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Support to National REDD+ Action: Global Programme Framework 2011- 2015 Submission Form for Budget Review 2013-2014

UN-REDD PROGRAMME NINTH
POLICY BOARD MEETING

26-27 October 2012

Brazzaville, Republic of the Congo

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**To the
 UN-REDD Programme Policy Board**

1. Policy Board Submission	
Policy Board Meeting <input checked="" type="checkbox"/>	Inter-sessional Decision <input type="checkbox"/>
Date of Meeting: 26 - 27 October 2012	Date of Decision:

2. Programme Summary <i>To be completed by the Participating UN Organizations</i>	
From: <i>Participating UN Organizations' Representatives:</i>	Date of Submission: 12 October 2012
FAO: <i>Name:</i> Alexander Mueller <i>Title:</i> Assistant Director General, Natural Resources Management and Environment Department	Contact details: <i>Telephone:</i> + 39 06570 53037 Alexander.Mueller@fao.org
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UNEP: <i>Name:</i> Ibrahim Thiaw <i>Title:</i> Director, Division of Environmental Policy Implementation	Contact details: <i>Telephone:</i> +254 20 7623508

<p>Proposed programme, if approved, would result in:</p> <p><input type="checkbox"/> New programme/Joint Programme</p> <p><input checked="" type="checkbox"/> Continuation of previous funding (budget revision to the existing joint programme)</p> <p><input type="checkbox"/> Other</p>	<p>Proposed programme resulted from:</p> <p><input type="checkbox"/> National Authorities initiative within UN-REDD Programme Framework Document</p> <p><input checked="" type="checkbox"/> Participating UN Organizations within UN-REDD Programme Framework Document and the</p> <p><input type="checkbox"/> Other (explain)</p>
<p>Participating UN Organization(s): FAO, UNDP, UNEP</p>	
<p>Implementing Partner(s):</p>	
<p>Programme¹ Title: Support to National REDD+ Action: UN-REDD Global Programme Framework 2011-2015</p>	
<p>Total Programme Budget: for the period of two years (years 2 and 3), 1 January 2013 – 31 December 2014: US\$ 47,578,767</p>	
<p>Amount requested: US\$ 16,198,759</p>	
<p>Amount and percentage of indirect costs on UN REDD Funds requested: \$ (7%) US\$ 1,059,732</p>	

¹ The term “programme” is used for projects, programmes and joint programmes.

3. Executive Summary

Background

The “Support to National REDD+ Action – Global Programme Framework 2011-2015” (SNA) was endorsed in principle and its associated general funding allocation for two years (31 July 2011 – 30 June 2013) were *approved* by the UN-REDD Policy Board intercessionally on 9 August 2011. At its seventh meeting, the Policy Board endorsed the first year budget of the SNA and requested a review to be made taking into consideration the results of the planned country needs assessment. The Policy Board also decided to establish a working group to elaborate a roadmap to the Global Programme budget review taking into consideration the findings of the country needs assessment. Following the guidance of the Policy Board, the UN-REDD Secretariat coordinated an internal process for reviewing the budget aimed at better coordination and integration of work undertaken by the three participating UN organizations with a view to strengthen the support to countries.

Reviewed Budget

Taking all the above elements into consideration the participating UN organizations engaged into a robust review of the SNA work plan and budget. Inter-agency working groups were established, including a Global Programme Coordination Group that has been coordinating delivery and thematic inter-agency collaboration on topics, such as monitoring and information systems and support to countries to address and respect safeguards. The outcome of the review is fully revised outputs, activities and associated budget for years 2 and 3 (2013 – 2014).

