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FIRST EXECUTIVE BOARD MEETING

15-16 JUNE 2017

ROME, ITALY

## INFORMATION NOTE

### BACKGROUND ON THE UN-REDD RESULTS FRAMEWORK AND THEORY OF CHANGE

#### 1. OBJECTIVE

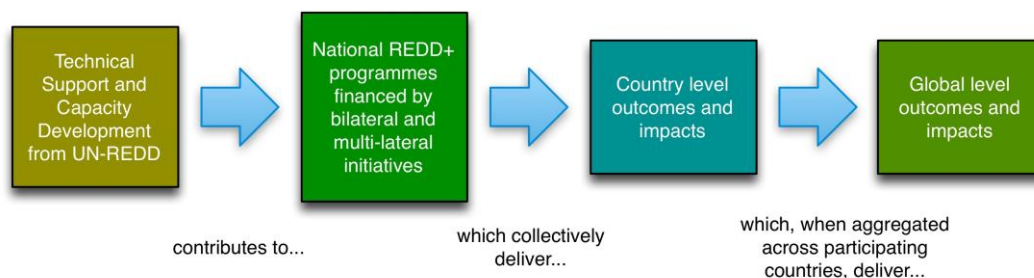
The objective of this session is to update and receive feedback from the Executive Board (EB) on the status of the current UN-REDD results framework and theory of change. This session also provides the opportunity for EB members to discuss and explore the opportunity to develop an over-arching “umbrella” or “meta” results framework that encompasses and captures other REDD+ relevant initiatives.

#### 2. OVERVIEW

##### 2.1. Theory of Change

The UN-REDD theory of change and results framework were developed through a consultative process. The theory of change describes how countries will be supported in the context of UNFCCC guidance and decisions on REDD+ readiness and the transition to implementation and delivery of results based actions. The global 2016-2020 results framework (presented in Annex 1) defines the hierarchy of outputs (for which the programme is directly responsible for) to impacts (to which the programme contributes). A graphic illustration of the theory of change and the results framework is presented in Annex 1.

The UN-REDD programme (and its results framework) operates at two levels of scale. At the global level, outcome and impacts are tracked through an aggregation of results delivered across participating countries. The programme is anchored firmly at country level and delivers country-specific results across all countries supported. The programme operates at a country level through a number of modalities including technical assistance, national programmes, targeted support and knowledge management. Country-level outputs are strategic in that they provide countries with the necessary technical and capacity requirements to access and unlock results based financing provided through complementary interventions working at country level. Outputs delivered by UN-REDD support the achievement of country level outcomes, which are in turn aggregated to achieve global level outcomes presented in the results framework. This is illustrated below:



The programme will help countries achieve three main outcomes: the first two relate to the design and implementation of REDD+ readiness actions, while the third outcome area relates to the implementation of policies and measures for results based action. UN-REDD supports countries implement national REDD+ processes, supported and funded by a range of domestic, bilateral and multi-lateral interventions. Support for the first two outcomes during the period 2016-2020 is at present mostly delivered through national programmes and targeted support that were programmed and carried forward from the first phase of UN-REDD Programme. The workplan and budget for 2017 and 2018-20 is focused on outcome 3.

## 2.2. Progress to date

- The original result framework that was prepared at programme level with a clear formulation of goal, impact and outcome statements at the global level remains valid. The accompanying theory of change describes well how impacts will be delivered and the assumptions that underpin the causal pathways.
- Quantitative and qualitative indicators were prepared at goal, impact and **outcome** level to reflect global results. These compare well with goal, impact and outcome statements (and indicators) prepared by complementary REDD+ programmes such as FCPF, FIP and others<sup>1</sup>. Country-specific **outputs** have been developed, together with baselines, indicators, targets and means of verification for the period 2018-20. For 2017, the outputs were formulated with corresponding activities so progress will be measured against those. Indicators developed and presented in Annex 1 are SMART and as such lend themselves to regular measurement and compilation. The seven<sup>2</sup> cross cutting themes of the global knowledge management have also set the outputs, indicators and baselines.

