External Evaluation of the United Nations collaborative initiative on Reducing Emissions from Deforestation and forest Degradation (UN-REDD)

Inception Report – *EMG cleared draft*

Prepared for: UN-REDD Evaluation Management Group

By Mr. Alain Frechette, Ms. Minoli De Bresser and Mr. Robert Hofstede, Independent Consultants

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Acronyms

AWG-LCA	Ad Hoc Working Group on Long Term Cooperative Action
CDM	Clean Development Mechanism
CfRN	Coalition for Rainforest Nations
CBFF	Congo Basin Forest Fund
COP	Conference of the Parties
CS	Civil Society
EMG	Evaluation Management Group
FAO	Food and Agriculture Organisation of the United Nations
FCPF	Forest Carbon Partnership Facility
GHG	Green House Gas
HQ	Headquarters
IPs	Indigenous Peoples
IPO	Indigenous Peoples' Organisation
KfW	German development bank (KfW)
MB	Multiple Benefits
MDTF	Multi-Donor Trust Fund
M&E	Monitoring and Evaluation
MG	Management Group
MRV	Measurement, Reporting and Verification
NGO	Non-Governmental Organization
PB	Policy Board
P-PIN	Readiness Preparation Idea Notes
REDD	Reducing Emissions from Deforestation and forest Degradation
RPP	Readiness Preparation Proposals
SBSTA	Subsidiary Body for Scientific and Technological Advice
SG	Strategy Group
SNA	Support to National REDD+ Actions – Global Programme

ToC	Theory of Change
ToR	Terms of Reference
UN-REDD	United Nations collaborative initiative on Reducing Emissions from Deforestation and forest Degradation
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nationals Framework Convention on Climate Change

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1. Introduction

The UN-REDD Programme is the United Nations collaborative initiative on Reducing Emissions from Deforestation and forest Degradation. Since its launch in 2008, it has experienced numerous changes, both within and outside the Programme. For this reason, the UN-REDD Policy Board, during its Ninth Meeting in Brazzaville, Congo, requested that an external evaluation of the Programme be undertaken to determine whether it is achieving its stated objectives and continues to serve the evolving needs of participating countries. In response to this demand, an independent team of consultants (Mr. Alain Frechette, Ms. Minoli De Bresser and Mr. Robert Hofstede) was selected by the joint Evaluation Management Group (EMG) to carry out this assignment, with technical oversight and quality assurance provided by the EMG.

The purpose of this document is to provide the EMG and members of the Policy Board, Management Group (MG) and Strategy Group (SG) with an overview of the Evaluation Team's approach to this assessment. As the draft Inception Report, it lays out the purpose, scope and objectives of the evaluation; the proposed methodology and anticipated limitations; the evaluation matrix that will be used to guide enquiries; and the anticipated level of effort, deliverables and related timelines. While responding to the core mandate and questions outlined in the Terms of Reference (ToR), it incorporates minor methodological changes that are designed to provide a more complete assessment of the Programme and its relative performance. The original ToR are presented in Appendix I.

The report is organised as follows:

- Section 2 outlines the purpose, scope and objectives of the evaluation;
- Section 3 provides an overview of the Programme context and design;
- Section 4 presents a preliminary outline of the Programme's Theory of Change, including the assumptions that appear to underpin the proposed logic of results;
- Section 5 provides an overview of Inception-related activities, and presents the evaluation methodology, and draft evaluation framework; and
- Sections 6 and 7 focus on the tasks, activities and deliverables of the evaluation, including the distribution of work among the three team members.

Appended to the present report are: the Terms of Reference for the assignment; a list of key stakeholders to be consulted (developed in consultation with the Secretariat), as well as a preliminary lists of documents reviewed and people interviewed during the Inception mission to Rome and Geneva.

This report is a draft. It will be revised in light of the feedback received from the EMG and other Programme staff, as appropriate. The revised Inception Report will be used to guide the evaluation of the UN-REDD Programme.

2. Purpose, Scope and Objectives

Since its inception, the UN-REDD Programme has grown to include 47 registered partner countries, of which 17 receive structured long-term National Programme support and another 29 have received or currently receive targeted assistance through the Support to National REDD+ Actions – Global Programme (SNA). As the current UN-REDD Programme Strategy (2011-2015) nears its end, the Policy Board considered that this would be an opportune time to take stock of the Programme's overall performance to date, and in doing so, inform its future.

Purpose

As specified in the ToR, the purpose of this evaluation is to *make a broad and representative assessment of the Programme's performance*, including the relevance, effectiveness, efficiency of related interventions, the sustainability of current investments, and the likelihood of impact in the near to long term future.

Scope & Objectives

The evaluation will cover the full range of activities and geographic scope of the Programme over the last five years, from its inception in June 2008 to June 2013. Specifically, the evaluation will seek to:

(i) Provide evidence of results to meet accountability requirements;

(ii) Promote learning, feedback and knowledge sharing through results and lessons learned among the Policy Board, participating UN Organisations and other partners; and

(iii) Inform the revision of the UN-REDD Programme Strategy.

In the end, the evaluation will articulate lessons learned on the strategic direction of the Programme and operational and technical programme aspects, so as to improve future programming of activities at the national and global levels.

2.1 Audience

This review is primarily intended to support the decision-making needs of the UN-REDD Policy Board and the three participating UN Organisations of the Programme, that is to say FAO, UNDP and UNEP. The secondary audience includes relevant institutions in all countries participating in UN-REDD interventions, other REDD+ initiatives and the broader REDD+ community. The final report will also be made available to the public via the UN-REDD, FAO, UNDP and UNEP websites.

3. Context and Programme

This section presents the concept of REDD+, as well as the Programme's context and design. A more detailed contextual and programmatic description will be included in the draft evaluation report. For an overview of the evolution of REDD+, see Appendix IV.

3.1 REDD

Recent studies suggest that the rate of deforestation and related degradation of the world's tropical forests accounts for about one fifth of all carbon emissions today.[1] While some countries (e.g., Brazil), have managed to slow down deforestation trends over the past decade, the aggregate loss of tropical forests and their related degradation continues unabated, making efforts to bring an end to such destruction essential to any viable strategy to combat climate change.[2]

Spearheaded by some of the largest holders of tropical forests in world – the Coalition for Rainforest Nations – CfRN[3] – REDD (Reducing Emissions from Deforestation and forest Degradation) is a global framework designed to compensate developing nations that successfully limit activities (economic or otherwise) that contribute to deforestation, forest conversion or forest degradation. In short, REDD is a payment for ecosystem services scheme that "seeks to change the underlying dynamics of deforestation and rising greenhouse gas emissions by incentivising change in the behaviours that lead to sub-optimal outcomes."[4] Accordingly, countries that are able to take remedial actions to reduce current and/or projected rates of deforestation and forest degradation would be financially rewarded relative to the extent of their achieved emissions reductions.[5] By valuing the role of forests in carbon capture and storage, REDD creates a global market mechanism wherein the economic benefits of forest maintenance activities can compete with alternative land uses that have historically been more lucrative, but environmentally more destructive.[6] REDD provides a unique opportunity to achieve large-scale emissions reductions at comparatively low abatement costs.[7]

Before REDD, other mechanisms to mitigate Climate Change through international collaboration existed, including "joint implementation" (a voluntary emissions transfer scheme between the so-called Annex 1 countries; the group of industrialized countries that first were invited to commit Green House Gas -GHG- emission reduction), and the Clean Development Mechanism (CDM). The latter, tied to the Kyoto protocol, included forest activities but only reforestation and afforestation. Halting deforestation was not considered under CDM because of the risk of leakage (conservation at one place might cause accelerated deforestation elsewhere) and the difficulty of demonstrating additionality over a given, though difficult to determine, baseline of deforestation. Post Kyoto negotiations, in which other countries (non Annex 1) were invited to report on their GHG emissions, paved the path for including reduced deforestation into mitigation mechanisms and an international mechanism to trade emissions.

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[1] Parker *et al*., (2009): Parker, C., Mitchell, A., Trivedi, M., Mardas, N., and Sosis, K. 2009. The Little REDD+ Book. Global Canopy Programme, Oxford
[2] *Ibid*.
[3] See www.rainforestcoalition.org
[4] Parker *et al*., (2009)
[5] Transparency International. 2012. Keeping REDD+ clean. A step-by-step guide to preventing corruption. Transparency International, Berlin, Germany
[6] Parker *et al*., (2009)
[7] Phelps, J., D. A. Fries, and E. L. Webb. 2012. Win-win REDD+ approaches belie carbon-biodiversity trade-offs. Biological Conservation 154: 53-60

REDD is an evolving concept whose meaning iteratively changes over time, as countries gain experience, scientific knowledge increases, political opportunities arise, and global commitments become clearer. From an early conception that was limited to the wording of the acronym, REDD steadily became more comprehensive. As such, the 2007 Bali Action Plan, formulated at the thirteenth session of the Conference of the Parties (COPs) to the United Nations Framework Convention on Climate Change (UNFCCC) (COP-13), emphasized that a comprehensive approach to mitigate climate change would need to include: "Policy approaches and positive incentives on issues relating to reducing emissions from deforestation and forest degradation in developing countries; and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries".[8] After successive refinements, the comprehensive components of what was to become REDD-plus (REDD+) were finally set out in 2010 Cancun Agreements at COP-16.[9] Henceforth, global frameworks for reducing emissions from deforestation and forest degradation would be supplemented by: (i) the conservation of forest carbon stocks; (ii) the sustainable management of forests; and (iii) efforts to enhance forest carbon stocks.

With these additions (the plus '+' in REDD+), it became possible to consider the dual imperatives of climate change mitigation and poverty alleviation, whilst also conserving biodiversity and sustaining vital ecosystem services.[10] Though the inclusion of development and conservation objectives can be perceived as mutually exclusive ends, the creation of a sustainable and equitable REDD+ process will ultimately depend on the integration and achievement of multiple streams of benefits.

As the details of REDD+ continue to be negotiated through the UNFCCC process,[11] there are as yet no final mechanisms that can operate at scale. Nevertheless, effective financing schemes are slowly appearing. The first fully operational REDD+ mechanism (result based performance) was just launched by Costa Rica in September

REDD and the UNFCCC

The concept of a mechanism that would reward developing countries for protecting their forests was formally introduced at the 11th COP in Montreal in 2005. Referred to the Subsidiary Body for Scientific and Technological Advice (SBSTA), the SBSTA was requested to report on the views of Parties; address relevant scientific, technical, and methodological issues; and exchange information and experiences regarding policy approaches and positive incentives by the 13th COP in Bali.

Two inter-sessional workshops on REDD were held in 2006 and 2007 to discuss SBSTA's work programme, culminating in a request to the Chair of SBSTA to provide draft decision text as the basis for further discussion and development. Decision 2/CP.13, "Reducing emissions from deforestation in developing countries: approaches to stimulate action", was released in at COP 13/SBSTA 27 in Bali, at which point SBSTA reported that REDD had the potential to be an important climate change mitigation tool under the Convention. REDD was thus included in the Bali Action Plan and incorporated into discussions for a post-2012 agreement under the Ad Hoc Working Group on Long Term Cooperative Action (AWG-LCA) under the Convention. SBSTA has continued its work on the methodological issues surrounding REDD, while the AWG-LCA has focused on the policy framework needed to create an international REDD mechanism.

Source: www.climatechange.gov.au

[8] United Nations Framework Convention on Climate Change. 2008. Report of the Conference of the Parties, on its thirteenth session held in Bali, from 3 to 15 December 2007. Available from: http://unfccc.int/resource/docs/2007/cop13/eng/06a01.pdf
[9] Peskett, Leo, et al. 2008. Making REDD Work for the Poor. Overseas Development Institute. Available from: http://www.odi.org.uk/sites/odi.org.uk/files/odi-assets/publications-opinion-files/3451.pdf
[10] United Nations Framework on Climate Change. 2012. Background (REDD). Available from: http://unfccc.int/methods_science/redd/items/4547.php
[11] IUCN. 2011. REDD plus explained. Accessed: October 2012. Available from: http://www.iucn.org/about/work/programmes/forest/fp_our_work/fp_our_work_thematic/redd/redd_plus_explained/

2013. Meanwhile, REDD+-related initiatives are being instigated outside the auspices of the UNFCCC, both independently and in anticipation of a formal REDD+ mechanism[12] (so-called voluntary market).

The international debates on REDD+, affecting both international negotiations and national programmes, continue to focus on technical aspects (including the development of base lines and related measurement, reporting and verification – MRV – efforts), governance and financing aspects (national level versus project based or nested approach) and the generation of multiple benefits that extend beyond the mere creation of carbon stocks (particularly the issues of benefit sharing, tenure arrangements and enforceable resource rights). In more practical terms, other issues that remain a challenge include limited technical capacities at the country level, the need for robust baselines, and the need for more effective inter-sectoral policy coordination.

3.2 Support to REDD+ Readiness[13]

As parties to the UNFCCC process continue negotiations to define the terms and conditions of REDD+, many developing countries have been working to develop their "Readiness" for REDD, by determining and filling the gaps between existing social, technical and institutional capacities and the anticipated requirements for participation in an eventual REDD+ mechanism. To this end, a variety of instruments have been set up by the international community and individual donors to support REDD Readiness, including the UN-REDD Programme, and the World Bank's Forest Carbon Partnership Facility (FCPF) and Forest Investment Programme (FIP).

The UN-REDD Programme—a joint initiative of the United Nations Environment Programme (UNEP), the United Nations Development Programme (UNDP), and the Food and Agriculture Organization (FAO)—was launched in 2008 to support large-scale, national-level REDD-readiness activities.[14] Primarily designed to strengthen the institutional and technical capacities of countries who wish to participate in REDD, the UN-REDD Programme provides long-term (i.e., national programme) and targeted technical assistance to participating countries in accordance with national development priorities (see Section 3.3 below for further details).

For its part, the World Bank operates two major initiatives related to REDD+. The first is the Forest Carbon Partnership Facility,[15] which aims to build capacity for REDD+ in developing countries, and to pilot performance-based incentive payments. The Bank ultimately seeks to raise a total of US$385 million within two funds to support REDD+ and REDD+ Readiness activities. The Facility has selected 37 countries to participate in the FCPF, based upon the review of their Readiness Preparation Idea Notes (P-PIN). Several countries (generally others than the UN-REDD countries that are supported for their National Programme) have taken the next step and submitted more detailed Readiness Preparation Proposals (RPP).

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[12] The Prince's Charities International Sustainability Unit. 2011. Emergency finance for tropical forests. Two years on: is interim REDD+ finance being delivered as needed? Available from: http://www.pcfisu.org/wp-content/uploads/2011/11/Two-years-on_Is-interim-REDD+-Finance-being-delivered-as-needed.pdf

[13] This section draws heavily from Johns, T, E. Johnson and N. Greenglass (2009). *An Overview of Readiness for REDD*. Woods Hole Research Institute

[14] www.un-redd.org

[15] www.forestcarbonpartnership.org

The second initiative is the Forest Investment Program,[16] which is part of the Climate Investment Fund. It is designed to provide up-front financing for readiness reforms and other necessary large-scale investments identified by countries in the development of national REDD+ strategies.

The Government of Norway also supports a major REDD+ program, the Norwegian Climate and Forest Initiative,[17] launched at the COP 13 meeting in Bali, Indonesia in 2007. This fund provides up to US$600 million annually to support REDD+ early action in developing countries, as well as facilitating an international agreement on REDD+. This support is provided to multilateral organizations including the UN-REDD Programme and the World Bank, regional development banks such as the Congo Basin Forest Fund, bilateral programs, and research organizations and NGOs.

Australia supports REDD+ development in the Asia Pacific region and globally through its International Forest Carbon Initiative.[18] Two key pillars of the program are collaborative Forest Carbon Partnerships with Indonesia and Papua New Guinea. These partnerships focus on strategic policy dialogue, technical capacity building for carbon accounting, and support for demonstration activities. In addition, the initiative supports on-going programs such as the Clinton Climate Initiative's Carbon Measurement Collaborative, and the World Bank's FCPF.

USAID is also a significant player through its Lowering Emissions in Asia's Forest Programme (LEAF), which applies a regional approach by providing support to six Asian countries.[19] The objective of LEAF is to improve policies and establish market incentives for improved forest management and for developing sub-national interventions.

REDD+ activities in the Congo Basin region of Africa are supported through the Congo Basin Forest Fund (CBFF),[20] which funds early action in this region. The Forest fund helps to create pilot payments for ecosystem services, community forestry initiatives, and other capacity building activities. Initial funding for the CBFF came from the governments of the United Kingdom and Norway.

In Latin America the Amazon Fund, initiated by the government of Brazil and administered by the Brazilian Development Bank[21] broadly supports efforts to reduce deforestation and promote conservation and sustainable forest use in the Amazon Basin. This fund also promotes efforts to monitor and enforce such efforts. The Amazon Fund solicits performance-based contributions from industrialized nations—these contributions are tied to a specific volume of emissions reductions.
Finally, the German development bank (KfW) supports several individual countries to develop REDD+ initiatives on the ground and strengthens the national REDD+ governance programme. Together with the German International Cooperation (GIZ) and the German Technical Cooperation Ministry (BMZ) they launched the REDD Early Movers (REM) initiative, that will provide performance-based support to countries that are considered pioneers in REDD+; those who have already taken risks and independent action towards mitigating climate change by preserving their forests[22].

[16] www.worldbank.org
[17] www.regjeringen.no
[18] www.climatechange.gov.au
[19] Cambodia, Laos, Thailand, Vietnam, Papua New Guinea, Malaysia
[20] www.cbf-fund.org
[21] www.amazonfund.gov.br
[22] http://www.bmz.de/en/publications/topics/climate/FlyerREDD_lang.pdf

In addition to multilateral and bilateral funding, support for REDD+ Readiness activities also comes directly from the voluntary carbon market, where companies and institutions independently offset their emissions by supporting REDD+ projects. For instance, in August 2008, the Smithsonian Tropical Research Institute — the Panama-based branch of the Smithsonian Institution — agreed to offset its carbon emissions by working with an indigenous community to conserve forests and reforest degraded lands in Panama. There are many formalized non-profit registries, certifying organizations, and trading schemes that match project developers to buyers in the voluntary market. Several private funds (e.g. the Moore Foundation) and international NGOs (WWF, CI, ICCO, HIVOS, Helvetas) have a strong programme on REDD+ to support readiness in a series of countries, hereby channelling other international (multilateral, bilateral and private) funding to REDD+. Most of these organizations support countries in their participation in the multilateral programmes of either UN-REDD or WB-FCPF.

3.3 Challenges to REDD+

While the potential for improvements in global forest conservation and reduced CO_2 emissions is high, the challenges to REDD+ are just as significant if not more so, in some cases. From the unresolved issues of forest rights, carbon rights and resource rights, to inequitable benefit sharing and inadequate attention to non-marketable benefits, or the problem of additionality for countries with lower rates of deforestation, as well as the challenges of including social and development issues in MRV systems and free prior informed consent (FPIC) safeguards, the problems identified in the literature are many and varied.[23] These challenges will be developed further in the evaluation report.

[23] See for example: Michael I. Brown. 2013. *Redeeming REDD: Policies, incentives and social feasibility for avoided deforestation.* Earthscan from Routledge, London and New York.

4. Reconstructed Theory of Change

Though the UN-REDD Programme does not have an explicit Theory of Change (TOC)[24] to guide and monitor progress towards results, a preliminary outline of such a theory has been developed for the purpose of this evaluation. Building on the contextual analysis provided in Section 3, the theory presented herein seeks to define:

(i) the nature and scope of the UN-REDD contribution;

(ii) the chain of results and associated causal pathways of the UN-REDD Programme; and

(iii) the assumptions that underpin the achievement of results.

