### 8 Annexes

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## Annex I. Terms of Reference (extract)

### Terminal Evaluation (TE): Myanmar UN-REDD National Programme (NP)

The TE will be conducted according to the guidance, rules and procedures established by UNDP, will adhere to the UNEG Norms & Standards. The objectives of the evaluation are to assess the achievement of project results, and to draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of future REDD+ programming.

### **EVALUATION APPROACH AND METHOD**

The consultant is expected to frame the evaluation effort using the criteria of relevance, effectiveness, efficiency, sustainability, and impact, as defined and explained in the UNEG's definitions of UNDP Evaluation Guidelines 2019, and as presented below:

- i) Relevance, concerns the extent to which the National Programme and its intended outcomes or outputs are consistent with national and local policies and priorities and the needs of the intended beneficiaries. Relevance also considers the extent to which the initiative is aligned with the UN-REDD Programme Strategic Framework 2016-20202 and the corporate plans of the three participating UN Organizations. Relevance vis-a-vis other REDD+ or REDD+-related programmes implemented in the country should also be examined, in terms of synergies, complementarities and absence of duplication of efforts.
- ii) Effectiveness, measures the extent to which the National Programme's intended results (outputs and outcomes) have been achieved or the extent to which progress towards outputs and outcomes has been achieved. To explain why certain outputs and outcomes have been achieved better or more than others, the evaluation will review:
- a) Processes that affected the attainment of project results which looks at examination of preparation and readiness of the project, country ownership, stakeholder involvement, financial planning, performance of national and local implementing agencies and designated supervision agency, coordination mechanism with other relevant donors projects/programmes, and reasons for any bottlenecks and delays in delivery of project outputs, outcomes and the attainment of sustainability.
- b) Implementation approach including an analysis of the project's results framework, performance indicators, adaptive management to changing conditions, overall project management and mechanisms applied in project management in delivering project outcomes and outputs.
- iii) Efficiency, measures how economically the resources or inputs for the Programme (such as funds, expertise and time) are converted to achieving stipulated outcomes and outputs.
- iv) Sustainability, analyse the likelihood of sustainable outcomes at programme termination, with attention to sustainability of financial resources, the socio-political environment, catalytic or replication effects of the project, institutional and governance factors, and environmental risks.
- v) Impact, measures to what extent the National Programme has contributed to, or is likely to contribute to intermediate states towards impact, such as changes in the governance systems and stakeholder behaviour, and to impact on people's lives and the environment. The evaluation will assess the likelihood of impact by critically reviewing the programmes intervention strategy (Theory of Change) and the presence of the required drivers and assumptions for outcomes to lead to intermediate states and impact.

A set of questions covering each of these criteria have been drafted and are included with this TOR. The evaluation must provide evidence-based information that is credible, reliable and useful. The consultant is expected to follow a participatory and consultative approach ensuring close engagement with government counterparts, in particular the UN-REDD+ focal point, UNDP Country Office, project team, Participating UN agencies, Evaluation Management Group including their Technical Advisers based in the region/HQ and key stakeholders. The consultant is expected to conduct a mission to Myanmar.

The consultant will review all relevant sources of information, such as the project document, project reports – including Annual APR/PIR, project budget revisions, midterm review, progress reports, tracking tools, project files, national strategic and legal documents, and any other materials that the consultant considers useful for this evidence-based assessment. A list of documents that the project team will provide to the consultant for review is included in Annex B of this Terms of Reference.

### **EVALUATION CRITERIA & RATINGS**

An assessment of project performance will be carried out, based against expectations set out in the Project Logical Framework/Results Framework (see Annex A), which provides performance and impact indicators for project implementation along with their corresponding means of verification.

The evaluation will at a minimum cover the criteria of relevance, effectiveness, efficiency, sustainability and impact. Ratings must be provided on the performance criteria as provided in Annex D. The consultants will assess the extent to which the project is achieving impacts or progressing towards the achievement of impacts.