The work plan and budget for 2013-2014 have been planned in an integrated manner, reflecting the UN-REDD approach to each of the work areas, which builds on the comparative advantage of each participating agency but promotes contributions from the others. As a result the budget is no longer presented as individual agency budgets under each outcome, but as a consolidated budget per outcome and per output within which agency activities are interlinked. The result of the review is fully revised list of outputs, activities and associated budgets for years 2 and 3 (2013 – 2014). The table below shows the overall proposed budget for years 2 and 3 compared to the submission made in 2011 (using the short title of the outcomes from 2011):

OUTCOME	BUDGET COMPARISON YEAR 2 (US\$)			BUDGET COMPARISON YEAR 3 (US\$)		
	2011 submission (A)	2012 submission (B)	B/A (%)	2011 submission (A)	2012 submission (B)	B/A (%)
OUTCOME 1- MRV & M	6'976'270	5'342'483	-23.4	7'112'932	5'728'753	-19.6
OUTCOME 2 GOVERNANCE	3'443'912	5'977'265	77.2	3'914'713	6'003'815	53.4
OUTCOME 3 REDD+ PAYMENTS	1'829'808	0 ²	-100.0	1'940'205	0 ²	-100.0
OUTCOME 4 - STAKEHOLDERS ENGAGEMENT	2'728'922	1'620'586	-40.6	2'068'040	1'763'966	-14.7
OUTCOME 5- SAFEGUARDS & MULTIPLE BENEFITS	4'613'823	4'144'885	-10.2	5'803'770	4'152'666	-28.4
OUTCOME 6 - REDD+ CATALYST OF GREEN ECONOMY	3'448'720	2'543'135	-26.9	3'039'188	2'887'639	-5.0
OUTCOME 7- KNOWLEDGE MANAGEMENT	1'209'810	1'108'095	-8.4	1'233'617	1'028'834	-16.6
OUTCOME 8 - SECRETARIAT	3'093'069	2'689'644	-13.0	3'093'070	2'587'001	-16.4
TOTAL	27'344'334	23'426'093	-14.3	28'205'535	24'152'674	-14.4

The proposed annual budget for both years has been reduced by 14%. Although the level of reductions is the same for both years, the planning exercise did not pre-determine the amount to be reduced. Adjustments were made to outputs and activities in accordance with the recommendations by the Policy Board, including the recommendations from the CNA and the working group on the roadmap, as well on the basis of as UN organizations' experience in implementation and lessons learnt. The description of the revised outcomes can be found in the document, Support to National REDD+ Action – Global Programme Framework 2011-2015: Budget Review 2013-2014 (UNREDD/PB92012/V/2))

As part of the budget review, the UN-REDD Secretariat is proposing to have the SNA budget aligned with the calendar year in order to facilitate monitoring and reporting. The current budget cycle is from 1 November to 31 October. However the UN-REDD Programme annual report follows the calendar year, providing certified financial figures and narrative reporting as of 31 December. In order to avoid a two months difference between the reporting cycle and the implementation cycle, the participating UN

² Some activities under this outcome are now included under outcome 2 and others have been deferred until 2015.

organizations are requesting a no-cost extension for commitment of funds from the year 1 (November 2011 – October 2012) budget until 31 December 2012. From year 2 (2013) the budget cycle would then coincide with the calendar year and the MPTF reporting cycle, starting on 1 January and finishing 31 December.

The budget review resulted in a total programme budget for the period of two years, 1 January 2013 – 31 December 2014 of US\$ 47,578,767. For year 2 (2013) the budget is US\$ 23,426,093 and for year 3 (2014) it is US\$ 24,152,674.

Amount Requested

The work plan and budget review undertaken by the UN organizations focused on strengthening delivery of the main pillars of REDD+ and took into consideration the CNA findings and recommendations, the guidance provided by the “roadmap working group” and comments provided by the Policy Board in past meetings, as well as the organizations’ experience, recent country demands and the increased number of partner countries that now number 44.

Although the budget review indicated a level of US\$ 23,426,093 for the SNA budget in 2013, the amount requested from the MPTF is smaller than that due to donor contributions made directly to the organizations and some unspent funds. The Government of Spain provided the participating UN organizations with contributions amounting EUR 2,300,000 at the end of 2011 (EUR 475,000 to UNEP and EUR 1,825,000 to FAO) for UN-REDD Programme activities. The request for funds to the Policy Board is reduced accordingly (about US\$ 3 million). Furthermore, each of the UN Organizations expects to have a certain amount of unspent funds at the end of 2012 that will be carried over to 2013. This is due to the fact that the budget for 2012 was considerably larger than for 2011 and it took some time for the organizations to scale up (hiring of additional staff and consultants, operationalizing the target support mechanism etc). The overall amount of these unspent funds is estimated to be US\$ 4,190,000 and is also deducted from the amount requested to the Policy Board in the first year (2013). After these reductions, the amount requested for 2013 is US\$ 16,198,759, i.e. US\$ 7,227,334 less than the approved budget for 2013.

