

UN-REDD PROGRAMME



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Draft 2016-2020 UN-REDD Programme Governance Arrangements

Information Document – Session 4

UN-REDD PROGRAMME
FIFTEENTH POLICY BOARD MEETING

9-10 November 2015
San Jose, Costa Rica

Context and overview

At its 13th Policy Board meeting (Arusha, 3-7 November 2014), the Policy Board (in Decision 6) requested the Secretariat to:

- Circulate, for comment by 28 February 2015, a revised Draft UN-REDD Programme 2016-2020 Strategic Framework, including an outline of management arrangements and governance options, and taking account of PB13 comments and any inputs received by 30 November 2014;
- propose to the Policy Board by 15 March 2015, a consultation process for finalizing the governance arrangement options to support the revised UN-REDD Programme 2016-2020 Strategic Framework; and
- submit the revised UN-REDD Programme 2016-2020 Strategic Framework for consideration by the Policy Board at PB14.

In March 2015, the Secretariat circulated to the Policy Board a proposal for the governance arrangements for the 2016-2020 UN-REDD Programme, with comments due by 15 April. The valuable comments received from Policy Board members, including developing countries, IPs, CSOs, donors and UN agencies, were then fed into a discussion of experts on REDD+ and environmental funds and their governance, held on 24 April. Subsequently, taking on board the broad range of comments and expert guidance received, in May 2015, the revised UN-REDD Programme 2016-2020 Strategic Framework, with its supporting governance arrangements, was circulated to the Policy Board for consideration at PB14.

At its 14th meeting (Washington D.C., 21-22 May 2015), the Policy Board acknowledged the transparent and participatory consultative process carried out to date on the new governance structure for the 2016-2020 UN-REDD Programme, and decided through consensus, as recorded in PB14 Decision 4, that:

The Policy Board acknowledged the consultative process carried out to date on the new governance structure for the 2016-2020 UN-REDD Programme and welcomed a process to finalize this as follows:

i. A revised information paper with a complete description of the governance structure will be circulated by the Secretariat no later than 15 June 2015, on which Policy Board members and observers will have one month to provide comments;

ii. Comments received will be considered in the governance arrangements underpinning the Memorandum of Understanding between the UN agencies and the Standard Administrative Agreement between donors and the Multi-Partner Trust Fund.

iii. Furthermore, the Policy Board discussed the following features of the governance structure of the UN-REDD Programme:

a) One Policy Board, one Executive Board and National Steering Committees will work under the guiding principles of inclusiveness, transparency, accountability, consensus-based decisions, and participation;

b) The current Policy Board constituencies will have the right to be represented at all levels of Programme governance;

c) Members of the different governing bodies should ensure consultation and feedback to their respective constituencies. The UN-REDD Programme should endeavour to support these consultations;

d) The Executive Board will be composed of at least one representative per constituency. Partner Countries will have one representative per region;

e) *National Steering Committees will be established according to country needs and national circumstances following a minimum composition of government, indigenous peoples, civil society organizations and the UN. Donors may be part of the National Steering Committees and other relevant stakeholders may be invited as per agreement at country level;*

f) *UN-REDD National Steering Committees may also service other platforms as appropriate and decided at country level in line with UN-REDD requirements;*

g) *The Policy Board will provide overall advice to the Programme; and*

h) *A small and lean Executive Board will take operational decisions, including allocation of funds.*

The draft governance arrangements for the 2016-2020 UN-REDD Programme outlined below build on the extensive comments and feedback provided by stakeholders – including partner countries, donor countries, IPs, CSOs and UN agencies – during the broad consultation process.

The basic governance structure will be built on the five principles mentioned above with: an **Assembly** of all stakeholders with consultative and knowledge-sharing functions; an **Executive Board** to provide operational oversight; and **National Steering Committees** to oversee country-level implementation.