4.1 Nature and Scope of the UN-REDD Programme

The United Nations Collaborative Initiative on Reducing Emissions from Deforestation and Forest Degradation (UN-REDD) aims to build the capacity of developing countries to reduce the emissions generated from deforestation and forest degradation as well as to actively participate in an eventual REDD+ mechanism. The Programme was first piloted in nine countries across the globe (the "Quick Start Phase"), and scaled up on the basis of lessons and feedback from this initial phase.[25] As stated earlier, as of September 2013, some 47 countries requested participation in UN-REDD, 17 of which have received support for National Programmes, and 29 countries receive targeted support.

In order to reach its goals, the Programme endorses solid strategic direction, as illustrated by its main objective for the 2011-2015 period, which is to "promote the elaboration and implementation of National REDD+ Strategies to achieve REDD+ readiness, including the transformation of land use and sustainable forest management and performance-based payments."[26] Continuing challenges at the programmatic and country levels include competency-mobilization and coherence in REDD+ approaches as well as governance structures and the ability to secure financing for implementation.[27]

In addition, the Programme promotes joint collaboration and partnerships in order to reach established objectives, as demonstrated for example by the close working relationship it fosters among the three UN Agencies: FAO, UNDP and UNEP. Each of these partners has been attributed specific responsibilities and work areas within the framework of the Programme so as to improve the support it provides to partner countries. The FAO is responsible for the development of measuring, reporting and verification (MRV) systems and technical capacity. The UNDP works in governance, stakeholder engagement, safeguards, and fund management. For its part, UNEP oversees sector transformation efforts (capacity building and sustainability) and the promotion of multiple benefits (MB) for forests and the green economy. Finally, the UN-REDD Secretariat provides oversight for the implementation of the Programme, overall coordination, communication and knowledge management and dissemination.[28]

The Programme's governance structure includes multiple layers. The Policy Board (PB) includes representatives from NP countries, donors to the Multi-Donor Trust Fund (MDTF), civil society (CS) and Indigenous Peoples' (IPs) representatives, as well as selected participants from the three UN Agencies.

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[24] The approach used herein builds on Funnell, S.C. and P.J. Rogers (2011). Purposeful Program Theory: Effective Use of Theories of Change and Logic Models. Jossey-Bass: San Francisco.
[25] *UN-REDD Programme Strategy 2011-2015*, p. 1.
[26] Idem, pp. 1 and 6.
[27] Idem, p. 4.
[28] Idem, p. 19.

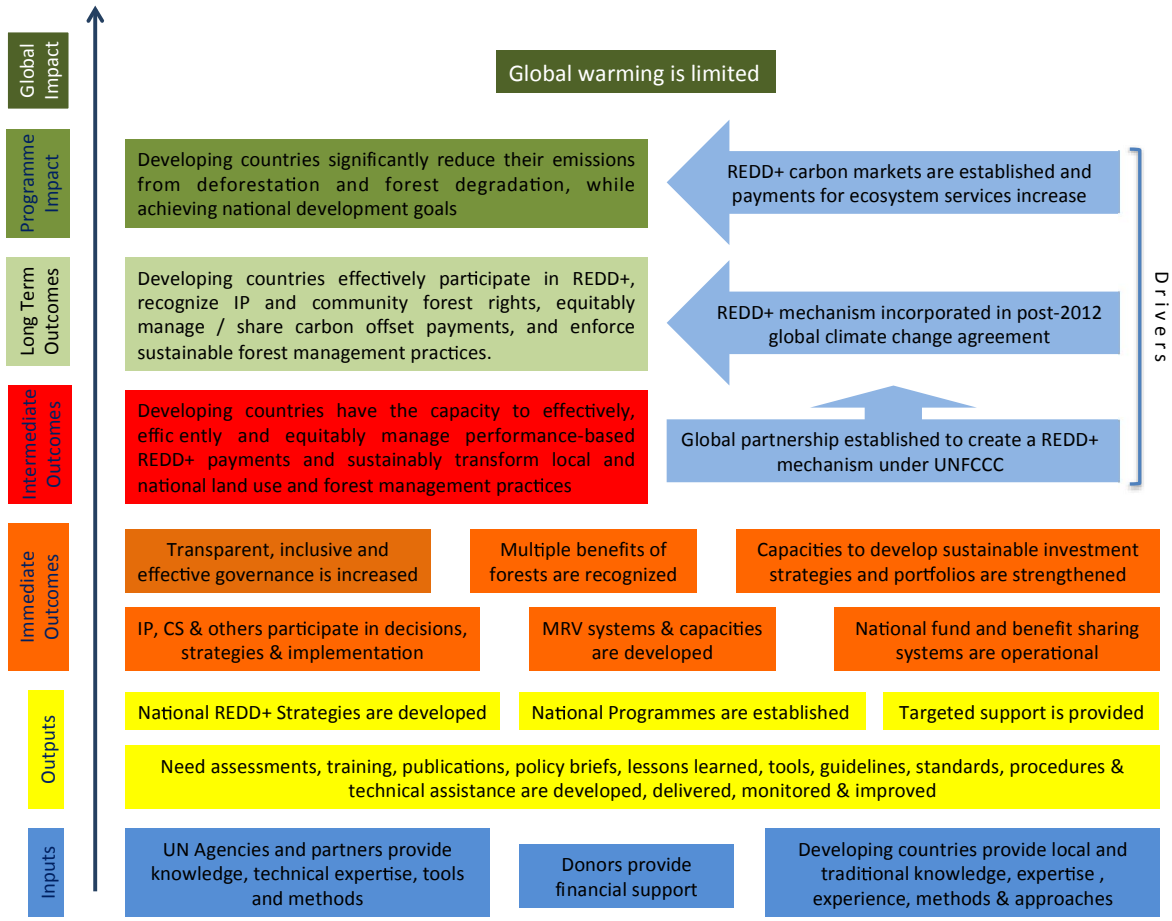
Others, such as representatives from regional constituencies, UNFCCC and the World Bank, act as observers.[29] Internally, the Strategy Group (SG), Management Group (MG) and Programme Secretariat work together to ensure efficient coordination and operations.

The Multi-Donor Trust Fund (MDTF) Office at UNDP is responsible for managing UNREDD Programme funds. In March 2013, US$167,377,224 had been received from donors, which included Norway (the founding and largest REDD+ donor to date), the European Commission, Denmark, Luxemburg, Japan, and Spain.[30]

4.2 Causal Logic of UN-REDD

Drawing on the *2011-2015 Programme Strategy*[31] and subsequent interactions with the Management Group during the inception mission to Rome (FAO), the evaluation team produced an outline of the Programme's overarching theory (see Exhibit 4.1).

Exhibit 4.1 Emerging Theory of Change



[29] Idem.
[30] As per the evaluation ToR, p. 4.
[31] FAO, UNDP, UNEP. (2011). *The UN-REDD Programme Strategy 2011-2015*, 28 p.

As suggested by the logic model outlined above, key inputs such as technical support from the three UN agencies, donor support and country-level capacity are to be leveraged to help implement National Programmes and develop national REDD+ strategies, and deliver targeted support in support of these. Activities spearheaded under this set-up aim to achieve the immediate outcomes of the current UN-REDD Programme Strategy. Together, the realisation of these results should contribute to building national readiness (i.e., capacity) for REDD+ performance payments (Intermediate Outcome), or what is commonly referred to as Phase I of the UN-REDD Programme. Barring the establishment a REDD+ mechanism under UNFCCC and its subsequent incorporation in a post-2012 global agreement (light-blue arrows in upper right-hand corner of Exhibit 4.1), REDD+ readiness efforts should lead to the effective, equitable and sustainable participation of developing countries in REDD+ carbon offset payment schemes (long term outcome). Ultimately, the Programme should support the achievement of reduced emissions from deforestation and forest degradation, while allowing countries to meet their development goals (programme impact). In the end, the UN-REDD Programme should contribute to the global effort to significantly reduce carbon emissions and thus limit the impacts of climate change (global impact).

4.2.1 Programme Delivery

Further to understanding the underlying chain of results that the UN-REDD Programme intends to achieve are the delivery modalities that the Programme relies upon to achieve its intended results. In essence, the UN-REDD Programme brings together technical capacities and resources (financial and human) to bear on two distinct yet related intervention modalities, namely the Global SNA Programme and the National Programme components. The National Programme component offers long term technical assistance to participating countries (in accordance with national strategies) in support of six work areas: (i) strong stakeholder engagement, (ii) the development of MRV capacity, (iii) an equitable distribution of multiple benefits (MB), (iv) transparent, inclusive and effective National REDD+ governance mechanisms, (v) transparent, equitable & accountable management of funds and resources, and (vi) sector transformations that lead to sustainable carbon-friendly investments.

Through the Global SNA Programme, any partner country can request targeted support (i.e., technical assistance) from the three UN agencies to further their technical capacity in one of the six (6) core areas wherein UN-REDD operates. Such assistance may be provided to countries with on-going National Programmes (NPs) or non-NP countries. In either case, the ultimate aim of UN-REDD technical assistance is to ensure that countries have sufficient capacity to engage in REDD+ mechanisms.

Finally, because the Global Programme ultimately brings together all UN-related capacities, it likewise carries with it the strong convening capacity of the UN system, including the means of fostering international collaboration, and country-level representation of key interests during UNFCCC negotiation. Hence, by increasing capacity at the country-level, the UN-REDD Programme contributes to the creation of an enabling global environment, in line with the achievement of a post-2012 climate change agreement.

A number of comparative advantages that the three UN agencies (FAO,UNDP,UNEP) bring to the table support the delivery of the Programme. At the input level, the UN-REDD Programme is perceived to possess key comparative advantages over other similar initiatives. Its presence in REDD+ countries, its expert advisory teams and technical competencies, the transparency of its funding system, its

partnerships and synergies (current and potential) with other organisations and UN Agencies, as well as its strong knowledge sharing capacity are seen as important advantages that can be leveraged to reach desired UN-REDD outcomes.

The three participating UN Agencies also bring their own comparative advantages and expertise. By assigning work area contributions in accordance with the technical knowledge and expertise of each agency, the UN partners will seek to deliver as "One UN" and ensure effective and timely coordination and collaboration in the delivery of programme components.

Acting as a "non-partisan broker for governments, civil society and the private sector,"[32] the Programme will rely on its convening power and global reach to foster dialogue and knowledge sharing and the development of strong partnerships. Consistency and coherence at the country level are to be achieved through preliminary needs assessments and early stakeholder involvement to ensure that approaches, tools and methods reflect the needs, interests and priorities of partnering countries. As such, the targeted support that is provided through global SNA contributions should be clearly linked to national strategies and priorities.

4.3 Conditionalities and Assumptions

Achievement of the 2011-2015 Programme Strategy objectives and in particular, the realization of readiness preparatory work at the country level, depends upon a number of factors. This section explores the conditions that have been built into the UN-REDD Programme structure, including the safeguards and expected stakeholder contributions, the assumptions that underpin the proposed chain of results, and the risks that could potentially undermine such achievements.

4.3.1 Underlying Safeguards[33]

The UN-REDD Programme rests on five inter-related principles of the UN Development Group: human rights-based approach to programming, gender equality, environmental sustainability, results-based management and capacity development. Though these principles are to be used to guide planning and implementation, it remains unclear at this early stage of investigation how they are operationalized as an integrated whole within UN-REDD interventions. Operationally, the Programme strategy also aims to encourage national ownership, to offer flexibility regarding specific country needs, and to maintain coherence with UNFCCC decisions and REDD+.

4.3.2 Stakeholder Contributions – Inputs and Outputs

The UN-REDD Programme's Theory of Change is based on financial and technical inputs, which feed into two delivery mechanisms: the National Programmes and the Global SNA Programme. The latter are themselves intrinsically linked, as National Programmes feed knowledge, experiences and best practices into the Global Programme, which serves to test and develop approaches and methodologies that are then disseminated on a worldwide scale. The National Programmes supports REDD+ efforts through two types of interventions. Readiness support is geared towards the development of comprehensive national readiness programmes and has also been the primary modality of pilot support provided under the 'Quick Start' phase of the UN-REDD Programme that is commonly associated with the initial start-up

[32] Idem, p. 17.
[33] *Programme Strategy 2011-2015*, p. 16.

of the Programme, between 2008 to 2011. Targeted support is delivered through the SNA Global programme and aims to satisfy ongoing, longer-term demand for UN-REDD cooperation within the six previously defined work areas.[34]

A variety of partners and stakeholders collaborate in delivering the outputs under the NPs and SNA and move toward outcome-level objectives, through funding, knowledge sharing and technical expertise. The following table (see Exhibit 4.2) outlines the main actors involved in the UN-REDD Programme, as well as their contributions at the input and output levels.

Exhibit 4.2 UN-REDD Stakeholder Responsibilities and Contributions

Level	Stakeholder	Responsibilities and Contributions
Central Programme Management	**FAO**	- Ensure programmatic and financial accountability. - Responsible for technical components (forestry, natural resources) and the development of monitoring and reporting mechanisms within the framework of the Global and National Programmes.
	UNDP	- Ensure programmatic and financial accountability. - Responsible for coordinating national programmes, improving governance and encouraging the participation of Indigenous Peoples and civil society within the framework of the Global and National Programmes.
	UNEP	- Ensure programmatic and financial accountability. - Responsible for providing convening expertise in the REDD+ agenda, knowledge and capacity-building on the multiple benefits of REDD+ and sector transformation/investment activities within the framework of the Global and National Programmes.
	Policy Board	- Provides policy guidance and approves funding allocations. - Composed of representatives from regional constituencies, large donor countries, civil society, FAO, UNDP and UNEP.
	Strategy Group	- Provides strategic guidance to staff in the three participating UN Agencies regarding the management and implementation of activities.
	Management Group	- Responsible for ensuring effective overall Programme management and ensure quality services are provided to National Programmes.
	Secretariat	- Provides coordination, administrative, logistical support to the UN-REDD Programme's decision-making bodies.
	Multi-Donor Trust Fund	- Receives, administers and manages donor contributions to the UN-REDD Programme.
Global Level	**Donor countries**	- Contributions of over US$167 million in funding. - Include the EC, Denmark, Japan, Luxemburg, Norway and Spain.

[34] *Programme Strategy 2011-2015*, pp. 16-17.

Level	Stakeholder	Responsibilities and Contributions
Global Level	**Multi-lateral organisations and programmes**	Examples: - Convention on Biological Diversity - Global Environment Facility - International Tropical Timber Organization - United Nations Framework Convention on Climate Change Secretariat - United Nations Forum on Forests - World Bank & Forest Carbon Partnership Facility - Forest Investment Program - Think tanks (e.g., Group on Earth Observation & Chatham House) - Coalition for Rainforest Nations Roles / Contributions - Improve/share knowledge, best practices on effective REDD+; - Harmonize approaches, develop common principles, foster shared understanding of REDD+; - Collaborate to implement certain Programme activities; - Logistical, technical or administrative support to implementation.
	Other UN partners	- E.g. the United Nations Forum on Forests - Provide knowledge and logistical support.
National Level	**UN Resident Coordinator**	- Responsible for Programme implementation, according to in-country needs and UN practices.
	National governments	- Work to implement bi-lateral projects. - Help with understanding country-specific needs. - Help integrate UN-REDD considerations into national policy.
	National organisations	Examples: - National Institute for Space Research in Brazil - Brazil's Amazon Fund - Congo Basin Forest Fund - USDA Forest Service - Help with understanding country-specific needs. - Collaborate to improve/share knowledge, share practices. - Collaborate to implement certain Programme activities. - Provide logistical, technical or administrative support to Programme implementation.
	Members of civil society organisations & indigenous peoples' organisations	- Work to implement bi-lateral projects. - Help with understanding country-specific needs. - Collaborate to improve/share knowledge, share practices. - Collaborate to implement certain Programme activities. - Provide logistical, technical or administrative support to Programme implementation. - Ensure recognition of resource rights and access to REDD+ benefits for IPs and resource-dependent communities.

4.3.3 Drivers and Assumptions

Underlying this implicit TOC are multiple sets of assumptions that are expected to help drive progression from inputs to outputs and all the way to impacts. While the *Programme Strategy* articulates some assumptions, discussions with Programme staff and preliminary document reviews suggest the existence of additional layers. Drawing on the results identified in Exhibit 4.1, this section details the assumptions that support the Programme's approach and rationale at each level in the associated chain of results.

At the output level, the Programme rests on the assumptions that developing countries will contribute knowledge and expertise and provide an enabling environment wherein social, political and economic change can take place. More fundamentally, the Programme assumes that developing countries will in fact commit to low-carbon, climate-resilient development practices and undertake system-wide change as required. This assumption pervades the Programme's entire approach. For their part, developed countries are expected to maintain sufficient funding for implementation of the Programme.

At the outcome level, the Programme assumes that participating countries will institutionalize newly acquired capacities so as to favour country-level readiness. In other terms, REDD+-related capacities, including stakeholder engagement, transparent and inclusive governance, and the equitable sharing of benefits will take place, continue or be enforced once support once programming support ends. Effectively, the Programme assumes that participating countries are committed to change and prepared to create the necessary enabling environment for such change, and that national-level capacities will be sustained over time. Likewise, another key assumption is that external drivers of deforestation will be addressed and kept at bay.

Other Factors Influencing Performance

During the inception phase, the Evaluation Team came across a wide range of issues that stand to affect the ability of UN-REDD to achieve its stated results. Though some of the concerns outlined below are broadly discussed in the relevant literature, others were drawn from conversation with UN staff during the inception mission to Rome and Geneva and preliminary analyses of available documents. Some of the potential concerns lie within UN-REDD's span of control and some may be beyond the scope of a single initiative such as UN-REDD, but not beyond the necessity of joint action with others in the field. Given that the status of issues and the ways in which they addressed by the Programme is unclear and/or unknown, they are presented here (see Exhibit 4.3) as assumptions that will to be validated. The following list of assumptions / issues is therefore partial. It will be developed and substantiated further as information becomes available. Based on available evidence, these assumptions will be validated, nuanced or flagged as factors that can potentially influence the Programme's performance.

Exhibit 4.3 Potential Concerns to UN-REDD

Global Issues

- UNFCCC negotiations lead to a durable international REDD+ financing mechanism;
- Donor priorities remain constant and uptake/involvement by others limits donor fatigue;

Country-level Issues

- There is clear leadership at the country-level;
- Changes in policy commitment due to changes in government, priorities or vision;
- Inter-sectoral support and political buy help mainstream REDD+;
- External drivers of deforestation and forest degradation are addressed;
- Corruption is kept under control and transparency is ensured;
- Political unrest and/or instability is limited;
- In-country staff turnover is limited and technical capacities are maintained;
- Stakeholder involvement leads to credible change in terms of transparency and equality;
- Land tenure and resource rights issues are addressed, leading to well-defined and enforced collective-choice rights over forests and/or sharing of benefits, including ecosystem services and carbon offsets;
- Alternative economic opportunities are created in support sustainable livelihoods.

Agency-related Issues

- Good match between what agencies offer and what countries demand;
- Silos within UN-REDD are avoided;
- There is no internal competition for scarce resources
- Good complementarity between agencies with no duplication of efforts;
- The purpose of the Programme and the principles of “readiness” are broadly understood;
- UN agencies are able to operate as One UN and demonstrate clear leadership;
- There is no push forward / backward by other programmes / initiatives;
- Programme components progress at a similar pace.

5. Methodology

The overall design of this evaluation is based on the use of the Programme's emerging ToC, as articulated in the previous section. Following Funnell and Rogers (2011), the evaluation will use the Programme theory to assess how the different contexts wherein UN-REDD operates affect the Programme's performance; whether or not the proposed logic of results holds and supports readiness efforts at the country level; and whether the assumptions made in terms of external factors and conditions needed to enable and sustain change are valid, and if not, how such discrepancies affect performance. As such, the approach to this evaluation will be adaptive and contingent on the Evaluation Team's evolving understanding of the Programme's theory. The Team will seek to clarify linkages between assumptions and results, the causal relationships between programme and non-programme factors on the achievement of outcomes; and the critical enabling factors (including contextual elements) that appear to support change at higher levels.