The budget per agency and per outcome is presented in tables 3.a to 3.c and the amount requested is detailed in section 4 of this submission form.

Conclusion

In order to support progress on REDD+ and address the needs of all partner countries that are making efforts to advance implementation of the REDD+ readiness phase, the participating UN organizations request the Policy Board to³:

- i) Approve a two month non-cost extension of year 1 budget to 31 December 2012, with a view to align the budget cycle with the reporting cycle and the calendar year (1 January – 31

³ A submission form has been prepared accordingly.

December);

- ii) Approve the two-year work plan and budget for years 2 and 3 of the “Support to National REDD+ Action – Global Programme Framework 2011-2015”, and the associated budget allocation of US\$ 47,568,767 for the 2013-2014 biennium and funding allocation request for year 2 (1 January – 31 December 2013) of US\$ 16,198,759.

3.a Budget Summary by UNDG harmonized budget categories - 2013 (US\$)				
Budget Categories	FAO	UNDP	UNEP	TOTAL
Staff and other personnel costs	5'674'783	4'639'513	3'989'822	14'304'117
Supplies, Commodities, Materials	84'750	150'000	27'537	262'287
Equipment, Vehicles and Furniture including Depreciation	-	-	9'000	9'000
Contractual Services	315'280	59'000	1'663'160	2'037'440
Travel	643'000	790'000	285'000	1'718'000
Transfers and Grants to Counterparts	665'000	1'701'000	715'000	3'081'000
General Operating and Other Direct Costs	156'000	192'200	133'501	481'701
Programme Cost	7'538'813	7'531'713	6'823'020	21'893'545
Indirect Support costs	527'717	527'220	477'611	1'532'548
Grand Total	8'066'530	8'058'932	7'300'631	23'426'093

3.b Budget Summary by UNDG harmonized budget categories - 2014 (US\$)				
Budget Categories	FAO	UNDP	UNEP	TOTAL
Staff and other personnel costs	5'498'913	4'592'442	3'806'100	13'897'455
Supplies, Commodities, Materials	94'750	170'000	26'831	291'581
Equipment, Vehicles and Furniture including Depreciation	-	-	12'670	12'670
Contractual Services	326'000	50'000	1'718'707	2'094'707
Travel	685'500	672'500	357'500	1'715'500
Transfers and Grants to Counterparts	1'060'400	1'826'000	1'117'079	4'003'479
General Operating and Other Direct Costs	155'500	248'200	153'501	557'201
Programme Cost	7'821'063	7'559'142	7'192'388	22'572'592
Indirect Support costs	547'474	529'140	503'467	1'580'081
Grand Total	8'368'537	8'088'282	7'695'855	24'152'674

NOTE: If requested and agreed by the three participating UN organizations, budget allocations per organization may be revised as long as the total budget allocation is not changed.

3.c. Support to REDD+ National Actions -Global Programme Budget by Outcomes (US\$)				
OUTCOMES	FAO	UNDP	UNEP	Total
1. REDD+ countries have systems and capacities to develop and implement MRV and monitoring	10'064'952	282'000	-	10'346'952
2. Nationally owned, credible, inclusive national governance systems are developed for REDD+ Implementation	2'825'823	8'371'448	-	11'197'271
3. National systems for transparent, equitable ⁴ , credible and accountable management of REDD+ funding are strengthened				-
4. Indigenous Peoples, local communities, civil society organizations and other stakeholders participate effectively in national and international REDD+ decision making, strategy development and implementation	-	2'658'132	505'000	3'163'132
5. Safeguards are addressed and respected and multiple benefits of REDD+ are realized	721'188	1'586'571	5'446'962	7'754'721
6. Green economy transformation and REDD+ strategies and investments are mutually reinforcing	-	147'471	4'928'018	5'075'489
7. UN-REDD Programme knowledge is developed, managed, analyzed and shared to support REDD+ efforts at all levels	635'145	406'200	955'784	1'997'129
8. Timely and effective UN-REDD Programme Secretariat services provided to the UN-REDD partner countries, Policy Board and the UN organizations	1'112'767	1'639'033	2'179'642	4'931'442
Total Programme cost	15'359'875	15'090'856	14'015'406	44'466'137
7% indirect Support costs	1'075'191	1'056'360	981'078	3'112'630
Grand Total	16'435'067	16'147'216	14'996'484	47'578'767