### **EVALUATION DELIVERABLES**

The evaluation team is expected to deliver the following:

Deliverable	Content	Timing
Inception Report	Team Leader with assistance from the National	Within 5 days of
	Consultant provides clarifications on timing and	signing of contract
	method. Report must include the evaluation	
	matrix (Annex I)	
Field Mission	Mission schedule	July 2020
Field Mission and	Initial Findings (to be presented to stakeholders	July 2020
Presentation	in Nay Pyi Taw)	
<b>Draft Evaluation Report</b>	Team Leader prepares and submits draft	August 2020
	report, (per annexed template) with annexes	
Final Report*	Revised report	September 2020
Presentation of Final	Presentation of final report and	September 2020
Report	recommendations	

# Annex II. Itinerary and list of interviewees/workshop participants

## Itinerary including key informant/stakeholder interviews

Date	Interviewees/participants (apart from consultants)
14/09/20	PMU (Tim Boyle & Ms Khin Hnin Myint)
15/09/20	Dr Thaung Naing Oo, National Programme Director
15/09/20	Dr Myat Su Mon & Dr Ngwe Thee, Planning and Statistics Division, FD
15/09/20	Mr Franz Arnold and Ms Thin Thitsar, FAO
17/09/20	Mr U Than Htut and Mr Min Lwin, MOALI
17/09/20	Mr Aung Thant Zin, Director, MERN
18/09/20	Ms Moe Nwe Nwe Aung, Planning Dept
18/09/20	Ms Daw Aye Win, Union Attorney General Office
18/09/20	Naw Ei Ei Min, Director, POINT
21/09/20	Dr Nyunt Khaing, Land Core Group
22/09/20	Alice Rose, MERN
22/09/20	Dr Yazar Minn, Son Sie (British Council)
22/09/20	Mr U Htun Paw Oo, Myanmar Forest Association
22/09/20	Dr Yazar Minn, British Council
23/09/20	Mai Thin Yu Mon, Director, CHRO
24/09/20	Mr U Barber Cho, Mr Win Hlaing, Myanmar Forest Certification Council
24/09/20	Mr Biplove Choudhary, UNDP
25/09/20	Ms Khin Moe Kyi, RECOFT
25/09/20	Mr Ben Vickers, FAO Regional Technical Advisor
28/09/20	Mr Alexis Corblin, UNEP Regional Technical Advisor
29/09/20	1 <sup>st</sup> Stakeholder Evaluation Workshop: Outcomes 1-2
29/09/20	Ms Kin Yii Yong, UNDP Regional Technical Advisor
30/09/20	2 <sup>nd</sup> Stakeholder Evaluation Workshop: Outcome 3
30/09/20	Dr Xavier Bouan, MM Thiha, GEF-FAO Project
01/10/20	3 <sup>rd</sup> Stakeholder Evaluation Workshop: Outcome 5
06/10/20	PMU Self-evaluation Workshop
07/10/20	Final discussions with PMU (TB & KHM)
08/10/20	Dr Nyi Nyi Kyaw, Director-General, FD, Mr Aung Myat San, Dr Thaung Naing
	00
09/10/20	Ms Gabrielle Kissinger, D&D Drivers' study consultant
12/10/20	Ms Siri Damman, Rainforest Foundation Norway
21/10/20	Draft Final Report submitted to UNDP
10-	Presentation of report to PEB
11/11/20	

## **List of participants of Stakeholder Evaluation Workshops**

Workshop 1. Outcomes 1-2, 29th September 2020

Name	Department	Email Address
Dr. Thaung Naing Oo	Director, Planning and Statistics	tnoo71@gmail.com
	Division, Forest Department	
Daw Yi Yi Htwe	Directorate of Investment and	htwe278@gmail.com
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	Management	<u>m</u>
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		g
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		<u>m</u>
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U Stony Siangawr Cung	POINT	point.director@gmail.com

Note: of the 17 participants, 5 were female

Workshop 2. Outcome 3. 30<sup>th</sup> September 2020

Name	Department	Email Address	
U Ngwe Thee	Forest Research Institute	ngwethee@gmail.com	
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Hlaing			
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Daw New Ni Maung	Department of Ethnic Rights Head	nwenimaung2572016@g	
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Daw Wint Wint Htun	Department of Fisheries	wintwint19@gmail.com	
Daw Khin Moe Kyi	RECOFTC	khinmoe@recoftc.org	
U Hla Doi	POINT	point.hladoi@gmail.com	
U Salai Moses Htun	CHRO		

U Salai Jacob	CHRO	salaijacobchro@gmail.co	
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Note: of the 11 participants, seven were female.