Integration of the ToC approach will be particularly important for understanding whether and how UN-REDD is helping to build REDD+ readiness at the country level, that is, whether the design and implementation of the Programme, and its various components, are appropriate for building readiness capacity.

Approach

Pursuant to the overall design of this evaluation, this section presents the evaluation methodology and draft matrix. While firmly grounded in the use of the Programme ToC discussed above, the Evaluation Team's approach to this assignment will be evidence-based, participatory, and utilization-focused.

Evidence-based: Multiple streams of evidence will be martialled at every step of the evaluation process. In addition to data triangulation from evidence collated during this evaluation, the Team will cross-reference its emerging findings and areas of recommendation with the relevant scientific literature to search for commonalities as well as areas of convergence and divergence. Situations where strong differences of opinion and data exist will be used to probe deeper, and better understand the set of factors that contribute to such differences. Though findings will integrate the views and perspectives of key stakeholders, they will likewise be fact-based and informed by triangulated sources of evidence.

Utilization-focused: The Evaluation Team understands that the purpose of this evaluation extends beyond the Programme's reporting and accountability requirements. In light of the pressing concerns of climate change, UN-REDD's performance cannot be considered in isolation of its broader context. Hence, the Evaluation Team's primarily focus on the extent to which the Programme is meeting its intended objectives and results, and in this process, whether the initiative is helping to create the conditions that will lead to fundamental changes in the way forests are considered, managed and used across the world. With the threat of irreversible climate change looming high, the role of the Evaluation Team is not merely that of identifying what works well and what does not, but to highlight, as best it can, the challenges and opportunities that the Programme faces, and attempt to draw useful and realistic recommendations for the way forward.

In continuity with the approach taken during the Inception Phase, the Evaluation Team will maintain close communication with the EMG, Secretariat, and MG – the intended users of this evaluation – to ensure that the assessment critically supports the information needs of the UN-REDD management and Policy Board. Opportunities to review evaluation progress will be provided at critical points during data collection and analysis phases (i.e., Policy Board meeting in December and sharing of preliminary findings and areas of recommendations by the end of January 2014, before the production of the draft

report in February). The purpose of these interactions will be to ensure the usefulness and applicability of the evaluation findings and recommendations. This approach does not decrease the impartiality and independence of the evaluation, as the Team maintains the final say on the content of the evaluation report and it will not accept changes that contravene the evidence-based principle discussed above.

Consultative and Participatory: Finally, in order to build a positive precedent for the evaluation, create a sense of ownership, and foster shared understandings of the study results, the evaluation team will maintain strong communication with senior programme staff throughout the duration of the evaluation. As in the inception phase, programme staff will be consulted for their views on the relative performance of the programme and will be given opportunities to comment the draft report prior to finalization, in order to indicate factual errors of fact and to provide additional information for analysis.

5.1 Inception Phase

In continuity with the purpose of this document, the intent of the Inception phase is to ensure that the EMG and the consultants have a shared understanding of the UN-REDD evaluation (purpose, scope, approach, deliverables and timeline) and that the assessment will address key stakeholders' needs. The primary deliverable for this phase lies in the current Inception Report.

5.1.1 Inception mission

The evaluation process has been initiated through an inception mission in Rome (hosted by FAO) and Geneva (hosted by the UN-REDD Secretariat), where the evaluation team met with programme staff, donors and country partners.

The inception mission served four distinct purposes. First, the mission allowed for the development of mutual trust and confidence between evaluation team members, UN-REDD Secretariat staff and other key stakeholders. The mission was crucial for establishing open patterns of communication, and developing proactive and timely problem-solving measures for the remainder of the assignment.

Second, the intent of the inception phase was to ensure that the EMG and the consultants had a shared understanding of the UN-REDD evaluation (purpose, scope, approach, deliverables and timeline) and that the assessment would address key stakeholders' needs. The inception mission was used to validate the issues and concerns that will need to be addressed by the Evaluation Team, through interviews with UN-REDD Programme staff, members of the MG and SG, and discussions with the EMG. Wherever possible, the team sought to validate its emerging understanding of the key issues that will need to be addressed and likewise tried to focus the realm of inquiry on the more substantive issues. To guide these early discussions, the team relied on a semi-structured interview format that essentially centred on (i) the nature and structure of the Programme; (ii) the areas that seem to be working well; (iii) the bottlenecks and challenges that are being faced; (iv) and the key issues that ought to be addressed through this evaluation at the country, regional and global levels, and in terms of Programme management, administration and coordination.

Third, as part of the inception phase, a draft ToC was developed (see Section 4) to:

- Assess the Evaluation Team's understanding of how the Programme was designed to function, the assumptions that support it and the validity of the causal relationships identified in the theory, including how the Programme purports to achieve the intended chain of results;

- Verify whether there is consistency and coherence between the overall ToC and the way the Programme actually operates, including how contributions from Programme partners and country members are leveraged to achieve key results at the global, regional, national and sub-national levels. Through documented sources of evidence and key stakeholder input, the Evaluation Team developed a preliminary draft of the ToC that captures the key assumptions that underlie the Programme's overall approach. The draft ToC was reviewed and elaborated upon during the inception mission to Rome / Geneva. During the subsequent data collection and analysis segments of the assignment, the Evaluation Team will review and test the soundness of the ToC(s) in light of emerging observations and data from the survey, interviews and field missions. The ToC(s) will be refined as required so that it can serve the Programme as a point of departure for further thinking on this issue for the next reiteration of its strategy.

Finally, the inception mission was used to delineate the boundaries of the assignment, reach agreement on the major questions that will need to be addressed, confirm the timeline and nature of the expected deliverables, discuss and validate the proposed country visits, and obtain all relevant documents that will help inform the Evaluation Team on the issues underscored in the finalised evaluation matrix. This will include a detailed list of all key stakeholders that will need to be interviewed in the course of this assignment (in person and by phone, Skype or video-conferencing).

5.1.2 Further Inception Activities

As part of the Inception phase, the consultants also:

1. Conducted a preliminary review of available documents to help sharpen the focus of inquiry and probe deeper on emerging issues, trends and ideas;
2. Developed a draft Inception Report and evaluation matrix;
3. Constructed a Theory of Change and validated the assumptions, focus and boundaries with key stakeholders during inception mission to Rome / Geneva; and
4. Finalised the proposed methodological approach.

Following feedback from EMG, the Secretariat and members of the MG, the Evaluation Team will revise and finalise the Inception Report as per the feedback and comments received, and subsequent rounds of discussion with members of the EMG, as appropriate.

The consultants will liaise with the EMG throughout this phase to ensure that the proposed workplan meets the requirements of the evaluation and addresses the needs of the UN-REDD Programme.

5.2 Emerging Issues and Methodological Consequences

Inquiries conducted during the inception phase revealed a number of issues that suggested a need to revise the proposed approach to this evaluation. As outlined in the ToR, the evaluation initially placed a strong emphasis on the conduct of country-case studies, the results of which would be synthesized and aggregated to provide an overview of the Programme's performance. However, upon reflection and discussion with the MG and EMG, the value added of such a strategy became less clear. While it is absolutely critical to understand what is happening at the national and local levels, which is best achieved through country visits, the evaluation must also give sufficient attention to the global issues through literature review and meetings with regional and global stakeholders.

To make sense of the issues highlighted by stakeholders during the inception phase (see Text Box), the evaluation will need to move back and forth between global and local perspectives. From planning and management of the UN-REDD Programme, to implementation and changes in the capacities of partnering countries, the challenges and opportunities that affect and condition the Programme's performance will need to be considered at multiple levels of analysis.

Consequently, the methodological approach presented herein differs slightly from what was originally proposed in the final ToR. To answer the central questions of this evaluation, provide value for money, and strengthen the overall usefulness of the assessment, the Evaluation Team will treat country missions as key sources of data along a continuum of inquiry. As discussed with the MG and agreed by the EMG, the evaluation will attempt to provide a more holistic view of the Programme's relative performance. Accordingly, inquiry at the country level (NP and Non-NP countries) will be supplemented by stronger data collection efforts at the regional (Bangkok, Nairobi and Panama), and global levels (e.g., New York – MDTF & UNDP; Washington – WB, USAID; & Geneva – UN-REDD Secretariat).

Emerging Evaluation Issues

UN Interagency collaboration/coordination at the global level;

Management structures (Policy Board, SG, MG, Secretariat, MDTF);

Agency support structures (FAO, UNEP, UNDP);

Alignment / collaboration with other REDD+ initiatives;

Added value of global activities / targeted support to countries;

Influence of global discussions on REDD+;

Planning, implementation & monitoring of National Programmes;

Programme delivery at country level – how it works in practice;

Degree of country interest/ownership;

REDD+ interagency coordination at country/regional levels;

Government / local stakeholder collaboration;

Viability of green economy alternatives / models of sustainable livelihoods;

The degree to which stakeholder engagement (with representation in terms of gender, ethnicity, poverty and resource-dependence) is leading to substantive change at the country-level (e.g., resource rights, downwardly accountable representation, clear collective-choice rights, active participation in the relevant decision-making arenas, etc.)

5.3 Evaluation Phase

The evaluation phase of this assessment will focus on data collection efforts. To strengthen the validity of the assessment's findings and conclusions, the Evaluation Team will rely on mix of data sources and data collection strategies. This section presents the key steps in the approach that will be used to assess the performance of the UN-REDD Programme.

5.3.1 In-Depth Desk Study and Literature Review

The consultants will review the key documents identified by the EMG for the Inception phase. Relevant sources of information will be extracted for use in report writing and as references to validate during key stakeholder interviews. Review of relevant documents will also serve to identify key issues. These will include general background documentation and websites; strategy documents; relevant reports; Programme management notes; design documents, workplans and budgets; as well as monitoring and evaluation reports; policy documents and sector plans. Document analysis will be guided by the key questions highlighted in the evaluation matrix.

Where relevant, the Team will carry out complementary literature reviews to prepare for country visits and provide additional insights on key evaluation questions. The team will also review the key systems such as monitoring and evaluation, financial systems, and coordination and communication mechanisms amongst others.

The main focus of the document review will be to understand how the UN REDD programme was conceived and actually implemented, including the normative beliefs and assumptions that guide REDD+ interventions. Its track record on human rights, forest rights, poverty reduction, equity and gender equality, indigenous populations and resource-dependent communities will also be surveyed. However, given the considerable attention to REDD+ in recent scholarship, the evaluation team will not produce an authoritative review of all relevant contributions. Instead, information will be collated from a sample of the most recent writings on the subject and used in the evaluation to either substantiate emerging observations or provide further clarification as required.

5.3.2 Semi-Structured Interviews of Key Stakeholders

The evaluation consultants will conduct a series of semi-structured interviews and/or focus group sessions as required. The collaboration of the EMG will be appreciated to help set up meetings with key informants. As indicated in the ToR, informants will include a sample of Policy Board members; government stakeholders; members of civil society organisations and indigenous peoples organisations; current and potential donors; country, regional and HQ staff members from the three associate UN Agencies; UN-REDD Secretariat and Programme management staff; as well as representatives from other bi-lateral or multi-lateral initiatives.

Outside of dedicated field missions, the number of respondents with whom Evaluation Team members will be able to communicate is not infinite. These will need to be adjusted to the availability of the Team members and their respective levels of effort on other evaluation tasks. Sixty minutes should be considered per interview, plus time to transcribe and analyse notes. To this end, the Evaluation Team will work closely with the EMG and Secretariat Staff to identify key stakeholders, including donors, experts and other key informants.

5.3.3 E-Surveys

Within the framework of this evaluation, two email/online surveys are anticipated to collect the views of stakeholders on the Programme's performance. The first to be conducted will be among UN-REDD Programme staff (including but not limited to the three participating UN Agencies) and relevant partner agencies. The second will focus on the experiences of government, civil society and the private sector representatives in the supported countries. Drawing on the evaluation matrix, the survey will include generic questions on the performance of the Programme. Divider questions will be used to guide respondents to the issues that matter to them. For instance, whereas programme staff might be queried on matters related to management and coordination, civil society, IPs, focal points and other country representatives might be asked to reflect on the effectiveness of UN-REDD interventions and the challenges they face in terms of achieving or meeting result expectations.

The launch and administration of the surveys will be assured through the consultants. To this end, the Evaluation Team assumes that the EMG and/or UN-REDD Secretariat will share valid contact information—including email addresses—for both Programme staff and country-level stakeholders. The

absence of such consolidated data for country representatives might make it impossible to send out such a survey.

As informed by the UN-REDD Secretariat, the stakeholder categories for the survey are detailed in Exhibit 5.1 below.

Exhibit 5.1 Survey Respondent Categories

UN-REDD Programme Representatives	Country Representatives
Professional Staff;	Country Focal Points;
Support Staff;	National Programme Directors / Coordinators;
Resident Coordinator;	Ministry-level Representatives / other national government representatives;
Regional Officer;	Civil Society Organizations (CSO)/NGO;
Interns;	Indigenous People's Organization (IPO);
Consultants / Technical Specialists.	Permanent observers & Ex Officios from the PB.
	Consultants/technical specialists

The survey instrument will be developed in consultation with the EMG and will be programmed into Fluid Survey, an online survey software in which data is secured and protected under Canadian privacy laws. Survey recipients will be informed ahead of time by the UN-REDD Secretariat, in order to communicate the importance of the survey to each cohort of participants. It is proposed to send out a trilingual letter of introduction (French / English / Spanish), on UN-REDD letterhead, to each participant. A few days after the letter of introduction is sent, the survey process will begin with a pre-test period. A pre-test version of the survey questionnaire will be sent to a random set of recipients (10 to 20, depending on the size of the population) who will be asked for feedback on the functionality and content of the survey. Te responses from these participants will be reviewed to ensure that the survey is well understood and that the online version functions properly. Any required changes will be made at this time, and then the full fielding of the survey(s) will begin. Fielding will consist of sending the same trilingual email and personalized links to all of the remaining participants for the two designated surveys. Where applicable, selective questions will be used to sharpen the focus of survey questions in accordance with respondents' level of knowledge and experience with UN-REDD. Use of personalized links during the survey is important, as this will allow the team to tailor reminders to only those who did not complete the survey. It also ensures that respondents complete the survey only once and that those who do are in fact from the Programme.

5.3.4 Participation in Key Events

This includes participation in Policy Board meetings, notably in Rome, from September 30 to October 4, and Geneva from December 9 to 13. No other events are anticipated for the time-being. Where feasible, these will be used as opportunities for face-to-face interviews with key stakeholders. The facilitated session during the Policy Board meeting will also be used to provide an update on the evaluation's progress.

5.3.5 Field Missions

Information collected at the country level will serve as the central source for providing the key entry point from which to assess the operational performance of the Programme. In addition to country level

information, the Team will gather data at regional and global levels through visits to the UN-REDD regional team offices in Bangkok, Nairobi and Panama and global teams in Rome, Geneva and New York.

For the purposes of the UN-REDD Programme evaluation, a sample of previously evaluated and non-evaluated countries has been selected. Building on the input of the MG, key programme staff from FAO, UNDP and UNEP, and documented sources of evidence, countries were selected on the basis of previous levels of investments (i.e., technical support), the degree of completion of the national programme (NP) or targeted support, and the relative involvement of UN agencies in furthering the readiness of participating countries (see Exhibit 5.2 below). While previously evaluated National Programmes were not considered for country visits, so as to avoid unnecessary duplication of efforts, the Evaluation Team will build on existing data sets to supplement the sample of selected country visits. On this note, information exchanges with past and present NP evaluation teams will be carried out to validate inferences and the Team's interpretation of findings and key issues.

Exhibit 5.2 Unevaluated Countries Receiving Significant UN-REDD Support

Criteria	Africa	Asia	Latin America
Countries with unevaluated NPs	Congo, DRC, Zambia, Nigeria	CAMB, PNG, SRL, PHI, Solomon Isl.	Ecuador, Paraguay, Bolivia
Non NP countries with significant targeted support	Kenya, Sudan	BGD, NP	Colombia, Peru, Suriname, Argentina
Globally significant forests	Congo, DRC	PNG (Borneo)	Ecuador, Bolivia, Perú, Colombia, Suriname, Guyana
Countries with NP just approved/close to approval		SRL	Colombia
FAO Lead		PNG, SRL, PHI	Ecuador, Paraguay, Bolivia
UNDP Lead	All	CAMB, Solomon Isl., BGD, NP	
UNEP Lead			Panama (evaluated)
Stakeholder engagement with IPs/CSOs	All	All	All
Least developed countries	All	CAMB, PNG, NP, BGD, Solomon Isl.	None
Middle-income countries	None	PHI, SRL	Bolivia, Paraguay, Suriname, Guyana
High development	None	PHI,	Ecuador, Panama, Peru, Colombia, Costa Rica, Mexico
Strategic/regional importance for UN-REDD	DRC, Kenya	CAMB, Philippines	Ecuador, Bolivia, Peru, Colombia

Criteria	Africa	Asia	Latin America
Security Concerns	Nigeria	PNG	No issues
High deforestation (agro-based or commercial exploitation)	DRC, Sudan, Nigeria,	CAMB, PNG,, PHI	Bolivia (soy, cattle), Paraguay (soy); Ecuador (colonization, oil palm; oil/gas); Colombia – medium- cattle, colonization, peace process
Lower deforestation	Zambia, Kenya, Congo	NP, BGD, SRL, Solomon Isl.	Suriname, Guyana
Rights/tenure issues.	All	All	Bolivia, Colombia, Mexico

Each field mission is expected to last three to five days (depending on the type of UN-REDD support received). The Team will work with the UN-REDD Secretariat and country focal points and/or coordinators to prepare visits, develop a proposed schedule of interviews and establish initial contact with the selected countries. This step will be especially important due to the need to engage with as broad range of stakeholders as possible, and the Team's limited resources for organizing and setting-up appointments. Each country visit will be preceded by a review of relevant programme documents and other sources of data on the nature of UN-REDD activities in the country, the context within which the initiative operates, and any other related issue as appropriate.

Drawing on the information provided in Exhibit 5.1 above, and additional criteria highlighted in the text above, the Evaluation Team will consider the relative performance of at least three countries per region (including evaluated and non-evaluated NPs, and non-NP countries with significant targeted support) and will conduct phone/Skype interviews with the focal points/coordinators of two (2) countries per region, including countries with NPs or that receive targeted support.
The consultants will prepare a summary country briefing note at the conclusion of each of their country missions.

Exhibit 5.3 Selected Countries for the UN-REDD Programme Evaluation

Countries	Evaluated NPs*	Unevaluated NPs	Non NP Countries	Early NP Process	Significant forests	FAO Lead	UNDP Lead	UNEP Lead	Stakeholder engagement	Least Developed Countries	Middle-Income Country	High Income Country	Strategic/regional importance	High deforestation	Low deforestation	Rights/tenure issues.
Cambodia		X					X		X	X			X	X		X
Colombia				X	X				X			X	X	X		X
D.R. Congo		X			X		X		X	X			X	X		X
Ecuador		X			X	X			X			X	X	X		

Kenya			X						X	X			X		X	X
Indonesia	X				X		X		X		X			X		X
Panama	X							X	X			X			X	X
Paraguay		X				X			X		X			X		
Tanzania	X						X		X	X				X		X
Vietnam	X						X		X		X				X	X
Zambia		X					X		X	X					X	X

* Relevant input will be drawn from the evaluation reports and follow-up discussions with report authors

5.4 Approach to Data Analysis

Throughout data collection, analysis and report writing, the evaluation consultants will adhere to the UNEG Norms and Standards. Depending on the nature of documented sources of evidence and the methods used for collecting data, the consultants will use qualitative and/or quantitative methods of analysis:

- **Descriptive analysis** will be used to understand the various contexts in which the UN-REDD programme operates; how the programme actually functions and coordinates with country partners, donors and other existing initiatives; and how it monitors and tracks its progress.
- **Content analysis** will be used to collate and analyse documents and interview notes in order to identify emerging trends and patterns, as well as diverging perspectives.
- **Quantitative analysis** will be used to interpret survey results and other sources of data as required.
- **Comparative analysis** will be used to compare and triangulate multiple sources of data and methods to ensure the validity and credibility of evaluation findings and minimise the risk of spurious correlations.