⁴ Some activities under this outcome are now included under outcome 2 and others have been deferred until 2015

4. Amount Requested Per Agency For 2013 (US\$)				
	FAO	UNDP	UNEP	Total
Budget for year 2 (1 Jan – 31 Dec 2013)	8'066'530	8'058'932	7'300'631	23'426'093
Funding received from Spain	-2'423'639 ¹	-	-613'695 ²	-3'037'334
Estimated carry-over end 2012	-1'900'000	-1'690'000	-600'000	-4'190'000
Amount requested for year 2 (1 Jan – 31 Dec 2013)	3'742'891	6'368'932	6'086'936	16'198'759

¹ EUR 1,825,000; ² EUR 475,000

5. General Principles and Selection Criteria <i>To be completed by the UN-REDD Programme Secretariat</i>		
(a)	Is the programme explicitly linked to the UN-REDD Programme Framework Document?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
(b)	Does it fall within the scope of activities outlined in the UN-REDD Programme Framework Document?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
(c)	Does it promote and ensure national ownership (for national joint programmes) ? <i>n/a. Nevertheless, Global Programme activities support national efforts.</i>	Yes <input type="checkbox"/> No <input type="checkbox"/>
(d)	Does(do) the organization(s) have the appropriate system(s) to deliver the intervention? (and based on earlier performance and programme delivery)	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
(e)	Is the programme effective, coherent, and cost-efficient?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
(f)	Does the programme avoid duplication of and significant overlap with the activities of other actors?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
(g)	Are the proposed deliverables and responsibilities of the Participating UN Organizations in-line with the expected roles as set out in the Framework Document?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
(h)	Does it build on existing capacities, strengths and experience?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
(i)	Does it promote consultation, participation and partnerships agreed with existing coordination mechanisms?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
(j)	Is the planned programme disbursement rate realistic?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>

6. Administrative Review <i>To be completed by the UN-REDD Programme Secretariat</i>		
(a)	Does the programme document comply with format? <i>(including cover page, results framework, etc.)</i>	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
(b)	Is the Budget in compliance with required categories?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
(c)	Is the Indirect Support Cost within the approved rate?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
(d)	Is the Programme Summary completed? <i>(for posting on website)</i>	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
(e)	Is the Progress Report included? <i>(for supplementary funding only)</i> The last <i>annual Progress Report on Activities Implemented under the UN-REDD Programme Fund</i> is available at: http://mptf.undp.org/document/download/9139	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>

7. General Criteria for Prioritizing <i>To be completed by the UN-REDD Programme Secretariat</i>		
(a)	Must be in line with the UN-REDD Programme MPTF TOR	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
(b)	Need to address high priority activities that have significant impact, and by nature must address timing imperatives and considerations.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
<input type="checkbox"/> <i>Overall review of programme submission</i>		

8. Decision of Policy Board

Decision of the UN-REDD Programme Policy Board:

- Approved for an additional budget of **US\$47'578'767**
- Approved with modification/condition
- Deferred/returned with comments for further consideration
- Rejected

Comments/Justification

Carola Borja

Under Secretary for Climate Change, Ministry of Environment, Ecuador

Co-Chair, UN-REDD Programme Policy Board

Signature

Date: _____

Ibrahim Thiaw

Director of the Division of Environmental Policy Implementation, UNEP

Co-Chair, UN-REDD Programme Policy Board

Signature

Date: _____

9. Administrative Agent Review

To be completed by the Administrative Agent (MPTF Office, UNDP)

Action taken by the Administrative Agent: MPTF Office, UNDP

- Programme consistent with provisions of the UN-REDD Programme MPTF Memorandum of Understanding and Standard Administrative Arrangements with donors.

Administrative Agent:

Bisrat Aklilu, Executive Coordinator, Multi -Partner Trust Fund Office, UNDP

Signature _____

Date: _____