## Workshop 3, Outcome 5. 1st October 2020

Name	Department	Email Address
Dr.Myat Su Mon	Planning and Statistics Division	sumonforest@gmail.com
U Min Min Oo	Natural Forest and Planning Division	oominmin007@gmail.com
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Note: of the 13 participants, five were female.

## PMU Self-evaluation Workshop, 6th October 2020

Dr. Thaung Naing Oo, UN-REDD National Programme Director, Director, Forest Department
Mr. Timothy Boyle, UNDP Chief Technical Advisor, UN-REDD National Programme
Mr. Franz Eugen Arnold, FAO Technical Specialist, UN-REDD National Programme
Ms. Khin Hnin Myint, Programme Coordinator, UN-REDD National Programme
Ms. Thin Thitsar Kyaw, FAO Programme Specialist, UN-REDD National Programme

## Annex III. Evaluation Matrix

Evaluation criteria	Research approach/ tools	Key questions
Relevance	Relevance was mainly assessed based on TOC analysis and involved consideration of various aspects of NP design, including: stakeholder and beneficiary identification; institutional set-up and management arrangements; and the results framework. Consideration was also given to alignment of the NP with: GoM policies, including the MSDP; the INDC; the UNDAF country programme; and the SDGs.	How realistic and robust has the TOC been, including the logic of causal relationships between inputs, activities, expected outputs, outcomes and impacts against the NP objectives? How accurate and complete was the the analysis of risks and assumptions in the NPD?
Effectiveness	Effectiveness was mainly assessed in the stakeholder evaluation workshops and PMU self-evaluation workshop using TOC analysis, as well as from key informant interviews and documentation. Institutional effectiveness in management and implementation of the NP was assessed through discussions with PMU staff, PEB members and GoM implementation agencies. The analysis included: quality of operational management of the the PMU; communications between PMU and stakeholders; effectiveness of PEB and the National REDD+ Task Force (including attendance record of nominated members); performance of implementing agencies; financial management; coordination mechanisms; and the utility of "normative tools" of the UN agencies.	To what extent have the expected outcomes and outputs been achieved, including as regards quality and timeliness?  What were the main factors influencing this level of achievement?  To what extent did the NP contribute to each main area or component of REDD+ readiness in Myanmar (strategy, institutional/ stakeholder engagement, safeguards, technical, and financial readiness)?
Efficiency	The term efficiency refers to how well or effectively the programme has used the available resources, both financial and human, time and organizational capacities to meet its objectives. Efficiency was judged based on key informant interviews and documentation.	Have the activities been organized and implemented efficiently and in ways that have avoided unnecessary costs?  Have procurement, financial management and disbursement been timely or caused delays?  Have factors within the control of the NP caused delays?  How efficient has inter-agency coordination been: e.g., between PMU and stakeholders; between UN and national implementing partners; between government departments; and between UN agencies?  Have there been significant cost-overruns?
Sustainability	The sustainability of the NP can be interpreted partly in terms of the level of policy, institutional and technical capacity achieved at the end of the NP, and that	What are the main factors influencing the achievement or non-