Further, the Team will rate evaluation criteria according to a six-point scale, as outlined in the ToR. If applicable, the Evaluation Team will also attempt to establish a counterfactual assessment of the Programme's performance. Should insufficient evidence exist, for instance, to establish a baseline or attribute outcomes to the Programme, the evaluation team will highlight these limitations in the report.

5.5 Analysis and Reporting

The third phase of the assignment will be devoted to the synthesis and analysis of evaluation data and the preparation of the draft report. Two important steps will be considered in this phase.

First, as a preliminary step to the preparation of the draft report, the Evaluation Team will re-convene in Montreal (Canada) for three days of deliberation during the second half of January 2014. The meeting will be used to systematically review the evidence against each of the questions in the evaluation matrix with the purpose of developing and substantiating the major findings, conclusions and areas of recommendations relevant to the purpose and objectives of the evaluation.

Draft evaluation findings and recommendations will be shared with the EMG, MG, SG and the Policy Board for their review, comments and suggestions. The optimal format and modalities to collect this preliminary feedback in the most efficient manner will be determined at a later stage.

In parallel to this, the draft highlights of the evaluation will likewise be shared with an external group of experts, composed of academics, opinion leaders and representatives from leading economic, conservation and rights-based organisations for their review and input. Given the global interest of REDD+ and the need to ensure that the Evaluation Team delivers a fair and honest assessment of UN-REDD Programme, the proposed joint review process will be critical to creating early buy-in, gain agreement on the key messages that should come through, and achieve some level of consensus on what should be done to improve the Programme's overall performance. Conducted through a peer-review format, evaluative statements would be forwarded to a jointly selected group of experts (screened by the EMG and Evaluation Team), along with a set of guidelines for respondents to complete. The information would be compiled anonymously and used to validate the conclusions of the report and feasibility of the proposed recommendations.

Secondly, following the preliminary review of the draft evaluation statements, a complete draft of the report will be developed and include a description of the evaluation's methodology and of the Programme (including a reconstructed Theory of Change), a presentation of findings based on key issues of the evaluation matrix, recommendations (prioritised and addressed to specific stakeholders) and lessons learned, as per the report structure outlined in the ToR.

Two cycles of revisions are anticipated for the production of the final draft. Given that the key messages of the final report will have been pre-screened and agreed upon by all key stakeholders, the first round of revisions should preferably be reserved to the EMG for the sake of efficiency and corrections of any glaring mistakes, edits and language issues that may needlessly detract from the contents of the report. Once revisions are integrated in the draft, the report should be submitted to the report's primary audience, namely the Policy Board, MG, SG and Secretariat, as well as a representative sample of country and regional-level UN agency staff. Comments received on the second draft will provide the bases for the production of the final report.

5.6 Evaluation Framework

Using the key questions outlined in the ToR, and feedback from the Inception process, a detailed Evaluation Framework was developed to support the information needs of this evaluation.

Exhibit 5.4 Evaluation Matrix

Criteria	Key Questions	Sub Questions	Illustrative Indicators	Data Sources and Tools
Relevance	Are the Programme's objectives and implementation strategies relevant: At the Global level? At the National level?	Are objectives and strategies consistent with: • The international REDD+ agenda and negotiations under UNFCCC? • Country needs and priorities as expressed in policies, plans and sector development frameworks? • The corporate mandate, strategies and programmes of the three participating UN Agencies? • The One UN Plans between the government and the UN Organisations? • The changing landscape of international debates and discussions on REDD+?	The degree to which objectives and strategies: • Are aligned with relevant policies, mechanisms and programmes • Support the interests of country partners; • Add value to existing REDD-related programmes or initiatives. • Were adapted to the changing context of international negotiations (this might be difficult to assert)	• Documents (policies, strategies and programmes) • Staff and stakeholder perceptions; • Staff survey; • Policy Board meetings • Country missions
	To what extent is the Programme adapted to its context? How does the programme relate to other REDD+ initiatives?	To what extent are UN-REDD initiatives building on existing systems rather than creating parallel ones? • To what extent is the Programme aligned with existing REDD initiatives, particularly at the national level? • What is the level of coordination with other REDD initiatives? What is the niche of UNREDD, relative to other initiatives (e.g., FCPF, FIP, Carbon Fund, and other bilateral support): • At the global level? • At the national level? To what extent are REDD+ efforts supported at the country-level: • By governments? Their representatives? • By CSOs / CBOs / IPOs? • By the private sector?	The degree to which the Programme builds on existing policies, programmes & mechanisms; The degree of coordination between UN-REDD and existing initiatives; UN contributions to global REDD efforts are clearly identified / build on contributions from others at national / regional levels. Country and programme staff are able to differentiate contributions Programme interventions, from planning to implementation, are carefully monitored to avoid duplication. Degree to which participating country commitment to REDD+ is sanctioned by political/legal decisions, financial allocations, other statements of intent.	• Documents • Staff and stakeholder perceptions; • Staff survey; • Country missions.

Criteria	Key Questions	Sub Questions	Illustrative Indicators	Data Sources and Tools
Relevance	To what extent is the Programme doing the right things?	Given the broad range of issues that stand to affect deforestation and forest degradation, to what extent is the UN-REDD Programme the most appropriate approach: • for achieving REDD readiness at the country-level? • for tackling problems related to deforestation and forest degradation, including the political and economic drivers of deforestation, land cover change and degradation from unsustainable land use practices?	• The degree to which the UN-REDD approach is consistent with the relevant scholarship; • The degree to which the Programme addresses the issues that matter most to country-level stakeholders, including government, IP and CS representatives.	• Documents • Staff and stakeholder perceptions; • Staff survey; • Country missions
	Are the Programme's objectives realistic?	Are the objectives of the Programme realistic in light of: • Political, institutional and economic contexts at the global, regional and national levels? • Programme duration? • Geographic scope? • Allocation of funds? To what extent are the assumptions of the Programme's ToC comprehensive? To what extent do causal relationships' in the Programme's ToC appear realistic?	• Programme duration is aligned with the level of anticipated change • The Programme's geographic scope is manageable with resources available; • Allocated resources are sufficient to meet the Programme's objectives • The political, institutional and economic contexts support the achievement of the Programme's objectives.	• Document review; • Staff and stakeholder perceptions; • Analyses of political, institutional and economic contexts; • Field missions.

Criteria	Key Questions	Sub Questions	Illustrative Indicators	Data Sources and Tools
Effectiveness	Are the Programme's objectives being achieved or expected to be achieved? • At the Global level? • At the National level?	To what extent is the Programme achieving intended results at the outcome level (both short-term and intermediate)? Are key outputs produced in a timely manner? • If there have been gaps or delays, what are their causes and consequences? What factors have influenced the achievement of outcomes, positively or negatively? How is the UN-REDD programme contributing to the wider REDD+ Readiness goals? To what extent is the UN-REDD programme helping to address the underlying drivers of deforestation and forest degradation? What other effects is the UN-REDD Programme having?	The degree to which: • Outputs are perceived by external stakeholders as being of high quality; • Outputs are used by others (incl. other REDD initiatives) • Original timelines have been respected; • Gaps and delays have been justified or efforts have been made to minimise or counter them; • Immediate outcomes Can we speak of outcomes? are producing desired levels of change; • There is tangible evidence of progressions towards formal outcomes (e.g., improved monitoring; increased inclusiveness; equity; capacity-building; knowledge dissemination); • The contributions of UN-partner agencies are equally valued / appreciated.	• Document review of Programme documents; • Staff and stakeholder perceptions; • Staff survey; • Country survey; • Policy Board meetings • Field missions.

Criteria	Key Questions	Sub Questions	Illustrative Indicators	Data Sources and Tools
Efficiency	How efficient is the Programme?	Is the Programme being implemented according to plan? What is the cost and timeliness of key outputs across the three agencies? • What are the leading cost drivers? • How do administrative costs compare to operational costs? How are costs distributed between national and global programme components? • Is this a fair balance or distribution? • What is the breakdown (administration, staff, consultancies etc.) at national level? Have there been significant delays or cost-overruns? Is inter-agency coordination efficient? • Are Agency capacities being fully leveraged – strategically or operationally linked? • To what extent are decision-making processes efficient?	• Time and cost-saving measures have been taken by the Programme; • Explicit efforts have been made to mitigate or avoid delays and overruns; • Explicit efforts have been made at the global and regional levels to leverage pre-existing results, partnerships, synergies and approaches.	• Document review; • Staff and stakeholder perceptions; • Policy Board meetings; • Field missions.

Criteria	Key Questions	Sub Questions	Illustrative Indicators	Data Sources and Tools
Likelihood of Impact[35]	What is the likelihood that the Programme will have an impact?	To what extent is the Programme helping to create the conditions that are likely to lead to impacts? • What evidence is there that the Programme is helping to reduce deforestation and/or forest degradation, whether intended or unintended? • To what extent is the Programme contributing to changes in values, beliefs and actions of national stakeholders? What are potential impacts, positive or negative, intended or unintended of the overall Programme? To what extent is the Programme contributing to the attainment of national objectives in supported countries? To what extent are Programme achievements having a positive effect on deforestation and forest degradation trends at the national level? • Is the programme contributing to improved socio-economic conditions? • Is the programme contributing to positive changes in terms of government policies? • Are outcomes contributions helping to address deforestation and forest degradation?	• The Programme's implicit TOC is thorough / assumptions are valid; • Causal linkages between output and outcome level results are empirically grounded • Progress from inputs to outputs and outcomes is on track; • Progress from inputs to outputs and outcomes is occurring in a timely fashion; • Progress is being monitored; • Unintended impacts are being efficiently leveraged or resolved.	• Review of Outcomes towards Impact approach; • Document review; • Staff and stakeholder perceptions; • Policy Board meetings; • Analysis of internal monitoring mechanisms and data capturing systems; • Field missions.

35 "Since impact is a result of long term change, and requires specialised tools to be measured, this evaluation will only assess the likelihood of impact, and the processes in place and progress made towards it." (ToR, p. 9)

Criteria	Key Questions	Sub Questions	Illustrative Indicators	Data Sources and Tools
Sustainability	What is the likelihood that results will continue once Programme funding and assistance has ended?	How sustainable are Programme achievements likely to be from a social-political point of view? • What factors influence the maintenance of Programme results? What incentive is there to achieve intermediate and long-term outcomes? • Is there sufficient awareness? Interest? Commitment? – Whether from government? The private sector? • What is the buy in of governments (i.e., willingness to continue after NP ends)? How are international negotiations likely to affect UN REDD?	• Enabling conditions have been established, including wide-spread stakeholder buy-in; • The programme furthers poverty reduction efforts; • Land tenure/forest rights are addressed / dully considered; • Stakeholders express a shared commitment to the Programme; • Clear benefit sharing mechanisms are established, along with effective monitoring and enforcement measures	• Document review; • Staff and stakeholder perceptions; • Policy Board meetings; • Field missions.
Ibid	Ibid	How sustainable are Programme achievements likely to be from an economic and/or financial perspective? • To what extent is the achievement of immediate, intermediate and long-term results dependent upon continued external funding? • To what extent are Programme-related activities likely to continue once external funding ends? Is more alignment with other REDD mechanisms likely? (including financing of activities, e.g. FIP) What is the likelihood that donors will continue to finance REDD if a post-2012 agreement cannot be reached in 2015?	• Potential, expected or confirmed financial resources; • Degree to which stakeholders are prepared to contribute their own resources to implement the Programme; • Degree to which synergies have been created with other Programmes.	• Ibid

Criteria	Key Questions	Sub Questions	Illustrative Indicators	Data Sources and Tools
		How sustainable are Programme achievements likely to be from an institutional point of view? • To what extent are immediate outcomes leading to desired changes in the institutional arrangements of partner countries? • To what extent is the Programme engaging with the right partners / interlocutors to create long term sustainability? • To what extent are changes (if any) in the rules that govern forest resource use supported by clear monitoring and enforcement measures? • To what extent are REDD+ investments being institutionalized by participating countries?	Local, national and global institutional arrangements are revised / consistent with Programme objectives; Monitoring and enforcement measures are clear; Low-cost adjudication measures are established;	
		• How are future environmental changes likely to affect the achievement of the Programme's long-term outcomes? • Are there any foreseeable negative environmental impacts that could result from scale-up?	Programme implementation is consistent with national / international commitments to biodiversity conservation; The Programme supports or maintains the needs of resource-dependent communities; Risk-mitigation strategies are prepared and implemented	• Review of reconstructed TOC; • Document review; • Staff and stakeholder perceptions; • Policy Board meetings; • Field missions.
	What is the likelihood that the Programme can be scaled-up?	How is the Programme promoting up-scaling? • What are the assumptions / conditions that support scale-up efforts? • To what extent is the Programme's model effective / robust enough to achieve successful replication / up-scaling? • Who or what entity is better positioned to ensure successful scale-up? • How should replication / scaling-up proceed?	The degree to which lessons / best practice are being captured and shared; Degree to which lessons learned are transferable across social-ecological boundaries Examples of up-, out- and inscaling	• Ibid

Criteria	Key Questions	Sub Questions	Illustrative Indicators	Data Sources and Tools
Cross-cutting issues	What are the key cross-cutting issues that must be considered for this Programme?	How has gender been considered in the Programme's design and implementation?	The degree to which: • Gender issues are reflected in Programme objectives, design, identification of beneficiaries and implementation; • Gender relations and equality are likely to be affected by the Programme; • Gender issues are considered in Programme management; • The planned distribution of costs and benefits among stakeholders is even; • Stakeholder perceptions of Programme contributions to the normative work of the three participating UN Agencies. • Gender considerations being effectively included in staff, management structures and partners	• Document review; • Staff and stakeholder perceptions; • Field missions.
		How have forest-dependent communities been considered in the Programme's design, management and implementation? • To what extent is REDD likely to increase or improve the livelihoods of forest dependent communities? • To what extent are resource rights / tenure issues adequately addressed by the UN-REDD Programme? • What safeguards protect the long-term interests of forest dependent and/or rural communities? • How do local stakeholders perceive the programme?	The degree to which: • Forest communities and indigenous people are participating in decision-making for the Programme; • Appropriate tools, methods and approaches are being promoted to ensure that their views are considered; • UN-REDD is making credible efforts to introduce Free Prior Informed Consent for forest communities in both national and local policy.	• Document review; • Staff and stakeholder perceptions; • Field missions.
		How has capacity-development been considered in the Programme's design and implementation? • Was CD from global level an added value? In terms of costs, frequency, level, etc. • Can countries/beneficiaries demand/request the form and type of CD they need? • Is CD based on needs assessments? Is it monitored?	The degree to which: • Efforts have been made toward capacity building among beneficiaries; • Stakeholders perceive these efforts and outputs to be of high quality; • Stakeholders perceive possibilities for wider diffusion or institutional uptake and mainstreaming of new capacities.	• Document review; • Staff and stakeholder perceptions; • Field missions.

Criteria	Key Questions	Sub Questions	Illustrative Indicators	Data Sources and Tools
		What are the Programme's norms, guidelines and safeguards? • Are they effective? • How are they used? • What effect (if any) do they have on the achievement of results?	The degree to which: • The National Programmes are aligned with the Programme's normative products; • UN-REDD Programme has influenced the UNFCCC negotiation process and agreements regarding REDD+.	• Document review; • Staff and stakeholder perceptions.
Factors affecting performance	What are the key internal affecting the achievement of results?	To what extent has the overall performance of the UN-REDD Programme been affected by the way it was designed and structured? • Is the logic of the Programme appropriate? • Is the design appropriate for achieving intended results? • Does it address all the crucial elements? • Is it doing the rights things (e.g., activities, trainings, workshops, etc.)? • Are the criteria used to select National Programmes appropriate?	The degree to which: • The Programme's results framework and TOC are clear and logical; • The implicit TOC is realistic and robust; • Links between outputs, outcomes and impacts are logical and adequate; • Implementation strategies and approaches are adequate; • The design process was appropriate and adequately resourced; • Identified stakeholders and beneficiaries is sufficient; • Selection criteria for national programmes are appropriate.	• Document review; • Staff and stakeholder perceptions.
		To what extent is the performance of the UN-REDD Programme affected by its organisation, coordination and management arrangements? • How has coordination amongst the three UN agencies affected the achievement of results at the country-level? At the Global level?	The degree to which: • Coordination arrangements have been clearly defined; • Roles and responsibilities of UN Agencies are aligned with the mandate and comparative advantage of each; • Management and supervision arrangements are perceived as adequate; • The Policy Board's role, guidance and decisions are perceived as sufficient; • The timeliness and perceived quality of administrative and technical support provided by the three UN Agencies.	• Document review; • Staff and stakeholder perceptions.

Criteria	Key Questions	Sub Questions	Illustrative Indicators	Data Sources and Tools
		To what extent is the performance of the UN-REDD Programme affected by the administration of its financial and human resources?	The extent to which: • The distribution and stability of funding is adequate to achieve Programme objectives; • Budget revisions coherently match Programme needs; • Allocations and expenditures for each type of intervention and by different partners are adequate and sound; • Systems and processes for financial management are transparent, effective and high quality;	• Document review; • Staff and stakeholder perceptions.
	To what extent is stakeholder cooperation, between government, CSOs, IPOs, and the private sector affecting the achievement of results?	To what extent has the programme considered inter-sectoral coordination at national level? • Is there a good alignment between forest-based interests and other activities or development initiatives? • Are private sector representatives adequately involved in REDD+ discussions? • Are CSOs/NGOs/IPOs adequately integrated in local decision-making processes? • Are CSOs/NGOs/IPOs and private sectors operators recognised as key agents of change for REDD+ implementation?	• The degree to which key partners are identified and their commitment is secured at critical stages of the Programme; • The overall quality of collaboration with and between partners involved; • The degree to which coordinating mechanisms are effective and incentives are adequate; • Timeliness and perceptions of quality of inputs from partners; • The degree to which stakeholders and partners have been involved in planning and implementation; • The extent to which synergies and complementarities have been leveraged and optimised.	• Document review; • Staff and stakeholder perceptions.

Criteria	Key Questions	Sub Questions	Illustrative Indicators	Data Sources and Tools
	Is M&E in place?	To what extent is the performance of the UN-REDD Programme affected by its monitoring, evaluation and reporting mechanisms? Does programme at all its levels (global, national, TS) work with clear goals and indicators and are these being measured/reported? Is monitoring and reporting being communicated and systematized at a central level? Does the programme, at different levels, adapt actions according to evaluation results?	The extent to which: • Reporting on outputs, outcomes and impacts is regular, comprehensive and of high quality; • Quality assurance processes are implemented; • Internal review and monitoring systems are clear and adequately resourced; • Monitoring information is applied for programme steering and management; • Performance indicators are used to assess achievements; • Programme activities are evaluated independently and these evaluations are adequately resourced.	• Document review; • Staff and stakeholder perceptions.

6. Tasks and Deliverables

6.1 Deliverable 1: Inception Report

The current document, the Inception Report, has been prepared in accordance with the ToR, and is hereto submitted in draft form for review. It outlines the evaluation methodology, the schedule of review activities and the timeline for completion relative to expected deliverables.

Included in the Inception Report is a draft review matrix, a preliminary list of people to be interviewed and a list of documents reviewed. The Inception Report will be amended and finalised by the consultants in November 2013.