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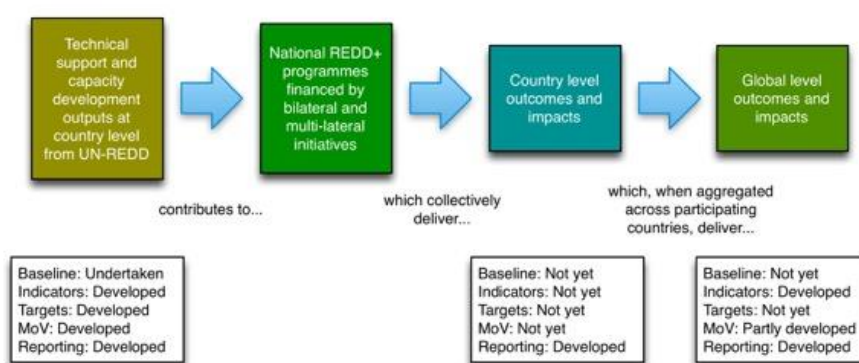
<sup>1</sup> For example, the FIP has a global results framework, which forms the basis for the countries' investment plans and is used for monitoring and evaluation (M&E). Nevertheless, the RF for FIP's global programme does not have globally defined targets or baselines for each of the expected results, as these are defined at country or project level through the FIP Investment Plan.

<sup>2</sup> 1. Landscape approach and planning; 2 Tenure/ Indigenous Peoples and REDD+; 3 Financing and private sector; 4. Forest monitoring systems and MRV; 5. Linking REDD+, the Paris Agreement, NDCs and the SDGs; 6. REDD+ funding mechanisms; 7. Cross-cutting communication

### 2.3. What remains to be completed?

- Baseline: This work will have to be expanded to capture baseline data for outcome, impact and goal level data for each participating country. These will be aggregated across all participating countries to generate programme (global) level baseline figures at outcome, impact and goal level.
- Targets for indicators at impact, goal and outcome level at both global and country level. This has yet to be undertaken as it will require extensive consultations at two levels. Firstly, in-country consultations are needed to align country-level outcome and impact indicators and targets with national level programmes. Furthermore, further work is needed to ensure that at the global level, targets and indicators are aligned to other REDD+ initiatives to demonstrate complementarity. Targets will also be anchored in a realistic of progress against baseline figures that will be developed above.
- Means of verification: Initial work has been done to define the methodology for collecting and compiling data at the goal, impact and outcome levels. For qualitative indicators, a simple score-card approach has been drafted but has yet to be tested and validated in the field. These will generate numerical scores that can be aggregated across countries, to reflect the variable being measured. At the output level MoV have already been developed in conjunction with work done at country-level to define output indicators and baselines.
- Reporting formats and procedures: UN-REDD already has developed tools and procedures for annual and semi-annual reporting, at both country and global levels. These guidelines will need to be updated to reflect new indicators and targets, but the essential elements of country-specific reports that are aggregated at programme level will remain.

The status of these tools at each level is illustrated below:



Setting the baseline, indicators, targets and MoV in the upper part of the results chain (outcome, impact, goal level), still remains to be done. Making adjustments to the RF at the outcomes, impacts, and goals implies societal, institutional, policy considerations, and needs an inclusive, stakeholder-driven process.

## 2.4. REDD+ high-level results framework

There are a range of different bilateral and multi-lateral initiatives financing REDD+ readiness and implementation, all of which have individual goals, objectives, outcomes and indicators, but with substantial overlap and complementarity. Although there is a widespread understanding of the different geographic and sectoral niche that these different initiatives occupy, there is still considerable uncertainty about how these different initiatives relate to each other and contribute collectively to higher-level goals of climate change and sustainable development.

