry database is established and data gap analysis completed. By 24 months after Inception, the National forest inventory methodology is assessed	-Remote sensing Training agenda - Updated Nationally accumulated land data in compiance with IPCC guideline for future international MRV -REDD+ SLMS portal; same as above Output 16. 'GIS platform and FIS database operationalization' -Reports on additional forestry data collection and field research to supplement gaps in 2016 NFI result -Report on Independent suitability assessment for NFI methodology	• 2 Collect Earth trainings conducted by FAO HQ • GIS training for FU specialist • SEPAL training conducted by FAO HQ • ALAMGC's annual land data collection report on update of national land use data (ongoing FAO work to be completed in Sep 2018) • REDD+ SLMS portal same as Output 16; REDD+ SLMS portal launched • REDD+ forestry data base • GHGi research: FRL report (MET 2018), Collect Earth land analysis (CCPIU 2018),

			Saxaul research (IGEB 2018), degraded forest stock (NUM, MUST, IGEB), and litter & soil carbon stock in degraded stock (NUM)
			• *NFI methodology assessed in view of suitability of NFI data for Activity data and EF development for FRL construction*
Output 18: Safeguards Information System (SIS) established	By 18 months after Inception, nationally appropriate safeguards & indicators identified. By 24 months after Inception, safeguards & indicators tested, submitted for endorsement. By 30 months after Inception, safeguards information is available in the central database.	National REDD+ Safeguards Information System	Risk and Benefit Assessment Technical Working Groups Reports Minutes of Workshop on SIS in English and Mongolian Extension of EIC's data base and web portal with SIS initiated (?): • Review of safeguard relevant policies, laws and regulations May 2018 • SIS Workshop and TWG meeting March 2018. Workshop material: English, Mongolian/ Responsibilities of the Institutions are defined for sustainability: MET/DPFC: • Supervision of SIS & safeguards approach • Data analysis • Reporting (SOI + State of Environment Report) • Approval of reports

Annex VIII. Mongolia UN-REDD Programme disbursement by year and remaining balance (October 2018)

Expected outputs	UN Agency	Budget USD	2015 Actual	2016 Actual	2017 Actual	2018 Actual (at 23.10.18)	Cumulative: 2015 to 23.10.18	Balance USD	Spent %
Outcome 1									
Output 1: A National REDD+ Taskforce established	UNDP	85,600	5,962	8,538	66,486	47,078	128,063	**(42,463)**	**150%**
Output 2: PMU established	UNDP	1,209,100	26,458	371,543	345,897	220,266	964,165	**244,935**	**80%**
Output 3: CSO/LC forum established	UNDP	107,000	3,289	18,564	48,883	51,666	122,402	**(15,402)**	**114%**
Output 4: Public awareness raised	UNDP	321,000	2,689	53,207	148,012	128,922	332,830	**(11,830)**	**104%**
Output 5: Consultation and participation plan developed	UNDP	85,600		8,486	19,100	72,059	99,644	**(14,044)**	**116%**
Output 6: National FPIC guidelines developed	UNDP	53,500				21,680	21,680	**31,820**	**41%**
Sub-total		1,861,800	38,399	460,338	628,378	541,670	1,668,784	**193,016**	**90%**
Outcome 2									
Output 8: REDD+ policies and measures (PAMs) identified	UNDP	214,000		71,980	93,947	161,347	327,274	**(113,274)**	**153%**
Output 9: National fund management	UNDP	214,000			9,787	37,542	47,329	**166,672**	**22%**
Output 11: Gender mainstreaming	UNDP	53,500		4,070	11,831		15,901	**37,599**	**30%**
Output 12: REDD+ safeguard policy framework developed	by UNDP	44,405			44,124		44,124	**281**	**99%**
Output 12: REDD+ safeguard policy framework developed	UNEP	169,595			85,600		85,600	**83,995**	**50%**
Output 13: REDD National Programme prepared	UNDP	53,500			89	18,010	18,100	**35,400**	**34%**
Sub-total		749,000	-	76,050	245,378	216,899	538,327	**210,673**	**72%**
Outcome 3									
Output 14: Capacity built for the development of	FAO	117,700	3178	53,413	28,292	20,589	105,472	**12,228**	**90%**
Output 15: FRELs/FRLs methodologies developed and	FAO	417,300		79,594	216,351	143,295	439,240	**(21,940)**	**105%**
Sub-total		535,000	3,178	133,007	244,644	163,884	544,712	**(9,712)**	**102%**
Outcome 4									
Output 16: NFMS and Forest Information System (FIS)	FAO	214,000		20,384	82,097	63,779	166,260	**47,740**	**78%**
Output 17: REDD+ MRV system developed	FAO	422,650		95,352	158,737	56,457	310,546	**112,104**	**73%**
Output 18: Safeguards Information System (SIS)	by UNDP	54,854				56,152	56,152	**(1,298)**	**102%**
Output 18: Safeguards Information System (SIS)	UNEP	159,146			64,200		64,200	**94,946**	**40%**
Sub-total		850,650	-	115,736	305,034	176,388	597,158	**253,492**	**70%**
GRAND TOTAL		**3,996,450**	**41,577**	**785,130**	**1,423,433**	**1,098,841**	**3,348,981**	**647,469**	**84%**
Total Programme cost (Agency)	FAO	1,171,650	3,178	248,743	485,478	284,119	1,021,518	**150,132**	**87%**
	UNDP	2,396,800	38,399	536,387	744,031	758,570	2,077,387	**319,413**	**87%**
	UNEP by UNDP	99,259			44,124	56,152	100,276	**(1,017)**	**101%**
	UNEP	328,741	-	-	149,800	178,941	328,741	**-**	**100%**