6.2 Deliverable 2: Presentation of Preliminary Findings/Observations

The consultants will produce a preliminary overview of emerging issues and observations from on-going data collection efforts, to be shared with members of the Policy Board during the week of December 9, 2013. Feedback from this session will be used to consolidate data further and develop the draft findings, conclusions and areas of recommendation, which will be shared separately with the EMG, MG, SG, Secretariat and Policy Board in the last half of January.

6.3 Deliverable 3: Country Briefing Notes

The evaluation team will produce briefing notes for the 7 countries it will visit and completed NP evaluations. Written in bullet form, the briefing notes will be organized according to the OECD-DAC criteria and used to summarize preliminary observations, highlight examples of best practice, and draw useful conclusions. These will serve to highlight successes and challenges specific to the different national contexts, which will likewise be explained for each country-visit.

6.4 Deliverable 4: Draft Findings

In alignment with the evidence-based and utilization-focused approach of this evaluation, the Evaluation Team will develop preliminary drafts of findings, conclusions and areas of recommendation. Produced in a succinct format (point-form, 3 to 5 pages), the draft findings will address the key questions of the evaluation matrix and aim to provide an overview of the Programme's performance. Crucial to development of a robust report, the draft findings will be share with the EMG, MG, SG and PB for their input, comments and feedback. A videoconferencing session or in person workshop could likewise be organised to answer questions and discuss the draft elements with key stakeholders. In parallel, the document will be shared with a group of experts for their feedback. Strong stakeholder buy-in at this stage of the reporting process will help ensure the delivery of a more robust draft report.

6.5 Deliverable 5: Draft Evaluation Report

The consultants will then prepare a draft evaluation report for January 2014, within four weeks of concluding the field missions. The report will be drafted in English and will contain the fully developed

findings, conclusions, lessons and recommendations emerging from the review. The latter will be prioritised and addressed to different stakeholders. The country case studies will be included in annex.

The report will be 15-18 000 words in length, excluding the executive summary and annexes. Supporting data and analysis will be annexed to the report when deemed necessary.

6.6 Deliverable 6: Final Evaluation Report

The team will submit the final evaluation report in March 2014, including a "Response to comments matrix" to show how comments received were integrated into the report, as deemed appropriate.

The proposed outline of the review report coincides with the structure presented in the ToR, with the addition of the eight Country Case Studies in Annex I:

Acknowledgements

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7. Lessons learned

Annexes will include, though are not limited to, the following:

I. Eight Country Case Studies
II. Evaluation Terms of Reference
III. Evaluation Framework
IV. Additional methodology-related documentation and evaluation tools;
V. Detailed output matrix
VI. Detailed ROtI analysis
VII. Brief profile of evaluation team members
VIII. List of documents reviewed
IX. List of institutions and stakeholders met during the evaluation process. (The team will decide whether to report the full name and/or the function of the people who were interviewed in this list.)

7. Evaluation Schedule

The following table presents a revised outline of the anticipated schedule of activities within the framework of this evaluation, as found in the ToR.

Exhibit 7.1 Schedule of Activities

N°	Activity	Months																													
		September				October				November				December				January				February				March				April			
		W1	W2	W3	W4	W1	W2	W3	W4	W1	W2	W3	W4	W1	W2	W3	W4	W1	W2	W3	W4	W1	W2	W3	W4	W1	W2	W3	W4	W1	W2	W3	W4
1. Inception Phase																															
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	1.2 Initial document review																														
	1.3 Inception mission prep & draft Theory of Change																														
	1.4 Inception Mission to Rome/Geneva																														
	1.5 Draft Inception Report																														
	1.6 Discuss inception report with EMG																														
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	2.5 Draft & launch of electronic survey																														
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Appendix I Terms of Reference

Background and Context

1. The UN-REDD Programme is the United Nations collaborative initiative on Reducing Emissions from Deforestation and forest Degradation (REDD) in developing countries. The Programme was launched in 2008 and builds on the convening role and technical expertise of the Food and Agriculture Organisation of the United Nations (FAO), the United Nations Development Programme (UNDP) and the United Nations Environment Programme (UNEP), referred to as the participating UN Organizations. The UN-REDD 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.

2. The Programme supports national REDD+ readiness efforts in 46 partner countries, spanning Africa, Asia-Pacific and Latin America, in two ways: (i) direct support to the design and implementation of **UN-REDD National Programmes**; and (ii) complementary support to national REDD+ action through common approaches, analyses, methodologies, tools, data and best practices developed through the **Global Programme**. In accordance to the objectives established in the UN-REDD Strategy 2011-2015, from 2011 the support provided within the Global Programme is threefold - International Support Functions, Country Specific Support, and the work of the Secretariat, as outlined in the "Support to National REDD+ Action- Global Programme Framework Document 2011-2015"

3. Over the past four years, the UN-REDD Programme has grown from supporting nine initial pilot countries, to the current 46 partner countries. Many changes have taken place, both externally and within the Programme. As the REDD+ landscape and countries' needs evolve, the Programme will need to review its objectives and ensure it is meeting the needs of countries as they gradually move beyond the Quick Start and initial readiness phase.

4. As such, it is time to take stock. At the ninth Policy Board meeting in Brazzaville 26-27 October 2012, the Board requested an external evaluation of the UN-REDD Programme be undertaken in 2013, and requested the Secretariat propose a work-plan and process to the Policy Board inter-sessionally. These terms of reference (ToR) have also been developed in response to that request. They were presented and discussed at the tenth Policy Board meeting in Lombok, Indonesia 25-28 June 2013.

UN-REDD Programme Objective, Expected Outcomes and Outputs

5. As set out in the UN-REDD Programme Strategy 2011-2015[36], the **objective** of the UN-REDD Programme is to 'promote the elaboration and implementation of National REDD+ Strategies to

[36] UN-REDD Programme Strategy 2011-2015, available at:

achieve REDD+ readiness, including the transformation of land use and sustainable forest management and performance-based payments'. To achieve this objective, the Programme has identified seven integrated work areas to deliver targeted, in depth and strategic support to partner countries as presented in Table 1:

Table 1. UN-REDD work areas with their expected outcome and lead Agency

Work area	Outcome	Lead Agency
1. MRV and Monitoring	REDD+ countries have systems and capacities to develop and implement Measurement, Reporting, Verification (MRV) and monitoring	FAO
2. National REDD+ Governance	Transparency, inclusiveness and effectiveness in national REDD+ governance increased	UNDP
3.Stakeholder engagement	Indigenous Peoples, civil society and other stakeholders participate effectively in national and international REDD+ decision-making, strategy development and implementation	UNDP
4. Multiple benefits	Multiple benefits of forests are realized and ensured in REDD+ strategies and actions	UNEP
5. Transparent, equitable and accountable management	National fund management and equitable benefit sharing systems are operational for REDD+ performance based payments	UNDP
6. Sector transformation[37]	Strengthened national and sub-national capacities to develop sustainable REDD+ investment strategies and portfolios	UNEP
7. Knowledge Management and Dissemination[38]	UN-REDD programme knowledge is developed, managed, analyzed and shared to support REDD+ efforts at all levels	UN-REDD Programme Secretariat

Programme Structure and Executing Arrangements

6. The UN-REDD Programme is governed by a **Policy Board**, which provides policy direction and approves financial allocations. It is composed of representatives from member countries (three from each regional constituency – Africa, Asia-Pacific and Latin America and the Caribbean), the three largest donors to the Multi-Donor Trust Fund, representatives of civil society organizations and Indigenous Peoples, and the three UN-REDD Programme Participating Organizations- FAO,

http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=4598&Itemid=53

[37] In the UN-REDD Programme SNA-GP Framework 2011-2015, this work area has been renamed 'REDD+ as a catalyst for transformations to a Green Economy' upon request of UNEP, with the expected outcome of 'Green Economy transformation processes catalyzed as a result of REDD+ strategies and investments'.

[38] The seventh work area on Knowledge Management and Dissemination was introduced in the UN-REDD Programme SNA-GP Framework 2011-2015

UNDP and UNEP. Countries from each regional constituency that are not currently members may participate as observers. The Secretariats of the UNFCCC and GEF as well as the World Bank, representing the FCPF, are permanent observers. The MPTF Office is an ex-officio member of the Policy Board.

7. The Participating UN Organizations, **FAO, UNDP and UNEP** assume full programmatic and financial accountability for the implementation of the Programme in accordance with their expertise and comparative advantages: FAO on technical issues related to forestry, natural resources and supporting specifically the development of REDD+ monitoring, including measurement, reporting and verification (MRV) systems; UNDP on national coordination with its near universal country presence, its focus on governance, socio-economic implications of REDD+ and the engagement of Indigenous Peoples and civil society; and UNEP in convening expertise and decision-makers in the REDD+ agenda, increasing knowledge and capacity on multiple benefits of REDD+ and facilitating the conditions to move towards a low carbon economy by transforming the forest sector through analysis, scenario development and assessment of options for investments.

8. Internal Programme Governance of the UN-REDD Programme is provided by the Strategy Group, Management Group and UN-REDD Programme Secretariat. The **Strategy Group** ensures clear strategic direction related to the UN agencies contributions to the UN-REDD Programme. The **Management Group**'s main function is to ensure effective programme management to deliver high quality services to participating countries. Effective programmatic coordination, quality assurance, and administrative and logistical support for the key decision-making bodies of the UN-REDD Programme is provided through the **UN-REDD Programme Secretariat**, an inter-agency unit of the three Participating UN Organizations, located in Geneva, Switzerland.

9. The **MPTF Office** serves as the Administrative Agent for the UN-REDD Programme Fund. Its responsibilities include the receipt, administration and management of contributions from donors; disbursement of funds to the Participating Organizations in accordance with instructions from the UN-REDD Programme Policy Board; and consolidation of the annual narrative and financial reports produced by the Participating Organizations. The MPTF Office performs the full range of Administrative Agent functions in accordance with the UNDG-approved 'Protocol on the Administrative Agent for Multi-Partner Trust Funds'.

Programme Cost and Financing

10. Total deposits to the UN-REDD Programme amounted to US$167,377,224 as of March 2013, as shown in Table 2. Table 3 presents current donor commitments.

Table 2: Programme Financing: Total Donor Deposits into the UN-REDD Programme Fund, cumulative as of March 2013 (in US dollars thousands)

Donor Name	2008	2009	2010	2011	2012	2013	Grand Total
EC						11,762	11,762
Denmark		1,917	6,160	-			8,077
Luxemburg						1,336	1,336
Japan				3,046			3,046
Norway	12,000	40,214	32,193	21,411	35,375		141,193
Spain			1,315		648		1,963
Grand Total	12,000	42,131	39,668	24,457	36,023	13,098	167,377

Table 3: Donor Commitments (Pledges) as of March 2013 (in US dollars thousands)

Donor Name	Amount
EC	1,298
Luxemburg	1,326
Total	2,624

Table 4: Interest received by the Fund as of March 2013 (US dollars thousands)*

	Interest					
	2008	2009	2010	2011	2012	Total
Fund Interest	187	591	573	335		1,686
Participating Organizations			62	169	200	431
Total	187	591	635	504	200	2,117

*updated as per latest information available on the MPTF programme page but subject to change

Programme Implementation Status

11. By the end of 2012, the UN-REDD Programme had 46 partner countries, see table 5 below. 16 countries had funding requests to support their National Programmes approved by the Policy Board, including 2 (Indonesia and Viet Nam) who concluded implementation of activities and operationally closed their National Programmes. A total of US$67 million has been allocated for these 16 National Programmes.

12. Between 2009 and 2012, US$98 million has been allocated to the Global Programme for international support to REDD+, as well as support to the UN-REDD Partner countries to advance

their REDD+ efforts. As mentioned previously the Global Programme also supports the Secretariat of the UN-REDD Programme.

Table 5. List of UN-REDD Programme partner countries, 1 January 2013 (46 in total)

Africa (17)	Asia-Pacific (15)	Latin America and the Caribbean (14)
Benin	Bangladesh	Argentina
Cameroon	Bhutan	Bolivia (Plurinational State of)*
Central African Republic	Cambodia*	Chile
Congo*	Indonesia*	Colombia
Côte d'Ivoire	Lao People's Democratic Republic	Costa Rica
Democratic Republic of the Congo*	Malaysia	Ecuador*
Ethiopia	Mongolia	Guatemala
Gabon	Myanmar	Guyana
Ghana	Nepal	Honduras
Kenya	Pakistan	Mexico
Morocco	Papua New Guinea*	Panama*
Nigeria*	Philippines*	Paraguay*
South Sudan	Solomon Islands*	Peru
Sudan	Sri Lanka*	Suriname
Uganda	Viet Nam*	
United Republic of Tanzania*		
Zambia*		

* Countries receiving support for National Programmes (16 countries in total).

The Evaluation

13. As provided for in the UN-REDD Programme Strategy 2011-2015, the UN-REDD Programme 'will commission independent and rigorous evaluations on completed and on-going activities to determine whether they are achieving stated objectives and contributing to decision making. The overall Programme will be externally evaluated every two to three years'. The Policy Board requested an external evaluation of the UN-REDD Programme be undertaken in 2013 (Policy Board Decision 9/2).

14. An **Evaluation Management Group** (EMG) is set up comprising of the three participating UN Organizations' evaluation departments[39]. It will be chaired by the Evaluation Office of UNEP and supported by the UN-REDD Programme Secretariat. All decisions made regarding the evaluation process, recruitment of consultants, evaluation budgeting, deliverables etc. are made by the EMG in consultation with the Secretariat to ensure full independence of the evaluation process. An approval or objection by the majority (two out of three) evaluation departments will be acceptable for decision making within the EMG if consensus by a deadline is not reached or one of the evaluation office staff is unable to participate. The EMG will, through the UN-REDD Secretariat, regularly consult with the UN-REDD Policy Board.

15. The Evaluation will be conducted by an **independent team of evaluation consultants** who will report to the evaluation departments of UNEP, UNDP and FAO. The UN-REDD Secretariat will facilitate and assist the evaluation process.

16. The Policy Board will provide insights and other inputs into evaluation deliverables, and promote learning and ownership of the evaluation findings and recommendations among UN-REDD partners.

Evaluation Objective and Scope

17. The **main purpose** of the first external evaluation of the UN-REDD Programme is to make a broad and representative assessment of the programme performance in terms of relevance, effectiveness (outputs and outcomes) and efficiency, and to the extent possible determine impacts (actual and potential) stemming from the programme, including their sustainability.

18. The evaluation has three **primary objectives**: (i) to provide evidence of results to meet accountability requirements, (ii) to promote learning, feedback and knowledge sharing through results and lessons learned among the Policy Board, participating UN Organizations and other partners, and, (iii) to inform revision of the UN-Programme Strategy. Therefore, the evaluation will identify lessons of operational and technical relevance for future programme formulation and implementation, especially future UN-REDD National Programmes, and for the UN-REDD Programme as a whole.

19. The **scope** of the evaluation is the UN-REDD Programme over the five year period from the time of its inception in June 2008 to 30 June 2013. The evaluation will encompass the activities and geographical scope of the UN-REDD Programme as a whole, including both the National Programmes and the SNA-GP.

20. The **primary audience** for the evaluation will be the UN-REDD Policy Board, and the three participating UN Organizations of the UN-REDD Programme. The secondary audience for the evaluation will be the relevant institutions of all countries participating in UN-REDD interventions, other REDD+ initiatives, along with the broader REDD+ community. The evaluation will also be made available to the public through the UN-REDD Programme website and the websites of the evaluation departments of the participating UN agencies among others.

[39] The UNEP Evaluation Office, the FAO Office of Evaluation and the UNDP Evaluation Office.

Evaluation Criteria

21. To focus the evaluation objectives by defining the standards against which the initiative will be assessed, the following six internationally accepted evaluation criteria will be applied:

i) **Relevance**, concerns the extent to which the UN-REDD Programme and its intended outcomes or outputs are consistent with policies and priorities and the needs of the intended beneficiaries. Relevance also considers the extent to which the initiative is responsive to the UN-REDD Programme Strategy 2011-2015 (or the UN-REDD Programme Framework Document for Programmes approved before November 2010) and the corporate plans of the three participating UN Organizations. Relevance vis-a-vis the international REDD+ agenda and negotiations under the UNFCCC as well as vis-à-vis other REDD+ or REDD+-related programmes should also be examined.

ii) **Effectiveness**, measures the extent of which the Programme's expected outcomes (Table 1) have been achieved or the extent to which progress towards these outcomes has been made.

iii) **Likelihood of impact**, measures to what extent the 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 the environment and how it affects human well-being. 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.

iv) **Sustainability and up-scaling**, analyses 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 programme, institutional and governance factors, and environmental risks.

v) **Efficiency**, measures how economically resources or inputs (such as funds, expertise and time) were used to deliver high quality goods and services (outputs), and how timely these outputs have been delivered.

vi) **Cross-cutting issues** such as gender mainstreaming in the programme, integration of social and environmental safeguards at design and during implementation, and contributions to broader organisational learning of the participating agencies.

22. The basis for the performance assessment will be the **Theory of Change (ToC)** of the UN-REDD Programme[40]. A ToC depicts the logical sequence of desired changes (also called "causal pathways" or "results chains") to which an intervention, programme, strategy etc. is expected to contribute. It shows the cause-to-effect linkages from project outputs (goods and services delivered

[40] GEF Evaluation Office, (OPS4) Progress towards Impacts: The ROtl Handbook: Towards enhancing the impacts of environmental projects – Methodological paper 2:
http://www.thegef.org/gef/sites/thegef.org/files/documents/M2_ROtI%20Handbook.pdf

by the project) over outcomes (changes resulting from key stakeholders' use of project outputs) towards impact (changes in living conditions and environmental benefits), including any intermediate changes that need to happen between project outcomes and impact (called intermediate states). A ToC further defines the external factors that affect changes along the pathways, namely:

- **Drivers** – these are external factors partly under control of the programme, such as national stakeholder ownership, that help "drive" change processes along the causal pathways;
- **Assumptions** – these are external factors entirely outside the programme's control that affect the achievement of outcomes, intermediary states and impact.

23. The timely delivery of quality outputs by the programme and the use of these outputs by stakeholders are also affected by internal **factors affecting performance**. The evaluation will carefully assess those factors, such as preparation and readiness of the programme, stakeholder participation, overall management and adaptation to changing conditions, financial planning, effectiveness of implementing agencies, internal coordination and supervision mechanisms, and coordination with other relevant donors projects/programmes; as to understand why performance has been better on certain aspects then others. This deeper understanding of factors affecting performance will likely generate important lessons.

Evaluation Questions

24. The following list includes standard questions and issues that the UN-REDD Programme evaluation should address. It is based on the standard evaluation criteria mentioned above, i.e. relevance, effectiveness, efficiency, impact and sustainability, as well as an additional category of questions regarding factors affecting programme performance. The evaluation will assess the UN-REDD Programme as follows:

Strategic relevance of the UN-REDD Programme

25. The evaluation will assess, in retrospect, whether the programme's objectives and implementation strategies were consistent with:

- The international REDD+ agenda and negotiations under UNFCCC;
- Countries' needs and development priorities as expressed in national policies and plans as well as in sector development frameworks;
- UN Country Programmes or other donor assistance frameworks approved by the governments of the partner countries;
- The corporate mandate, strategies and programmes of work of the 3 participating UN agencies;
- The One UN Plans between the Government and the UN Organizations;
- Other REDD+ related programmes, payment for ecosystem services schemes and livelihood programmes for forest-dependent and indigenous peoples in the countries.

- How well were existing policies, programmes, mechanisms and experiences taken into consideration in partner countries and at the global/regional level so that REDD+ readiness could be built as much as possible on improving those rather than on the creation of new, parallel ones?

26. The evaluation will also assess whether the programme objectives were realistic, in light of the programme duration, its geographical scope and its allocated funding, and considering the baseline situation and the global, regional and national political, institutional and economic contexts in which the programme is operating.

Results and contribution to stated objectives

Delivery of Outputs

27. The evaluation will assess, for each component, the extent to which the expected outputs have been produced, their quality and timeliness, and any gaps and delays incurred in output delivery and their causes and consequences.