	(hopefully) provides a firm basis for REDD+ implementation, and partly in terms of whether future financing has been secured that can avoid a loss of momentum following the NP (as has happened in many countries) as well as to ensure unfinished readiness work can be continued. A particularly critical area for sustainability is government ownership and the national institutional and governance capacity, including cross-sectoral coordination. Sustainability was based on key informant interviews and documentation.	How adequate was the exit strategy, especially as regards obtaining funding to ensure a minimum loss of momentum and continuity following the NP? What are the prospects for sustaining and scaling up the results by the beneficiaries after the NP finishes?
Impact	"Impact" is normally defined in terms of the identification of significant medium- or longer-term impacts on social and environmental objectives or indicators, e.g., the "quality of life", biodiversity conservation, etc. Such impacts are only likely to be identified in the REDD+ implementation phase. There is also a major attribution challenge in the analysis of medium or long-term effects – how much of a change is due to a specific programme or project like the NP, and how much is it due to other factors?	To what extent has the NP provided a good basis for successful REDD+ implementation, and thence positive social and environmental/biodiversity impacts, as indicated by successful achievement of the NP objective, i.e., the state of REDD+ readiness? Can "intermediate states" be identified between NP outcomes and longer-term change?

# Annex IV. Stakeholder Evaluation Workshop problem analysis tables

## Workshop 1 (29/09/2020)

	Main problems, challenges or issues for Outcomes 1 & 2	Impact: High/ Med/ Low	Main cause of problem/challenge	NP action(s) to counteract the problem/challenge	NP action effecti ve?	If not effective - why not?	What should/could NP have done? NP - Participants' suggestions for further implementation
1	Weak Understanding on REDD+ (Policy, Concept and Approach) (+ awareness issues at various sectors)	High	Translation Quality of Docs Insufficient time for Discussion/Consultation Workshops Limited Awareness & Information flow (for all stakeholders) Difficulties to understand REDD+ concept (Complexity) No-Continuous participation of stakeholders/Focal Point/trainees Weak Reporting of participants at respective departments/organizations (participants to decision makers/policy level) Weak stakeholder selection for trainings/capacity building	TWGs members share understanding Reviewed & revised the communication materials Capacity Building Programs	Yes		Workshop Design considering content and timeframe Training/capacity building (target group) Capacity/Training need assessment and Stakeholder mapping
2	Difficulties for inclusion of different stakeholders' views/opinions	High	Diverse stakeholders under limited time and budget Instable Political issues/Dimension/momentum Peace Process	Inclusion of various stakeholders Continuous engagement and information sharing among diverse stakeholders			Project design considering country's political context Advocate the key decision makers of different Sectors/areas (state, EMOs) Careful selection of Project Pilot area in non-armed conflict area
3	Financial mechanism to reflect policy direction for sustainability	High	Limited investment plans to implement REDD+ PAMs Limited awareness in state/region level line depts (not central/HQ)				Global/National Commitment Support to develop annual (short term + long term) investment policy, investment plan and clear action plan linkage to state/regional investment plan

			Awareness raising at in state/region level line depts (not central/HQ)
4	Mainstreaming in sectoral guidelines /policy of different departments/organiza tions	Differences in laws, policy and action plans of different departments/org Differences in knowledge, understanding and information attained at different depts	Political Support Advocate Key Policy makers, decision makers about REDD+ Coordination between different Depts Revision on existing policy, instructions and regulations for mainstreaming REDD+

## Workshop 2 (30/09/2020)

	Main problems, challenges or issues for Outcomes 3	Impact: High/ Med/Low	Main cause of problem/ challenge	NP action(s) to counteract the problem/challenge	NP action effective?	If not effective - why not?	What should/could NP have done? NP - Participants' suggestions for further implementation
1	Insufficient Stakeholder Participation	4.1	Trust/understanding issues among stakeholders EAO participation/representation Less information sharing to different stakeholders Weak interest/understanding of stakeholders	Cooperation with ethnic CSOs	Yes, some extent	Understanding on Safeguards Delay in peace making process	Ethnic language publication/consultation More stakeholder inclusions (including "No" Group & "Watch" Group) through network which have strong representation of various CSOs/communities
2	Weak recognition of indigenous/Customary rights	3.9	No customary area mapping Inadequate regulations and guidelines	Consultation Plan developed	Yes, some extent	Peace making process delay	Advocacy in developing National Land Law Encourage improvement/development of Regulations and Guidelines through consultation process
3	Weak of Trust/understanding between Gov Departments and Communities	3.9	Past experience of engagement/communications with Government Agencies	Facilitation + Consultations			Give more time to get communities' consent for proposed conservation activities Advocate to amend the existing regulations Support of CSOs for communities awareness raising to negotiate the rights
4	Insufficient Understanding on Safeguard	3.9	Scale of project (NP) at National level/country level institutions	Consultation and workshop on safeguards (at national level only)	Yes, some extent	Long process	Consultation, workshop at sub- national level would be more helpful for different stakeholders
5	NO-Clear on Benefit Sharing mechanism at Community Level	3.8	Insufficient discussion/consultation with stakeholders				More discussion/consultation with stakeholders Need stakeholder analysis to bring the discussion group