The following are the key features of this governance structure:

- The UN-REDD Programme **Executive Board** (EB) is the locus of oversight and decision-making, including on such processes as the Results Framework, criteria for country prioritization, fund allocation, monitoring of progress, reporting, etc. It is an efficient body of nine-representatives with balanced representation from all stakeholders (three donors, three developing forest countries, one IP, one CSO, one UN agency). The EB arrangements also allow a continuity of representation, as alternates will take the position of members at every rotation. EB representatives will be elected at each meeting of the Assembly by their respective constituency, and EB members will liaise regularly with their constituencies in order to ensure that they are properly represented and informed of EB decisions. Members from developing forest countries, as well as representatives of IPs and CSOs, will be financially and logistically supported to achieve the necessary engagement.
- The UN-REDD Programme **Assembly** further enhances the overarching principles of transparency and inclusiveness. It will meet every two years to bring together the Programme's partner countries, donors, IPs, CSOs and UN agencies to share knowledge and experiences, and provide the broadest possible input to discussions and dialogue on key REDD+ issues.
- **National Steering Committees** are established in partner countries receiving financial support from the UN-REDD Programme and build on existing structures where applicable. Their main task consists of the deployment and oversight of resources entrusted to the country. They maintain the multi-stakeholder, inclusive and transparent approach of the Programme, with a specific composition adapted to national circumstances.

The resulting governance arrangements for the UN-REDD Programme, to be implemented from January 2016 are designed to be participatory, multi-stakeholder, lean, efficient, legitimate, transparent and representative, with a balance that takes account of all the comments that have been expressed since the consultation process started a year ago, while meeting the legal requirements of donors, UN agencies and the MPTF necessary for this important UN collaborative Programme. Finer details of the governance arrangements, and implementation of these, will be defined in the Rules of Procedure to be developed over the coming months and adopted by the EB.

Owing to its specific legal implications, this document is a draft for consideration by donor countries, UN agencies, and the MPTF, with the final version to be formally agreed upon and adopted by donor countries and UN agencies signing the legal agreements for the 2016-2020 UN-REDD Programme.

It is expected that the first meeting of the Executive Board will take place in March/April 2016 and that the first meeting of the Assembly will be convened in June 2016.

Fund Governance

The governance arrangements provides for more efficient decision-making regarding the UN-REDD Programme Fund, including contributions earmarked for specific countries or outcomes. The approach is guided by the principles of national ownership, inclusiveness, participation, consensus and transparency. In this way, the governing bodies will allow the full and effective participation of all key UN-REDD Programme stakeholders (Programme countries, Donors, Indigenous Peoples, Civil Society Organizations, participating UN Agencies) while ensuring streamlined decision-making processes and clear lines of accountability.

UN-REDD Programme Assembly

The Assembly of the UN-REDD Programme Fund is a broad multi-stakeholder forum whose role is to foster consultation, dialogue and knowledge exchange among the UN-REDD stakeholders. Its responsibilities shall be:

- i) To discuss progress, challenges and lessons learned and to share REDD+ best practices, as well as recommending actions to improve the Programme's performance and impact;
- ii) To promote collaboration with other initiatives, including the Forest Carbon Partnership Facility (FCPF), Forest Investment Programme (FIP), BioCarbon Fund, Green Climate Fund (GCF) and the Global Environment Facility (GEF);
- iii) To discuss developments in the international REDD+ processes and initiatives and potential impacts on and synergies with the Programme; and
- iv) To advise the Executive Board (EB) of the results of its deliberations on the matters referred to above and on any matter that is referred to it by the EB.

During each meeting of the UN-REDD Programme Assembly, each of the constituencies represented in the EB shall elect its representatives and alternates to the EB.

The **composition** of the UN-REDD Programme Assembly is as follows:

- i. representatives of each of the donors to the UN-REDD Programme Fund;
- ii. representatives of each of the UN-REDD Programme countries;
- iii. representatives of the national Indigenous Peoples (IPs) and Civil Society Organization (CSO) that are members of a UN-REDD National Steering Committee;
- iv. representatives of regional or international IPs and CSOs;
- v. representatives of the other UN-REDD-related international programmes and funds, such as FCPF, FIP, BioCF, REDD Early Movers (REM), GCF and GEF;
- vi. representatives of the Private Sector; and
- vii. representatives of each of the three participating UN organizations.

The programme will seek sponsorship, depending on fund availability, for representatives of Programme countries, IP and CSO representatives and local communities that are associated with the UN-REDD Programme or that work on REDD+ matters.

The Assembly shall elect Co-Chairs to preside over plenary sessions of the meeting, one being from a UN-REDD Programme country and the other from a donor to the UN-REDD Programme Fund. Candidates for these offices shall be nominated by the Executive Board after consultations.

As a general rule, only the representatives specified above may participate in meetings of the Assembly. However a Co-Chair of the Assembly may invite other relevant participants on an *ad hoc* basis, where appropriate.

The Assembly will be convened in 2016, 2018 and 2020, preferably taking advantage of other relevant international meetings (such as the REDD+ Exchange).

The reports of meetings of the Assembly shall be published by the Secretariat on the UN-REDD Programme website.