28. Ideally, the evaluation team should directly assess all outputs, but this is not always feasible due to time and resource constraints. Therefore, a detailed analysis should be done on a representative sample of outputs that were assessed directly, while a complete list of outputs and their delivery rate and quality, prepared by the programme team, should be included as annex.

Effectiveness

29. The evaluation will assess the extent to which the programme's objectives were effectively achieved or are expected to be achieved.

30. For this, the evaluation will reconstruct the Theory of Change (ToC) of the UN-REDD programme (see paragraph 22 above) based on a review of project documentation and stakeholder interviews. The assessment of effectiveness will then focus on the following questions:

- Extent to which the immediate outcomes, as defined in the reconstructed Theory of Change, have been achieved by the programme;
- Extent to which the formal component outcomes (see Table 1 above) have been achieved, referring as much as possible to the assessment made under the previous point to avoid repetition;
- The contribution of the three participating UN agencies, the UN-REDD Programme Secretariat and partner countries to the achievement of those ToC and formal outcomes.
- A summary of the main factors influencing the achievement of outcomes (with reference to the more detailed analysis that will follow under the "Factors affecting performance").

31. A key question under effectiveness will be what the current status of REDD+ readiness is in the supported countries, considering the most currently agreed REDD+ readiness criteria, and to which extent the UN-REDD Programme has contributed to meeting each criterion.

Likelihood of Impact

32. The evaluation will assess actual and potential, positive and negative impacts produced by the initiative, directly or indirectly, intended or unintended. Since impact is a result of long term change, and requires specialised tools to be measured, this evaluation will only assess the likelihood of impact, and the processes in place and progress made towards it.

33. The evaluation will use a Review of Outcomes towards Impact (ROtI) approach to assess the likelihood that results achieved by the UN-REDD programme (will) contribute to long-term impact on environmental benefits and sustainable development. This theoretical approach is warranted because there is likely to be a significant time lag between the programme's outputs such as "Tools, methods and guidance to encourage the capture of multiple benefits" and outcomes in terms of behavioural change such as "Multiple benefits of forests are realized and safeguarded in REDD+ strategies and actions", over intermediate states such as "Sustainable forest management" towards impact such as "Climate change mitigation and improved human well-being". In addition to the time lag, the UN-REDD programme's contribution to impact becomes much harder to assess the further along the causal pathways the assessment is conducted. It is, however, possible to enhance the reliability of the assessment of likelihood of impact and of the extent of the programme's contribution, through a rigorous review of progress along the pathways from output to outcome to impact set out in the Theory of Change of the programme. The ROtI will also assess to what extent the drivers and assumptions are present, that are deemed necessary for UN-REDD outputs to lead to outcomes, and those outcomes to yield impact.

Sustainability and Up-scaling

34. **Sustainability** is understood as the probability of continued long-term programme-derived results and impacts after the external programme funding and assistance has ended. The evaluation will identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of benefits. The reconstructed ToC will assist in the evaluation of sustainability.

35. Four aspects of sustainability will be addressed:

(a) *Socio-political sustainability.* Are there any social or political factors that may influence positively or negatively the sustenance of programme results and progress towards impacts? Is the level of ownership by the main national, regional and global stakeholders sufficient to allow for programme results to be sustained? Are there sufficient government and stakeholder awareness, interests, commitment and incentives to execute, enforce and pursue the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the programme?

(b) *Financial resources.* To what extent are the continuation of programme results and the eventual impact of the programme dependent on continued (external) financial

support? What is the likelihood that adequate financial resources[41] will be available to implement the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project? Are there any financial risks that may jeopardize sustenance of programme results and onward progress towards impact?

(c) *Institutional framework.* To what extent is the sustenance of the results and onward progress towards impact dependent on issues relating to institutional frameworks and governance? How robust are the institutional achievements such as governance structures and processes, policies, global and regional agreements, legal and accountability frameworks etc. required to sustaining programme results and to lead those to impact on human behaviour and environmental resources?

(d) *Environmental sustainability.* Are there any environmental factors, positive or negative, that can influence the future flow of programme benefits? Are there any programme outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of programme benefits? Are there any foreseeable negative environmental impacts that may occur as the programme results are being up-scaled?

36. **Up-scaling** is defined as up-take and application of practices, approaches and lessons emerging from the programme on a much larger scale and funded by other sources. The evaluation will assess the approaches adopted by the programme to promote up-scaling and appreciate to what extent actual up-scaling has already occurred or is likely to occur in the near future. The reconstructed ToC will assist in determining and assessing the factors that influence up-scaling of programme results.

Efficiency

37. The evaluation will assess:

- The cost and timeliness of key outputs delivered compared to national and regional benchmarks
- Administrative costs (including costs for supervision and coordination between participating UN agencies) compared to operational costs
- Any time and cost-saving measures taken by the programme
- Any significant delays or cost-overruns incurred, reason why and appropriateness of any remedial measures taken
- Any explicit efforts at global and national level to make use of pre-existing results, partnerships and approaches, as well as to exploit complementarities and synergies between related internal and external initiatives.

[41] Those resources can be from multiple sources, such as a global REDD financing mechanism, the public and private sectors, income generating activities, other development projects etc.

Cross-cutting issues

Gender mainstreaming

- Analysis of how gender issues were reflected in Programme objectives, design, identification of beneficiaries and implementation;
- Analysis of how gender relations and equality are likely to be affected by the initiative;
- Extent to which gender issues were taken into account in Programme management.
- Assessment of likely distribution of benefits and costs between stakeholders.
- Actual and potential contribution of the Programme to the normative work of the three participating UN Organizations, e.g. contribution towards the "Delivering as One" initiative and lessons learned incorporated into broader organizational strategies.

Participation of forest dependent communities

- To what extent are forest communities and, in particular, indigenous peoples participating in decision making in the UN-REDD programme?
- Are appropriate policies, tools, methods and approaches being promoted by UN-REDD to ensure that the views of forest communities are fully taken into account in decision making processes at national and local level?
- How credible are the efforts by UN-REDD to introduce Free Prior Informed Consent by forest communities both for national policy setting and for local projects?

Capacity Development

- The extent and quality of programme work in capacity development of beneficiaries;
- The perspectives for institutional uptake and mainstreaming of the newly acquired capacities, or diffusion beyond the beneficiaries or the programme.

Norms, guidelines and safeguards

- Alignment of the National Programmes with the UN-REDD Programme's normative products, guidelines and safeguards, e.g. the UN-REDD Programme Guidelines on Free, Prior and Informed Consent (FPIC) and Guidelines on Stakeholder Engagement in REDD+ Readiness;
- Influence of the UN-REDD programme on the UNFCCC negotiation processes and agreements regarding REDD+.

Factors affecting performance

Programme Design and Structure

38. The Evaluation will assess the extent to which the overall performance of the UN-REDD Programme has been affected by the way it has been designed and structured. It will look at whether the establishment of a dedicated programme on REDD among UN agencies has helped to better define and coordinate activities among the 3 participating UN agencies and lead to more effective country assistance. The evaluation will consider the internal coherence and logic between Programme vision, mission, outcomes and outputs. It will seek to answer the following questions:

- Comparing the programme's formal results framework and the reconstructed Theory of Change of the programme, how clear and logic is the programme's formal results framework, including the appropriateness of stated development goals and outcomes (immediate objectives) and the evolution of outputs and outcomes since programme formulation? Is the formal Theory of Change underpinning the overall programme results' framework robust and realistic? Are causal relationship between inputs, activities, expected outputs, outcomes and impacts logical and is adequate consideration given to drivers and assumptions?
- Is the proposed implementation strategy and intervention approach under each work area the most adequate?
- Was the design process of the NPs and the SNA-GP appropriate and were resources set aside for design adequate both for the NPs and the SNA Global Programme?
- The quality of the stakeholders' and beneficiaries identification;
- The appropriateness of selection criteria for national programmes, other supported countries and pilot areas.

Programme Organisation and Management

39. The Evaluation will look at programme organization, coordination and management arrangements, by addressing the following questions:

- Have programme coordination arrangements (roles and responsibilities) in and across participating UN agencies and the UN-REDD Programme Secretariat been clearly defined? How effective are these arrangements towards the achievement of UN-REDD objectives?
- Is the distribution of roles and responsibilities between participating UN agencies optimally aligned with the respective mandates and comparative advantages of the agencies?
- How effective are the current management and supervision arrangements of the programme, both at national and global level?
- Role of the Policy Board and its guidance and decisions on the REDD Programme themselves
- What is the timeliness and quality of administrative and technical support given by the three participating UN Organizations to National Programmes and other partner countries?

Financial and Human Resources Administration

40. The Evaluation will consider the adequacy of financial and human resources planned and available both at the global and national level for the design and implementation of programme activities by assessing, among other things:

- Distribution of funding according to funding source and the adequacy and stability of the funding base for the achievement of programme objectives;
- Coherence and soundness of budget revisions in matching implementation needs and programme objectives;

- Allocation of funds towards and expenditure rate by each type of intervention and by the different partners;
- Quality, transparency and effectiveness of the systems and processes used for financial management;
- Any other administrative processes facilitating or inhibiting fluid execution of programme activities;
- The adequacy in terms of number and competencies of staff managing programme activities, including personnel turn-over rates.

Cooperation and Partnerships

41. The Evaluation will assess the effectiveness of mechanisms for information sharing and cooperation between the UN-REDD Programme, governments and external partners, by addressing the following questions:

- Have key partners been identified and has their commitment at critical stages of programme implementation been secured?
- How is the overall collaboration with and between the different partners involved in the UN-REDD programme?
- How effective are the coordination mechanisms in place between the programme and these partners, within and between Government ministries, and between the National Programme and other bilateral and multilateral REDD+ initiatives. Are the incentives for collaboration adequate?
- What is the timeliness and quality of inputs and support by governments and other partners?
- To what extent have target stakeholder groups and external partners been involved in the planning and implementation of programme activities? Were there any benefits that stemmed from their involvement, e.g. in terms of programme performance, for themselves, for the participating UN agencies etc.?
- To what extent has the programme been able to take up opportunities for joint activities and pooling of resources with other organizations and networks? Has the UN-REDD Programme made full use of opportunities for collaboration with other relevant development programmes? Have complementarities been sought, synergies been optimized and duplications avoided?

Monitoring, Evaluation and Reporting

42. The Evaluation will examine arrangements for reporting, monitoring and evaluating the UN-REDD programme activities and will assess:

- The quality, comprehensiveness and regularity of reporting on programme outputs, outcomes and impact. What quality assurance processes are in place to ensure the reliability and accuracy of reporting?

- The effectiveness of programme monitoring and internal review systems, including clear definition of roles and responsibilities for data collection, analysis and sharing and adequate resources for monitoring.
- How monitoring information is used for programme steering and management. What mechanisms are in place to ensure that monitoring results are used to enhance programme performance?
- The appropriateness of performance indicators to measure progress towards the achievement of outputs, outcomes and impact;
- The extent to which programme activities have been independently evaluated, and whether adequate resources have been allocated to this purpose.

Evaluation Methodology

43. The UN-REDD Programme evaluation will adhere to the UNEG Norms & Standards[42]. 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[43]. 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.

44. The evaluation will rate the different evaluation criteria on a six-point scale as detailed in Annex 5.

45. 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.

46. As this is the first external UN-REDD Programme evaluation, particular attention should be given to learning from experience, to inform revision of the UN-REDD Programme Strategy. This should be at the front of the evaluation consultants' minds throughout the evaluation exercise. This means that the consultants need to go beyond the assessment of "where things stand" today, and explore processes affecting attainment of programme results, which should provide the basis for the lessons that can be drawn from the Programme. The consultants should also provide recommendations for the way forward.

[42] UNEG Norms & Standards: http://uneval.org/normsandstandards

[43] 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.).

Data sources and Tools

47. The UN-REDD Programme evaluation will make use of the following tools and data sources:

a) A **desk review** of project documents including, but not limited to:
   - General background documentation on REDD, including REDD-related websites, evaluations conducted by international agencies and donors, books and scientific articles pertaining to REDD etc.;
   - Strategy documents of UN-REDD, including the UN-REDD Programme Framework Document and the UN-REDD Programme Strategy 2011-2015;
   - Relevant reports, such as Programme Annual and Semi-Annual Reports, Year in Review publication, external evaluations by donors, partners etc.;
   - UN-REDD Programme Management Note for Improved delivery of the Programme;
   - Project design documents, including approved Global Programme and individual National Programme Documents, annual work plans and budgets, revisions to the logical framework and project financing;
   - Documentation related to National Programme outputs and relevant materials published on the programme website;
   - Evaluations of National Programmes (final report of the Vietnam NP evaluation, draft report of the Panama NP mid-term review, and possibly early drafts of the Indonesia, DRC and Tanzania NP evaluations);
   - The recently completed Country Needs Assessment undertaken jointly with the FCPF;
   - The Review of the Policy Board structure;
   - Other relevant documents, such as possible new national policy documents, sector plans etc. bearing relevance for UN-REDD.

b) **Semi-structured interviews**[44] with a sample of key informants, stakeholders and participants, drawn from:
   - PB members, alternates and observers;
   - Government stakeholders including ministries participating in national coordinating bodies or steering committees;
   - Civil Society Organizations;
   - Indigenous Peoples Organizations;
   - Current and potential donors;
   - 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;
   - UN-REDD Programme Secretariat, Strategy Group and Management Group;

[44] Face-to-face or through any other appropriate means of communications

- Representatives from other bi-lateral or multi-lateral initiatives, including but not limited to FCPF, FIP, GEF, UNFCCC Secretariat.

c) **Surveys**[45]
   - A survey of supported countries (where NPs have taken/are taking place and others), including government, civil society, private sector etc. to collect views from countries on UN-REDD relevance, quality of support provided and outcomes achieved to date.
   - A survey of UN-REDD partner agency staff (not only in the 3 participating UN agencies but also in the various international and national organisations that have partnership agreements or are sub-contracted by the programme) to collect their views on UN-REDD relevance, outcomes achieved to date and internal factors affecting performance.

d) **Participation in key events**, such as Policy Board meetings

e) **Missions to selected partner countries**. Meeting in-country partners and Programme staff on the ground will be vital to acquiring a comprehensive understanding of the work conducted at the country level. The evaluators will study the different types of country-level reviews already available and propose on that basis which countries best to visit in order to fill information gaps. Countries whose National Programme has recently been evaluated (e.g. Viet Nam and Panama) will not be visited. Seven (07) countries, with at least 2 countries per region and 4 countries with a National Programme, would provide a suitable sample. The evaluation team will visit the first country together. Tentative country selection criteria could be:
   - Variety of duration and intensity of support provided by UN-REDD, including an adequate representation of partner countries without an NP;
   - Global significance of the forest ecosystems in the country;
   - UN partner agency that leads the NP;
   - Adequate regional diversity of the sample.

Consultation process

48. 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 liaise closely with: the Evaluation Management Group, relevant Programme staff of the participating UN Agencies, the Policy Board, and other key stakeholders. Although the evaluation team is free to discuss with relevant government authorities anything pertaining to its assignment, the team is not authorized to make any commitments on behalf of the Programme or the participating UN Organizations.

[45] These surveys can be conducted online or through Email, as deemed most effective by the team. In preparation of the questionnaires, duplication with the Policy Board Review should be avoided.

49. The inception and draft evaluation reports will be shared first with the EMG, then with the Policy Board, relevant Programme staff of the participating UN Agencies and other key stakeholders for comments before finalisation. Comments will be incorporated as deemed appropriate by the evaluation team.

The Evaluation Team

50. The Evaluation Team should consist of three independent evaluators, including one Team Leader. The Team Leader will have sound experience in leading evaluations of large programmes and excellent English writing skills. To the extent possible the Evaluation Team will be balanced in terms of geographical and gender representation to ensure diversity and complementarity of perspectives. The evaluation team should comprise the best available mix of skills and expertise required to assess the UN-REDD Programme:

a) Extensive evaluation experience, including using a Theory of Change approach;

b) Good technical understanding of the REDD+ field, and of sustainable forestry and Climate Change issues;

c) Knowledge of the UN, in particular of FAO, UNDP and UNEP;

d) First-hand experience in large, global programme coordination and management;

e) Knowledge management and communication;

f) Partnerships; and

g) Gender equity, minorities and other social and cultural issues.

51. The Evaluation Team members will have had no previous direct involvement in the formulation, implementation or backstopping of the Programme. All members of the Evaluation Team will sign the Evaluation Consultant Code of Conduct Agreement Form (Annex 3).

52. The Evaluation Team is responsible for conducting the evaluation as set out in these TORs and applying the approach and methods proposed in the inception report they will prepare. All team members, including the Team Leader, will participate in briefing and debriefing meetings, discussions and field visits, and will contribute to the evaluation with written inputs. The Team Leader will determine the distribution of data collection, analysis and reporting responsibilities within the team, in consultation with the other team members. The Inception Report will specify how responsibilities will be shared among evaluation team members.

Evaluation Team Deliverables

Inception Report

53. Before going into data collection the Evaluation Team shall prepare an *Inception Report* which should detail the evaluators' understanding of what is being evaluated, showing how the evaluation questions can be answered by way of proposed methods and sources of data. It will contain:

- A thorough review of the programme context
- A thorough review of the programme design

- A desk-based reconstructed Theory of Change of the programme, identifying immediate outcomes, intermediate states towards impact, drivers and assumptions for evaluation
- The evaluation framework. It should present in further detail the evaluation questions under each criterion with their respective indicators and data sources, and summarize the information available from programme documentation against each of the main evaluation parameters. Any gaps in information should be identified and methods for additional data collection, verification and analysis should be specified.
- A proposed schedule of tasks, activities and deliverables –and how these are distributed over the different Team Members
- A list of key stakeholders and other individuals who should be consulted, developed with the assistance of the Secretariat.
- A preliminary list of documents to be reviewed by the evaluation team. A list of important documents and web pages that the evaluators should read at the outset of the evaluation and before finalizing the inception report is included in Annex 4.

54. The Inception Report will be shared with the EMG, relevant Programme staff of the participating UN Agencies, the Policy Board, and other relevant stakeholders for comments. The EMG must clear the Inception Report.

Evaluation Reporting

55. Each evaluation consultant will provide written inputs to the evaluation. They will prepare country case study reports and contribute to the main report by writing sections of the main report. The Team Leader, in consultation with the other evaluation team members, will determine the specific inputs and format of the inputs expected from the other team members during the inception phase.

56. After data collection and analysis has been completed, before drafting the main report, the evaluation team will jointly prepare a *presentation of preliminary findings*, showing the most important findings emerging from the evaluation on which the main report will be focused. This presentation will be presented to (or shared electronically with –as practicable) the EMG, the UN-REDD Secretariat and members of the Policy Board to obtain their feedback on the emerging findings, to make sure that the most important issues have been captured by the evaluators.

57. Then, the evaluation team shall prepare a *Draft Evaluation Report* meeting the required criteria as described in the Terms of Reference. The Team Leader bears responsibility for submitting the draft report within four weeks from the conclusion of the country visits. The report will present the evidence found on the evaluation issues, questions and criteria listed in the Terms of Reference. The length of the report should be 15-18,000 words, excluding executive summary and annexes. Supporting data and analysis should be annexed to the report when considered important to complement the main report. The recommendations will be addressed to the different stakeholders and prioritized: they will be evidence-based (with references to the relevant findings in the report), relevant, focused, clearly formulated and actionable. The Evaluation Team shall agree

on the outline of the report at the inception phase, based on the template provided in Annex 2 of this Terms of Reference. The report shall be drafted in English.