To address this challenge, UN-REDD is starting a dialogue with M&E experts from bilateral and multi-lateral initiatives supporting REDD+ with a view to (1) understanding how the UN-REDD Programme can synchronize or align its indicators, baselines, MoV; (2) understand if there are gaps on indicators/baselines/MoV which these combined RF still have and (3) developing a common, high-level results framework to which all initiatives can be seen to contribute. The advantages of an agreed common framework are many and include:

- Assisting UN-REDD to finalise its own results framework.
- Identifying areas of potential overlap and duplication between different initiatives
- Identify specific thematic gaps where current funding initiatives are providing insufficient focus
- Identifying geographic gaps where countries interested in pursuing REDD+ readiness and implementation are insufficiently covered
- Helping to align, harmonise and strategically plan how different interventions can be co-ordinated at country (and global) level in a coherent and efficient manner
- Sharing information and knowledge on effective tools for monitoring and evaluation including potentially shared indicators and means of verification, thereby reducing transaction costs for participating countries
- More comprehensive monitoring and reporting, including a clearer indication of the contribution of individual programmes to agreed higher level goals
- Greater clarity for in-country stakeholders with regard to how to allocate and report on interventions from individual programmes, seen within agreed, higher level goals
- Greater cost efficiency as well as reduced transaction costs for individual programmes and participating countries
- The ability to track and report on progress at global scale on the basis of systematic and robust country metrics, thereby maintaining political support and financing for REDD+

## 3. OPTIONS FOR MOVING FORWARD

- Design of baselines. This will require consultations and analysis at country level, beyond the UN-REDD programme, to document current status of REDD+ readiness and implementation, and its contribution to sustainable development.
- Development of targets: Country level targets need to be defined and aggregated at global level. This will be assisted by discussions and consensus around a meta-

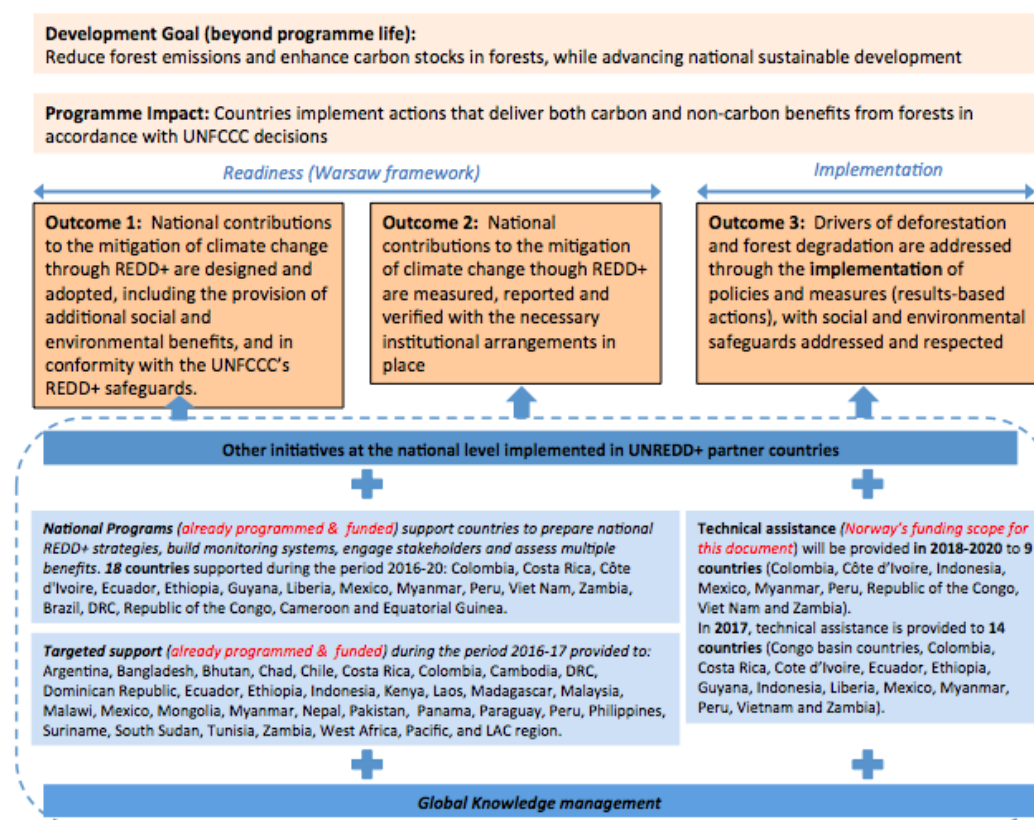
framework that defines higher level targets and goals for all major international and national REDD+ programmes

- Further development of the MoV: Building on existing draft guidance, additional work will be required to develop and finalise approaches for measuring and reporting both quantitative as well as qualitative indicators
- Further development of reporting framework: Using the existing guidelines for country and programme level reporting, additional inputs will be needed to ensure that new indicators and targets are captured and reported at country and global level
- Consultations and feasibility of developing global meta results framework: Initial consultations on the feasibility of developing a meta-results framework for REDD+. If sufficient interest exists, the development of this framework can be done in parallel to the tasks above.