Executive Board

The Executive Board (EB) of the UN-REDD Programme Fund has general oversight for the Programme, taking decisions on the allocation of the UN-REDD Fund resources. It meets bi-annually, in person or through other means, or more frequently as required to efficiently carry out its **roles and responsibilities**, which include the following:

- i) To provide oversight and operational guidance to the UN-REDD Programme, exercising general oversight for the UN-REDD Fund;
- ii) To endorse the UN-REDD Programme Result Framework and propose revisions as necessary;
- iii) To request fund transfers to the Administrative Agent (signed off by the UN member);
- iv) To approve direct costs related to fund operations supported by the Secretariat;
- v) To develop and implement resource mobilization strategies to capitalize the fund;
- vi) To approve eligibility criteria for receiving support and to establish a list of approved countries;
- vii) Regarding proposals for the use of non-earmarked funds:
 - a) To consider and approve the criteria by which global thematic, regional or country programme proposals will be reviewed, assessed and prioritized;
 - b) To consider and approve a transparent process for expression of interest in submitting global thematic, regional and country programme proposals and to apply the criteria that has been approved, to establish a prioritized list of proposals for consideration;
 - c) To consider and approve global thematic, regional and country programme proposals submitted for funding; and
 - d) To consider and approve any other budgetary allocation of non-earmarked funds;

- viii) Regarding the allocation of earmarked funds to countries:
- a) To take note of the allocation of contributions towards implementation of country programmes aligned with the UN-REDD Programme Result Framework and delegate the approval of the programmes to the respective NSC;
- ix) To review and approve the Programme's periodic progress reports (programmatic and financial) consolidated by the Secretariat and the Administrative Agent, based on the progress reports submitted by the participating UN organizations;
- x) To monitor the UN-REDD Fund status and maintain an overview of the progress against the approved Programme Result Framework, through the UN-REDD Programme's consolidated monitoring, reporting and evaluation process;
- xi) In exercising its portfolio overview function, to solicit specific clarification on individual country programmes in case of poor performance, significant changes or exceptional circumstances undermining the achievement of anticipated results within the given time-frame;
- xii) To commission reviews and reports on 'lessons learned' on the performance of the UN-REDD Programme, and to discuss follow-up actions with participating UN organizations and national partners. Such reviews may also be commissioned where so suggested by the UN-REDD Programme Assembly;
- xiii) To make recommendations to update the UN-REDD Fund Terms of Reference and related documents, for consideration by the signatories of the Standard Administrative Arrangement (SAA) and the Memorandum of Understanding (MoU);
- xiv) To support coordination with other global initiatives related to REDD+, including but not limited to, FCPF, FIP, BioCF, REDD Early Movers, GCF and the GEF; and
- xv) To consult with the UN-REDD Programme Assembly as necessary to achieve the purposes of the UN-REDD Programme, and to give due consideration to the discussions of the Assembly and any documented outcomes.

At its first meeting, the EB will review and approve its own Rules of Procedure. The Rules of Procedure may be amended by the EB when deemed necessary to enhance its functioning.

The **composition** of the EB is as follows:

Representatives

- Donors contributing to the UN-REDD Programme Fund shall be represented by three members;
 - UN-REDD Programme countries shall be represented by three members, one per region;
 - IPs shall be represented by one permanent observer;
 - CSOs shall be represented by one permanent observer;
 - The participating UN organizations (FAO, UNDP and UNEP) shall be represented by one member;
- and
The MPTF-Office, as ex-officio.

Alternates

Alternates from the following constituencies may attend meetings of EB, but may not normally participate in the discussion except when replacing a Representative:

- one alternate from a UN-REDD programme country (the next incumbent EB member in the order of rotation) from each of the three UN-REDD regions;
- one alternate from each of the donors not serving as members;
- one alternate from CSOs;
- one alternate from IPs; and
- one alternate from each participating UN organization that is not serving as a member.

Rotation

The members and permanent observers representing each constituency, except MPTF, shall rotate immediately after the last EB meeting of each year. However, for the donors, the constituency may decide that the same donors may continue to serve as members at each rotation. The members and permanent observers of the Executive Board shall be succeeded by the alternates from the same constituency. The succession of members, permanent observers and alternates for each constituency shall have been determined by that constituency and announced during the preceding meeting of the Programme Assembly. However, a constituency may revise the succession at any time by informing the Secretariat, through one of its representatives in the EB.

Meetings

The representative of the participating UN organization that is serving as a member of the EB shall also serve as the Chair.