58. The *Draft Evaluation Report* will immediately be circulated among the evaluation departments, who will verify that the draft report meets evaluation quality standards, and may request a revision of the draft report by the consultants before it is shared with a wider audience. The revised draft report will then be circulated among relevant Programme staff of the participating UN Agencies, the full Policy Board, and other key stakeholders for comments. Comments will be incorporated as deemed appropriate by the evaluation team. A "Response to comments matrix" will be prepared by the evaluation team to show how comments received have been dealt with in the *Final Evaluation Report*.

59. The Evaluation Team is fully responsible for its independent report, which may not necessarily reflect the views of the three participating UN Organizations or the Policy Board. An evaluation report is not subject to technical clearance by the evaluation departments of the three participating UN Organizations, although they are responsible for ensuring conformity of the evaluation report with quality standards for programme evaluation in the three Organizations.

60. The *Final Evaluation Report* will be translated into French and Spanish by the UN-REDD Programme Secretariat. It will be published on the UN-REDD Programme website (www.un-redd.org) and the websites of the evaluation departments of the participating UN agencies among others.

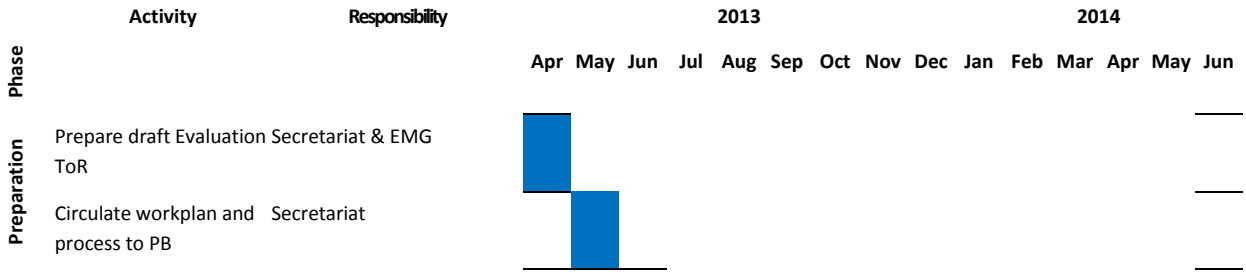
Management Response

61. Following completion of the evaluation and delivery of the final Evaluation Report, a Management Response will be prepared. The Policy Board, assisted by the UN-REDD Programme Secretariat, will track implementation of evaluation recommendations.

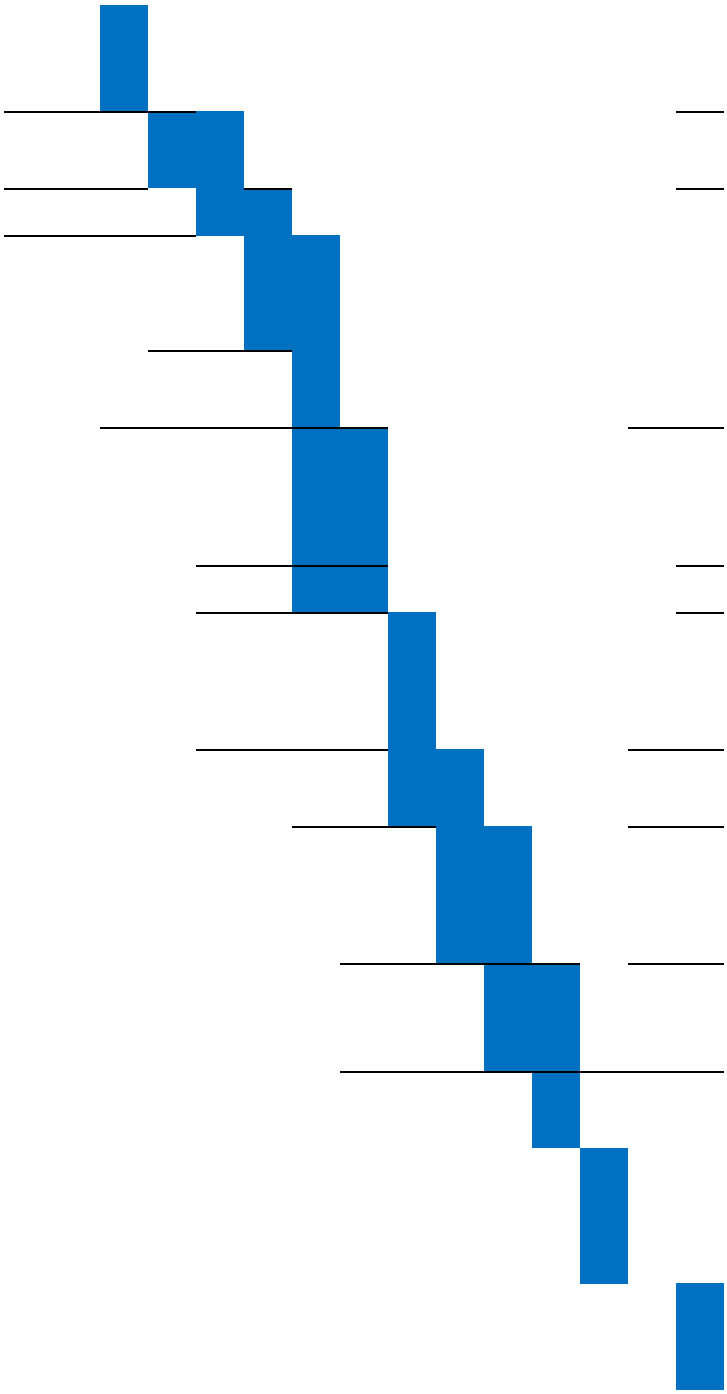
Evaluation timetable

62. Table 6 outlines the provisional timetable and roles and responsibilities at each stage of the evaluation process. The timetable will be adjusted according to the availability of the selected evaluation team.

Table 6: Provisional UN-REDD Programme Evaluation Timeline



	PB10 (26-27 June): Presentation of workplan and process	EMG
	ToR finalised and sent to PB for information	EMG & Secretariat
	Recruit evaluation team	EMG
	Inception report	Evaluation Team
		Logistical support by EMG & Secretariat
	Review inception report (2 wks)	PB, EMG, Secretariat, 3 Agencies via SG & MG
	Data collection: Doc review, interviews, surveys and country visits	Evaluation Team
	Data analysis	Evaluation Team
Evaluation	Presentation of preliminary findings at PB11 (week of 9 December)	Evaluation team
	Preparation of draft evaluation report	Evaluation Team
	Review draft evaluation report by EMG (Evaluation quality assurance)	EMG & Evaluation Team
	Review draft evaluation report by stakeholders	PB, Secretariat, 3 Agencies via SG & MG, and other stakeholders
	Submission of final report	Evaluation Team
Response	Preparation of management response addressing the recommendations	Programme Management
	PB12: presentation & dissemination of report and response	Team Leader or EMG



Annex 1: UN-REDD Programme Evaluation – Consultants Terms of Reference

Team Leader

The Team Leader will be responsible for overall management of the evaluation and timely delivery of its outputs as described in the overall TORs of the evaluation, under supervision of and in consultation with the Evaluation Management Group comprising of the evaluation departments of the participating UN agencies (UNDP, FAO and UNEP). (S)He will lead the evaluation design, document analysis, fieldwork and report-writing with support and input from the other team members. More specifically:

Coordination of the inception phase of the evaluation, including:

- conduct a preliminary desk review and introductory interviews with UN-REDD programme staff,
- draft the reconstructed Theory of Change of the programme,
- prepare the evaluation framework,
- develop the desk review and interview protocols,
- plan the evaluation schedule,
- distribute tasks and responsibilities among the evaluation team members, and
- prepare the inception report, including comments received from the EMG;

Coordination of the data collection and analysis phase of the evaluation, including:

- conduct further desk review and in-depth interviews with global and regional partners of the programme;
- provide technical support to the evaluation team regarding information collection, data analysis, surveys etc.
- regularly monitor progress of the team in information gathering and analysis,
- prepare a country case study report template and coach team members during the first joint country visit,
- conduct two additional country visits and prepare two country case studies,
- review the country case studies prepared by the other team members and provide feedback,
- discuss preliminary findings of the evaluation with the team, and
- present preliminary findings to the eleventh meeting of the Policy Board (December 2013);

Coordination of the reporting phase, including:

- assign writing responsibilities among the team members for the main report,
- write key section of the main report,
- review/edit sections written by the other team members, ensuring a coherent report both in substance and style, and
- liaise with the EMG on comments received and ensuring that comments are taken into account during finalization of the main report, and
- present the evaluation findings and recommendations at the twelfth Policy Board meeting (mid-2014);

Managing internal and external relations of the evaluation team, including:

- maintain a positive relationship with evaluation stakeholders, ensuring that the evaluation process is as participatory as possible but at the same time maintains its independence,

- avoid and resolve any misunderstandings, tensions and performance issues within the team, and
- communicate in a timely manner with the EMG on any issues requiring its attention and intervention.

The Evaluation Team will be supported by the EMG, the UN-REDD Secretariat and National Programme Teams for logistical arrangements as much as possible, but will be required to make appointments with stakeholders directly and acquire their own country visas and health/repatriation coverage.

The Team Leader shall have had no prior involvement in the formulation or implementation of the UN-REDD Programme and will be independent from the participating UN Organizations and other global, regional and national partners to the programme. (S)He will sign the Evaluation Consultant Code of Conduct Agreement Form (Annex 3).

The Team Leader will be selected jointly by the EMG and recruited by the UNEP Evaluation Office through an individual consultancy contract.

Key selection criteria

- Advanced university degree in international development, Forestry, Environmental sciences or other relevant social science areas.
- Extensive evaluation experience, including of large, regional or global programmes and using a Theory of Change approach;
- Extensive team leadership experience;
- In-depth knowledge of sustainable forest management, REDD+ and Climate Change issues;
- Knowledge of results-based management orientation and practices;
- Experience from or knowledge of the UN system, FAO, UNDP and UNEP in particular;
- Excellent writing skills in English and working level knowledge of at least one among the following languages: French or Spanish.;
- Attention to detail and respect for deadlines.
- Minimum 10 years of professional experience, longer professional experience is an advantage, including proven experience in developing countries.

The fee of the Team Leader will be agreed on a lumpsum basis and paid upon acceptance of expected key deliverables by the EMG.

Deliverables:

- Inception report
- 7 country case studies (1 prepared jointly with the team, 2 prepared by the team leader and 4 prepared by the other team members)
- Presentation of preliminary findings for key internal programme stakeholders (i.e. EMG, UN-REDD Secretariat and the Policy Board)
- Draft main report and revised draft report incorporating EMG comments if necessary
- Response to comments received from stakeholders on the draft report

- Final main report
- Presentation of findings and recommendations of the evaluation for discussion at the twelfth Policy Board meeting

Schedule of Payment:

Deliverables	Percentage payment
Inception report	20
Final country case studies	20
Submission and approval of the draft evaluation report	30
Submission and approval of the final evaluation report and presentation of findings and recommendations at the twelfth Policy Board meeting	30

Supporting Consultants

The evaluation team will comprise two Supporting Consultants in addition to the evaluation Team Leader. The Supporting Consultants will be responsible for delivering timely and high quality contributions to the evaluation process and outputs as described in the overall TORs of the evaluation under the leadership and supervision of the Team Leader. They will participate actively in evaluation design, document analysis, fieldwork and report-writing. Each Supporting Consultant will specifically provide:

Substantive contributions to the inception of the evaluation, including:

- conduct a preliminary desk review and introductory interviews with UN-REDD programme staff,
- support the Team Leader in drafting the reconstructed Theory of Change of the programme,
- assist in the preparation of the evaluation framework,
- contribute to the desk review and interview protocols,
- draft one of the two survey protocols (country survey or partner agency staff survey),
- contribute to sections of the inception report as agreed with the Team Leader, and
- any other tasks during the inception phase as requested by the Team Leader;

Substantive contributions to data collection and analysis, including:

- conduct further desk review and in-depth interviews with global and regional partners of the programme as assigned by the Team Leader;
- conduct one joint country visit and draft sections of the first country visit report, incorporating feedback received from the Team Leader,

- conduct two additional country visits and prepare two country case studies, incorporating feedback received from the Team Leader and the other Supporting Consultant,
- review the country case studies prepared by the other team members and provide feedback,
- discuss preliminary findings of the evaluation within the team, and
- support the Team Leader with the preparation of a presentation of preliminary findings to the eleventh meeting of the Policy Board (December 2013), and
- any other tasks related to data collection and analysis as requested by the Team Leader;

Substantive contributions to the main report, including:

- write key section of the main report, as assigned by the Team Leader,
- review/edit sections written by the other team members, ensuring a coherent report both in substance and style,
- Assist the Team Leader with reviewing comments received from the EMG and other stakeholders and with finalizing the main report, and
- any other tasks related to reporting as requested by the Team Leader;

Ensure good team work and external relations, including:

- maintain a positive relationship with evaluation stakeholders, ensuring that the evaluation process is as participatory as possible but at the same time maintains its independence,
- be a team player, avoid and help resolve any misunderstandings, tensions and performance issues within the team, and
- communicate in a timely manner with the EMG on any issues requiring its attention and intervention.

The Evaluation Team will be supported by the EMG, the UN-REDD Secretariat and National Programme Teams for logistical arrangements as much as possible, but will be required to make appointments with stakeholders directly and acquire their own country visas and health/repatriation coverage.

The Supporting Consultants shall have had no prior involvement in the formulation or implementation of the UN-REDD Programme and will be independent from the participating UN Organizations and other global, regional and national partners to the programme. They will sign the Evaluation Consultant Code of Conduct Agreement Form (Annex 3).

The Supporting Consultants will be selected jointly by the EMG and recruited by the UNEP Evaluation Office through individual consultancy contracts.

<u>Key selection criteria</u>

One Supporting consultant will be a forest governance expert and the other will be a social scientist. Both consultants will have:

- Advanced university degree in international development, Forestry, Environmental sciences, Social sciences or other relevant disciplines;
- Significant evaluation experience including using a Theory of Change approach;
- Reasonable knowledge of the UN system, FAO, UNDP and UNEP in particular;

- Minimum 7 years of professional experience, longer professional experience is an advantage, including proven experience in developing countries;
- Excellent writing skills in English and working level knowledge of at least one among the following languages: French or Spanish.

The *forest governance expert* will have in-depth expertise on national forest and REDD+ policies, strategies and institutions and good understanding of the current global REDD+ negotiations and financing options. (S)He will also have experience assessing the effectiveness of partnerships.

The social scientist will have in-depth understanding of forest and REDD-related gender, indigenous peoples, minorities and other socio-cultural issues. (S)He will also have experience in assessing knowledge management and communication.

The fee of the Supporting Consultants will be agreed on a lumpsum basis and paid upon acceptance of key evaluation deliverables by the EMG.

Deliverables:

- Inception report
- 3 country case studies (1 prepared jointly with the team, 2 prepared individually)
- Presentation of preliminary findings for key internal programme stakeholders (i.e. EMG, UN-REDD Secretariat and the Policy Board)
- Draft main report and revised draft report incorporating EMG comments if necessary
- Response to comments received from stakeholders on the draft report
- Final main report

Schedule of Payment:

Deliverables	Percentage payment
Final country case studies	30
EMG approved draft evaluation report	40
EMG approved final evaluation report	30

Annex 2: Annotated evaluation report outline

In consultation with the EMG, The Evaluation Team can modify the structure of the report outline below, as long as the key contents are maintained in the report and the flow of information and analysis is coherent and clear. The length of the UN-REDD Programme final evaluation report should not exceed 18,000 words, excluding executive summary and annexes. The report will use numbered paragraphs for easy cross-referencing.

Acknowledgements

Table of Contents

Acronyms

Maximum 1 page and only for terms used more than 3 times in the report. When an acronym is used for the first time in the text, it should be written out in full.

Executive Summary

A 'stand alone' Executive Summary which should:

- Maximum 2,000 words;
- Provide key information on the evaluation process and methodology;
- Illustrate key findings and conclusions;
- List all recommendations: this will facilitate the drafting of the Management Response to the evaluation.

1. Introduction

1.1 Background and purposes of the evaluation

This section will include:

- The purpose of the evaluation, as stated in the Terms of Reference;
- Programme title, starting and closing dates, initial and current total budget;
- Dates of implementation of the evaluation.

It will also mention that Annex I of the evaluation report is the evaluation Terms of Reference.

1.2 Methodology of the evaluation

This section will comprise a description of the methodology and tools used and evaluation criteria that were applied by the evaluation. This should also note any limitations incurred in applying the methodology by the evaluation team.

2. Programme and context

This section will describe the UN-REDD Programme (starting and closing dates, expected outcomes and outputs, initial and current total budget, implementation arrangements etc.).

It will also include a description of the developmental context relevant to the Programme including major challenges in the area of the intervention, political and legislative issues, etc. It will also describe the process by which the programme was identified and developed and cite other related initiatives and interventions.

3. Strategic relevance

4. Results and contribution to stated objectives

4.1 Delivery of outputs

4.2 Effectiveness

4.3 Likelihood of impact

4.4 Sustainability and up-scaling

4.5 Efficiency

4.6 Cross-cutting issues: Gender, capacity development, norms, guidelines and safeguards

5. Factors affecting performance

5.1 Programme design and structure

5.2 Programme organization and management

5.3 Financial and human resources administration

5.4 Cooperation and partnerships

5.5 Monitoring, evaluation and reporting

6. Conclusions and recommendations

Conclusions need to be substantiated by findings consistent with data collected and methodology, and represent insights into identification and/or solutions of important problems or issues. They may address specific evaluation questions raised in the Terms of Reference and should provide a clear basis for the recommendations which follow.

The Conclusions will synthesise the main findings from the preceding sections: main achievements, major weaknesses and gaps in implementation, factors affecting strengths and weaknesses, prospects for follow-up, any emerging issues. It will consolidate the assessment of various aspects to judge the extent to which the programme has attained, or is expected to attain, its intermediate/specific objectives. Considerations about relevance, costs, implementation strategy and quantity and quality of outputs and outcomes should be brought to bear on the aggregate final assessment.

Recommendations should be firmly based on evidence and analysis, be relevant and realistic, with priorities for action made clear. They can tackle strategic, thematic or operational issues. Each recommendation should each be introduced by the rationale for it; alternatively, it should be referenced to the paragraphs in the report to which it is linked.

Each recommendation should be clearly addressed to the appropriate party, i.e. the Policy Board, the UN-REDD Programme Secretariat and the three participating UN organizations at different levels (headquarter, regional, and national). Responsibilities and the time frame for their implementation should be stated, to the extent possible. Although it is not possible to identify a 'correct' number of recommendations in an evaluation report, the evaluation team should consider that each recommendation must receive a response.

7. Lessons learned

The evaluation will identify lessons and good practices on substantive, methodological or procedural issues, which could be relevant to the design, implementation and evaluation of future UN-REDD activities. Such lessons/practices must have been innovative, demonstrated success, had an impact, and be replicable.

Annexes to the evaluation report will include, though not limited to, the following as relevant:

X. Evaluation Terms of Reference
XI. Evaluation Framework
XII. Additional methodology-related documentation and evaluation tools;
XIII. Detailed output matrix
XIV. Detailed ROtI analysis

XV. Brief profile of evaluation team members
XVI. List of documents reviewed
XVII. List of institutions and stakeholders met during the evaluation process. (The team will decide whether to report the full name and/or the function of the people who were interviewed in this list.)

Annex 3: Evaluation Consultant Code of Conduct[46] Agreement Form

The form is to be completed by all consultants and included as an annex in the final report.