#### **4. QUESTIONS FOR EXECUTIVE BOARD CONSIDERATION**

1. Given the background presented here what considerations should be made for the finalization of the UN-REDD Programme results framework?
2. Are the next steps and options presented above useful and is there anything missing?
3. What are the benefits and potential risks associated with developing a meta-results framework?
4. To what degree could this umbrella become a tool that drives change, alignment, harmonisation and increased efficiency / effectiveness in REDD+ initiatives and how might that be achieved?

## Annex 1



Goal/Impact/Outcome(s)	Indicator(s)
<b>Development Goal (beyond programme life):</b> Reduce forest emissions and enhance carbon stocks in forests, while advancing national sustainable development	DG.1 Emission reductions (measured in tCO <sub>2</sub> e/year) from reduced deforestation and forest degradation, as well as carbon stock enhancement achieved in UN-REDD partner countries.
	DG.2 Progress in UN-REDD partner countries towards targets under SDG 15 regarding the protection, restoration and sustainable use of terrestrial ecosystems – with a focus on forests.
<b>Programme Impact (5 years):</b> Countries implement actions that deliver both carbon and non-carbon benefits from forests in accordance with UNFCCC decisions	PI.1. Percentage of UN-REDD partner countries that are ready to implement and monitor results-based actions leading to emissions reductions (i.e. “REDD+ -ready”) in accordance with relevant UNFCCC decisions
	PI. 2. Percentage of UN-REDD partner countries that demonstrate quantifiable social and environmental benefits generated through the implementation of REDD+, policies and measures
	PI. 3. Percentage of UN-REDD partner countries that have implemented policy and/or institutional reforms designed to improve forest governance for REDD+ results
<b>Outcome 1:</b> National contributions to the mitigation of climate change through REDD+ are designed and adopted, including the provision of	PO 1.1 Degree of completeness of national REDD+ strategies and/or action plans (NS/AP)
	PO 1.2 Degree to which the NS/AP incorporates principles of social inclusion and gender equality.

additional social and environmental benefits, and in conformity with the UNFCCC's REDD+ safeguards.	PO 1.3 Degree of anchoring of the NS/AP in the national development policy and institutional.
	PO 1.4 Degree of completeness of the design of a country approach to address the social and environmental safeguards for REDD+.
<b>Outcome 2:</b> National contributions to the mitigation of climate change through REDD+ are measured, reported and verified with the necessary institutional arrangements in place	PO 2.1 Robustness of FREL/FRL submissions.
	PO 2.2 Robustness of BUR REDD+ annex.
	PO 2.3 Degree of completeness of the NFMS in UN-REDD partner.
	PO 2.4 Degree of operational effectiveness of NFMS in UN-REDD partner countries.
<b>Outcome 3:</b> Drivers of deforestation and forest degradation are addressed through the implementation of policies and measures (results-based actions), with social and environmental safeguards addressed and respected	PO 3.1 Effectiveness of implementation of policies and measures to address identified drivers of deforestation and forest degradation, as well as the barriers to the implementation of plus (+) activities in UN-REDD partner countries.
	PO 3.2 Total finance mobilized by countries from domestic, bilateral, multilateral sources to implement their NS/AP for REDD+ as a result of UN-REDD support
	PO 3.3. Percentage (number) of UN-REDD partner countries that have secured results-based payments/finance for REDD+ that is consistent with the UNFCCC methodological guidance (such as the Green Climate Fund).
	PO 3.4 Degree to which the implementation of PAMs for REDD+ respects and addresses the social and environmental safeguards as defined by UNFCCC decisions

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