Any member or permanent observer of the Executive Board may request his or her alternate from the same constituency to replace him or her for a meeting or session.

The Chair may invite relevant experts to attend a meeting of the EB when appropriate, including experts from relevant governments, regional counterparts, donors and UN agencies or other entities as deemed necessary.

The members and permanent observers will be provided with financial and secretariat support to consult with their constituencies to ensure that they are properly informed and that their views are appropriately represented.

Decisions

All representatives at a meeting have the right to participate fully in the deliberations. Decisions are taken by the members by consensus with due consideration of the recommendations of permanent observers.

In the course of any discussion where a decision is to be made, Executive Board members should disclose any personal or organizational interest in any decision where there may be a real or perceived conflict between their own interests, or those of the organization they represent, and those of the UN-REDD Programme.

Reports

The Secretariat shall publish the reports of meetings of the EB on the UN-REDD Programme website and on the Fund's website at the MPTF Office GATEWAY (<http://mptf.undp.org>).

Transition

As a transitional measure for 2016, the members, permanent observers and alternates from the Programme countries, donors, IPs, CSOs and the participating UN Agencies shall be nominated by the representatives of each constituency in the former Policy Board and shall serve until the end of the last EB meeting of 2016. At that time, the appointment of members, permanent observers and alternates elected by their respective constituencies at the first meeting of the UN-REDD Programme Assembly shall come into effect.

National Steering Committees

Once an allocation for a specific country is approved or confirmed by the EB, a multi-stakeholder National Steering Committee (NSC) shall be established in that country. The NSC shall be co-chaired by the designated government official and the Country Director or Representative of the lead UN agency.

The main task of the NSC is to guide and oversee implementation of the national UN-REDD Programme support. Its roles and responsibilities shall include:

- i) Ensuring a participatory design of the country programme, in alignment with national priorities and the concept Country Programme approved by the EB;
- ii) Approving the full programme document, including output level results, including implementation set-up and allocation of funds within the different components¹;
- iii) Requesting fund transfers to the Administrative Agent in the case of earmarked funding (signed off by the UN member);
- iv) Overseeing the implementation of the signed programme document;
- v) Reviewing and approving periodic project narrative reports submitted by the implementing partner(s);
- vi) Approving any necessary programmatic or budgetary programme/project revisions within the limits of the approved Programme Document;
- vii) Requesting reviews and mid-term and terminal independent evaluations of the country programme; and
- viii) Reviewing risk management strategies and ensuring the programme/project is managing and proactively mitigating risks.

While each configuration of an NSC will be country-specific, it will reflect the multi-stakeholder nature of UN-REDD, respecting the following principles in its composition:

- (a) Government and participating national organizations;
- (b) Participating UN agencies;
- (c) at least one self-selected representative from CSOs and one from IPs;

¹ *Additional information provided in the programming cycle*

- (d) the constituency of donors to the UN-REDD Programme Fund will have the right to participate; and
- (e) other relevant stakeholders may be invited to meet the planning, deliberation and monitoring roles of the NSC, including representatives from academic/research institutions, local communities or the private sector.

Where national-level REDD+ coordination platforms already exist, the co-Chairs will determine whether there is a need to establish a separate NSC for the UN-REDD Programme, or whether these platforms could be considered in lieu of the NSC. A key consideration is that these platforms may need to be adjusted to meet the participatory requirements of the UN-REDD Programme as indicated above.

Similarly, where NSCs are established for a UN-REDD country programme, as and when other REDD+ initiatives or support is made available to that same country, these NSCs could evolve to act also as the coordination platform of these other initiatives, if so desired and agreed by concerned stakeholders.

UN-REDD Programme Secretariat

The UN-REDD Programme Secretariat supports UN-REDD governing bodies and the overall operations of the Fund. It will advise the Executive Board on strategic priorities, programmatic and financial allocations and will in particular organize the programming and appraisal processes. It is the UN-REDD Programme's central point of contact and liaises with other REDD+ initiatives. This includes liaising with existing and potential donors in order to mobilize funds.

The Secretariat facilitates planning and the development and management of consolidated reporting, monitoring and evaluation frameworks of the Programme, raising awareness of, and promoting the UN-REDD Programme and it provides vital information for external partners. The Secretariat also facilitates interagency collaboration and communication, to ensure the Programme is implemented effectively.

Budget allocations to cover the costs of the Secretariat will be approved by the Executive Board, and would be charged to the UN-REDD Fund account as direct costs.