Evaluation Consultant Agreement Form

Agreement to abide by the Code of Conduct for Evaluation in the UN System

Name of Consultant: _____

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed at (place) on (date)

Signature: _____

[46] Code of Conduct for Evaluation in the UN System: www.unevaluation.org/unegcodeofconduct

Annex 4: Documents to be consulted

The following list of documents should be consulted by the evaluators at the outset of the evaluation and before finalizing the evaluation design and the inception report:

- The UN-REDD Programme Framework Document: http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=4&Itemid=53
- UN-REDD Programme Strategy 2011-2015: http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=4598&Itemid=53
- The UN-REDD Programme SNA Global Programme Framework 2011-2015: http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=5534&Itemid=53
- The UN-REDD Programme Rules of Procedure and Operational Guidance: http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=362&Itemid=53
- The UN-REDD Programme Strategy Group, Management Group and Secretariat Terms of Reference: http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=10101&Itemid=53
- The UN-REDD Programme Policy Board Terms of Reference: http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=487&Itemid=53
- The Review of the Policy Board Structure
- Vietnam National Programme Terminal Evaluation
- Panama National Programme Mid-Term Review

Annex 5: Rating Programme Performance

The evaluation will provide individual ratings for the evaluation criteria described in section 2.3 of these TORs.

All criteria will be rated on a six-point scale as follows: Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU). Sustainability is rated from Highly Likely (HL) down to Highly Unlikely (HU).

An aggregated rating (on a six-point scale) will be provided for Results and Contribution to stated objectives, and Overall Programme Performance. These ratings are not the average of the ratings of sub-criteria but should be based on sound weighting of the sub-criteria by the Evaluation Team. All ratings should use letters (not numbers).

In the conclusions section of the report, ratings will be presented together in a table, with a brief justification cross-referenced to the findings in the main body of the report.

Criterion	Rating	Summary assessment
Strategic relevance of the UN-REDD Programme		
Results and contribution to stated objectives		
Delivery of Outputs		
Effectiveness		
Likelihood of Impact		
Sustainability		
Up-scaling		
Efficiency		
Cross-cutting issues:		
Gender		
Participation of local stakeholders		
Capacity Development		
Normative Products		
Factors affecting performance		
Programme Design and Structure		
Programme Organization and Management		
Human and Financial Resources Administration		
Cooperation and Partnerships		
Monitoring, reporting and evaluation		
Overall Programme Performance		

Appendix II Preliminary List of Informants

Informant Name	Title	Organisation	Type of Interview
Altrell, Dan O.	Forestry Officer	FAO	Inception
Clairs, Tim	Principle Policy and Technical Advisor	UN-REDD Programme – UNDP	
Eriksson, Helena	Natural Resources Officer	UN-REDD Programme Secretariat	
Fortuna, Serena	Forestry Officer	UN-REDD Programme – FAO	
Gerrand, Adam	Natural Resources Officer	Climate Change Coordinator & REDD+ - FAO	
Linhares-Juvenal, Thais	Senior Officer	UN-REDD Programme Secretariat	
Loyche Wilkie, Mette	Deputy Director	Forest Department – FAO	
Mealey, Timothy J.	Senior Partner	Meridian Institute	
Munro-Faure, Paul	Deputy Director	Climate, Energy and Tenure Division – FAO	
Stone, Steven	Chief, Economics and Trade Branch	UNEP	

Appendix III Preliminary Documents Reviewed

FAO, UNDP, UNEP. (2013). *Review of the UN-REDD Programme Policy Board Structure*, 132 p.

—. (2012). *UN-REDD Programme Rules of Procedure and Operational Guidance* [Revised, v. 2], 12 p.

—. (2012). *Terms of Reference for the Strategy Group, Management Group and Secretariat*, 9 p.

—. (2011). *The UN-REDD Programme Strategy 2011-2015*, 28 p.

—. (2011). *Support to National REDD+ Action – Global Programme Framework 2011-2015*, 105 p.

—. (2009). *Policy Board Terms of Reference*, 5 p.

—. (2008). *UN Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries (UN-REDD) – Framework Document*, 29 p.

Feiring, B. et al. (2013). *Mid-Term Evaluation Report – UN-REDD National Joint Programme in Panama* [Draft], 59 p.

Macdonald Stewart, H. & Swan, S. (2013). *Final Evaluation of the UN-REDD Viet Nam Programme*, 132 p.

Appendix IV The Evolution of REDD – An Overview

The details of a mechanism for REDD+ continue to be the subject of negotiations under the United Nations Framework Convention on Climate Change (UNFCCC) [(1)]. A final international mechanism for REDD+ is yet to be in place and operating at scale and the comprehensive financial arrangements for full-scale implementation have not yet been met. Despite this, in recognition of the need for urgent action if reducing deforestation is going to have a meaningful effect in reducing emissions and mitigating climate change, REDD+ initiatives have already been instigated outside the auspices of the UNFCCC, both independently and in anticipation of a formal REDD+ mechanism (voluntary market, [2)]. In particular, a number of international initiatives have resulted from UNFCCC negotiations calling for REDD+ demonstration activities, including pilot projects and strategic development on REDD [(3)].

The story of REDD so far however will specifically focus on the details of negotiations regarding REDD+ within the UNFCCC.

The Kyoto Protocol

Although REDD was formalised as an idea at the thirteenth Session of the Conference of the Parties (COP-13) to the United Nations Framework Convention on Climate Change (UNFCCC) in Bali, 2007, and in its current form, is considered a success of COP-16 in Cancun (2010), its roots extend back to the adoption of the Kyoto Protocol in 1997. Within the context of emissions limitation and reduction commitments in Article 2, the Kyoto Protocol refers to the protection and enhancement of sinks and reservoirs of greenhouse gases, sustainable forest management practices and afforestation and reforestation activities [(4)]. The inclusion of the above practices was restricted, as it was only afforestation and reforestation activities that were considered eligible for generating credits under the Clean Development Mechanism.

Despite the inclusion of deforestation as an important land use issue, confusion existed over the role of Land Use, Land Use Change and Forestry (LULUCF) activities in countries' commitments under Kyoto and there was a significant lack of information and technology to guide the measurement, reporting and verification of such activities [(4)].

COP-7, Marrakesh, 2001

At COP-7 in 2001 it was decided, as part of the Marrakesh Accords, that only afforestation and reforestation qualified as LULUCF activities capable of generating carbon credits under the Clean Development Mechanism of the Kyoto Protocol (Decision 17/CP.17) [(5)]. Reducing deforestation or forest degradation was excluded from the decision due to concerns of leakage [(4)]. Leakage is the idea that reducing emissions from deforestation and forest degradation is unlikely to achieve a net reduction in emissions due to the fact that whilst reduced in one area, the same pressures may present themselves

elsewhere, as the emissions producing activity is merely relocated [4]. Other concerns originally raised over REDD included issues to do with: permanence, the idea that carbon is only ever temporarily stored and at some point is always re-released into the atmosphere; additionality, the notion that identifying any improvements in emissions reductions is complicated by complexities of predicting what eventualities would have occurred in the absence of the REDD project; and measurement, difficulties in accurately ascertaining the levels of carbon stored in soils and trees [6].

COP-11, Montreal, 2005

The notion of avoided deforestation as an important climate change mitigation mechanism then didn't re-enter negotiations until COP-11 in Montreal, 2005. Throughout 2005, there had been increasing attention paid to the individual roles of countries at different developmental stages in efforts to combat climate change. The European Commission laid the foundations for a climate change strategy with measures targeting both industrialised and developing countries. Given the respective contributions of countries to global greenhouse gas emissions, the decreasing share attributable to developed countries within the EU along with the growing role of developing countries in emissions generation, in February 2005, the European Commission adopted a communication entitled "Winning the battle against global climate change" (SEC(2005)180) (COM/2005/0035) recognising the need to broaden country participation in order to achieve the global action required. Despite their growing share of emissions, developing countries expressed concerns that imposing reduction targets could hamper their economic development. Meanwhile, some developed countries, such as the U.S., argued that exclusion of developing countries from commitments not only undermined the environmental effectiveness of an agreement but also jeopardised their own industry's competitiveness. From either viewpoint, the benefits of positive incentives that would permit developing countries to participate in emissions reduction efforts whilst maintaining progress towards their wider development goals were clear. As well as appreciating the varying capacities of countries on the basis of 'common but differentiated responsibilities and respective capabilities', the communication also highlighted the importance of including more policy areas, in particular emphasising the need for a fresh approach to halting deforestation [7].

That year also saw the formation of the Coalition for Rainforest Nations. Led by Papua New Guinea, the Coalition came together as a collaboration aiming to reconcile forest stewardship with economic development [4] and highlight and remedy the exclusion of reducing emissions from deforestation from carbon markets under the Kyoto Protocol. COP-11 saw the Coalition act through the governments of Papua New Guinea and Costa Rica in requesting that "Reducing emissions from deforestation [RED] in developing countries and approaches to stimulate action" be included in the agenda. It was proposed that, in generating credits from RED activities, developing countries could gain access to carbon markets that would incentivise the protection of forests by making their worth greater in their carbon value than from industries requiring their destruction [8]. The issue received extensive support and Parties generally agreed on the issue's importance in the context of climate change mitigation (9). Governments subsequently agreed to a two-year work programme [10] and agreed to initiate consideration of the issue

at the twenty-fourth SBSTA (Subsidiary Body for Scientific and Technological Advice) session in Bonn, May 2006. This would involve both consideration of the Parties' views and recommendations on RED-related issues with a specific focus on scientific, technical and methodological issues [(11)].

COP-13, Bali, 2007

In 2007, given that forest degradation plays a more threatening role than deforestation in central Africa, a group of countries within the *Commission des Forets d'Afrique Centrale* (COMIFAC) proposed that emissions reductions from forest degradation be included also [(12)]. Previously, RED had omitted inclusion of degradation due to a number of technological challenges associated with the accurate measuring and reporting of emissions reductions from reduced degradation [(13)].

A key milestone was subsequently achieved at COP-13. The two previous years, following COP-11 in Montreal, had seen extensive discussion and deliberation by the SBSTA on policy, scientific, technical and methodological issues, culminating in a decision at COP-13 in Bali, 2007. The Bali Action Plan, under Decision 1/CP.13, outlined a commitment of the Parties to address enhanced action on climate change mitigation, including the consideration of "Policy approaches and positive incentives on issues relating to reducing emissions from deforestation and forest degradation in developing countries; and the role of conservation, sustainable management of forests and forest carbon stocks in developing countries" [(14)]. The Bali Action Plan also established a subsidiary body to conduct the process, the Ad Hoc Working Group on Long-term Cooperative Action under the Convention (AWG-LCA). The AWG-LCA was to conduct a comprehensive process to enable full, effective and sustained implementation of the Convention through long-term cooperative action [(15)], with the aim of completing its work in 2009 and presenting its outcomes at COP-15 [(14)].

A further decision (Decision 2/CP.13): 'Reducing emissions from deforestation in developing countries: approaches to stimulate action' was adopted [(14)]. Whilst the Decision itself in referring explicitly to deforestation maintains the limited scope of RED, it also importantly acknowledges that "forest degradation also leads to emissions, and needs to be addressed when reducing emissions from deforestation" and affirms "the urgent need to take meaningful action to reduce emissions from deforestation and forest degradation in developing countries" (REDD) [(14)].

This decision provided a mandate for several elements and actions by Parties relating to RED, including: i) strengthening and support of current efforts; ii) capacity-building, technical assistance and technological transfer to support methodological and technical needs of developing countries; iii) identifying and undertaking activities to address the drivers of deforestation, enhance forest carbon stocks via to the sustainable management of forests, and; iv) mobilise resources to support the above [(16)]. This decision paved the way for several current programmes to support the preparation of countries for REDD+ (REDD-readiness), including the UN-REDD programme.

COP-14, Poznań, 2008

At COP-14 in Poznań, the SBSTA reported on the outcomes of its programme of work on methodological issues associated with REDD policy approaches and incentives [16]. In its report, in response to pressure from some developing countries, the role of conservation, sustainable management of forests and enhancement of forest carbon stocks countries was upgraded so as to receive equal emphasis as deforestation and forest degradation [16]. This saw the early progression of REDD to REDD+ [4] and recognised that conservation, the sustainable management of forests and the enhancement of forest carbon stocks play as equally an important role in emissions reductions through protecting carbon stocks, as preventing deforestation and forest degradation.

The aim of expanding the scope of REDD to REDD+ was to prevent the development of a mechanism that would reward only historically high emitters in favour of one that could incentivise regions with low deforestation rates to keep them as such. The "+"improved the potential of REDD to achieve co-benefits such as poverty alleviation, improved governance, biodiversity conservation and protection of ecosystem services [17].

COP-15, Copenhagen, 2009

The Copenhagen Accord (Decision 2/CP.15) explicitly recognised the crucial role of both REDD and the emissions removals provided by forests and agreed on the need to incentivise related activities through the establishment of a REDD+ mechanism that would aid in mobilizing financial resources from developed countries. It was stated that "scaled up, new and additional, predictable and adequate funding as well as improved access" would be provided to developing countries for improved mitigation including for REDD+. To this end, developed countries committed to providing resources approaching USD 30 billion for adaptation and mitigation for 2010-2012 (of 'fast-start finance') and jointly mobilising USD 100 billion by 2020 for transparent, meaningful mitigation actions in developing countries. This funding was expected to come from public and private and bilateral and multilateral sources [18].

Furthermore, discussions included a decision (Decision 4/CP.15) requesting Parties to identify the drivers of deforestation and forest degradation resulting in emissions along with means to address them, activities that reduce emissions, increase removals and stabilise carbon stocks, and to use the most recent IPCC (International Panel on Climate Change) guidelines to estimate and monitor forest-related greenhouse gas emissions and removals and changes in forest cover [18]. Prior to the development of the Copenhagen Accord, negotiators, within the AWG-LCA, worked on a more detailed REDD+ agenda in the hope it would guide Parties undertaking REDD+ discussions [19]. This decision text identified a number of safeguards as a means of preventing negative social or environmental outcomes of REDD+ activities and also highlighted the need for robust measurement, reporting and verification of changes in emissions resulting from REDD+ activities [20]. Despite considerable progress and consensus on these issues, no formal agreement on REDD+ was reached.

COP-16, Cancun, 2010

Following the formulation of a decision on REDD+ in Copenhagen, COP-16 in Cancun saw its adoption with only minor modification. The Cancun Agreements (Decision 1/CP.16) affirmed that "in the context of the provision of adequate and predictable support to developing country Parties, Parties should collectively aim to slow, halt and reverse forest cover and carbon loss" [(21)]. Parties established a technology mechanism to facilitate in the advancement and transfer of technology to support adaptation and mitigation actions, including the full range of REDD+ activities, in developing countries.

The Cancun Agreements (Paragraph 73 of Decision 1/CP.16) also decided on a phased approach to REDD+ implementation adopting with the following steps: i) the development of national strategies or action plans, policies and measures, and capacity building; ii) the implementation of national policies, measures, strategies or action plans for further capacity building, technology development and transfer, and results-based demonstration activities, evolving into; iii) results-based actions to be fully measured, reported and verified.

The same Decision identified the systems and information needed to partake in REDD+ activities by **requesting** that developing country Parties support REDD+ activities, according to their respective capabilities, through developing: i) a national strategy or action plan; ii) a national forest reference emission level and/or forest reference level; iii) a robust and transparent national forest monitoring system for REDD+ activities, and; iv) a system for providing information on how REDD+ safeguards (to avoid negative social and environmental outcomes) are being addressed and adhered to [(21)].

Finally the Agreements (Paragraph 72 of Decision 1/CP.16) highlighted the need to address related issues by requesting that Parties, when developing their national action plans or strategies for REDD+, address "the drivers of deforestation and forest degradation, land tenure issues, forest governance issues, gender considerations and the safeguards" whilst ensuring effective and full participation of the relevant stakeholders including indigenous peoples and local communities [(21)].

The Green Climate Fund (GCF) was established in Cancun and it was decided that it would be designated as 'an operating entity of the financial mechanism of the Convention' (Paragraph 102 of Decision 1/CP.16). Despite significant ground gained, a major gap remained in that there was no progress relating to what mechanisms would provide the funding for REDD+ and decisions on market based funding mechanisms were left to be decided at COP-17 in Durban, 2011 [(22)].

COP-17, Durban, 2011

Outcomes for REDD+ from COP-17 at Durban related to financing options, safeguards and reference levels [(23).]

With regards to financing, in Decision 2/CP.17, it was agreed that results-based financing for developing country Parties may come from a variety of sources, including public, private, bilateral and multilateral.

Notably, within this decision it was considered that market-based approaches could be developed as a means to support results-based actions [24]. The decision, however, failed to clarify a number of issues. It neglected to identify the specific meaning of market-based approaches, whether sub-national activities could be supported by markets, or whether bilateral or non-convention developed mechanisms would be recognised by the UNFCCC. It also failed to specify whether any market-based mechanism would relate to those under the UNFCCC and future commitments under a second commitment phase of the Kyoto Protocol or a new legally binding agreement post-Kyoto [23]. The Decision invited Parties to submit their views on ways to finance results-based activities in order for the AWG-LCA to consider these at the next SBSTA meeting [24].

Relating to safeguards, discussions focused on the reporting of how they are being respected and addressed - that is, the kind of information to be submitted, when and to whom [25]. Specifically, Decision 12/CP.17 provided guidance on systems for providing information on how safeguards are addressed and respected. The decision agreed that systems providing information on how safeguards are addressed and respected should, respective of national circumstances, capabilities, sovereignty and legislation, provide transparent and consistent information, be implemented at the national level and build upon existing systems [24]. It was also agreed that developing country Parties should periodically report on how social and environmental safeguards are being addressed and respected within their National Communications [24]. Despite some progress in this area, there was little guidance on the level of detail required within reporting and discussions concluded with the understanding they would be further elaborated upon at COP-18.

The same decision included guidance on reference levels and/or reference emission levels. These form the benchmarks against which to measure forest-related emissions per year and are thus essential to environmental integrity when assessing future performance [23, 25]. This provided a strong basis for a robust measurement, reporting and verification (MRV) scheme, essential for the development of REDD+ [26]. It was decided that reference levels should be consistent with each country's greenhouse gas inventories, referring to anthropogenic forest-related greenhouse gas emissions by sources and removals by sinks [24]. The decision provides guidance on a transparent, flexible approach, in which reference levels are periodically reviewed in conjunction with any advances in methodologies and in which sub-national reference levels can be elaborated as an interim measure whilst transitioning to a national level [24].

COP-18, Doha, 2012

The main areas of debate on REDD+ at COP-18 surrounded the issues of measurement, reporting and verification (MRV) and REDD+ financing [27].

Technical issues regarding MRV were addressed under the Subsidiary Body for Scientific and Technological Advice (SBSTA). These included: (i) how to design national forest monitoring systems; (ii) how to create an appropriate MRV framework for result-based payments; (iii) how to link this in with

reference levels; (iv) the need for additional guidance on designing REDD+ safeguards and (v) the drivers of deforestation. The SBSTA did not complete its work on these matters but aimed to finish by its 39th session at the 19th COP in December 2013.

The main stumbling block of the session turned out to be the issue of verification (28). Some Parties pushed for verification based on the process of international consultation and analysis (ICA) used for nationally appropriate mitigation actions (NAMAs), while others backed independent third-party verification by experts from both developed and developing countries. With no compromise reached, the issue was suspended and discussions set to resume at the next SBSTA meeting in June 2013 (29).

The second major issue concerning REDD+ discussed at the conference was how to raise finance for REDD+ activities. This was discussed under the Ad Hoc Working Group on Long-term Cooperative Action (AWG-LCA), with debate raised over (i) the creation of a new REDD+ institution; (ii) incentives for non-carbon benefits; (iii) the creation of a fund for joint adaptation/mitigation actions; and (iv) the issue of sub-national approaches for result-based payments. However, the failure to reach consensus on the issue of verification had knock-on effects for decisions on results-based finance (29). As a result the COP decided to develop a work programme on results-based finance in 2013, co-chaired by representatives each from one developed and one developing country Party (Decision 1/CP.18, paragraph 25-26). It was further agreed that draft decisions on improving the effectiveness of REDD+ finance would be developed through a series of workshops on the four topics mentioned above, for adoption at COP 19 (Decision 1/CP.18, paragraph 28-29).

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