			CSOs need to Advocate and bridge among the different stakeholders
	ent/weak 3.8 nication/coordinat among line nents	No exact/specific duty/assignment for REDD+ in departmental responsibilities/TOR No dedicated officials to undertake REDD+ activities only/mainly Weak participation from Department of Rural Development in NP	Need communication mechanism whether with working committee or task force or else Need mainstreaming REDD+ in relevant/related depts' workplan
7 Focal confirme commun collectio	nication/data	implementation  Weak involvement of CSO (Central Statistics Organization - Gov) representation in REDD+ NP implementation  Weak follow up on confirmation of CSO (Gov) to support for management of REDD+ database system	Advocate the higher officials/decision makers of respective Departments Consultations and advocacy during & after adoption of REDD+ related policies Required technical/ infrastructure Needs Assessments and support to relevant institutions (also already discussed in many meetings)
	of Regional nes (for further netation process)	Scale of project (NP) at National level/country level institutions	Regional level/landscape lavel guidelines
Limitatio various	ons for inclusion of stakeholders if ic will be going on		Develop and use of Mobile applications
Legal ba	ckup for FPIC	Provision in Ethnic rights protection Rules (20, 21)	

## Workshop 3 (1/10/2020)

	Main problems, challenges or issues for Outcomes 5 and Output 2.2	Menti Scale Point	Main cause of problem/ challenge	NP action(s) to counteract problem	NP action effective	If not why not?	What should/could NP have done?  NP - Participants' suggestions for further implementation
1	- Weak in updating/sharing/understanding/c onfused information on (latest) Strategy to different/respective depts/org and which is unknown whether or not - weak of information sharing/communication (for consultation results) across different TWGs	3.75	Information gap / weak in distributing the update information to different stakeholders – by NP or responsible personals Weak Engagement of NP and different stakeholders due to the NP office and other stakeholders' locations				Need to change Information Sharing/Communication Strategy Communication mechanism/tool to enable pre-communication Need to Share Consultation Result to respective stakeholders (Esp. the discussion results from state/region level to central/all relevant stakeholders)
4	Weak Engagement among different stakeholders (Gov, CSO, NGO, IP) and difficult to get everyone's consent (Weak in coordination among government departments)	4.1	Gaps in Information Sharing/Communication Strategy Limited resource to hold events/produce communication materials weak believe of stakeholders on REDD+ lead to less enthusiasm to take part in REDD+ implementation weak mutual trust among different stakeholders weak interpretation on communication products external factors such as less alternative livelihood options				Need to change Information Sharing/Communication Strategy e-government and reduce the bureaucratic procedures Produce news letters and communication products (relevant with local context/understanding) after consultation/confirmation with relevant communities Knowledge sharing event/policy engagement event Develop Mobile application to share info/knowledge Develop regional guidelines
5	Required line depts/different depts' supports to implement the Strategy (not only FD)	3.5	Unclear/transparency on Role and responsibility Unaware of the relevant activities by different depts Weak political support				Develop regional guidelines Form a strong task force to implement Trainings to develop Policy Brief Policy brief and Lobby the decision makers Need clear instructions by policy/decision makers Parliament support

6	Weak of Private sector's awareness on REDD+	3.5	Weak engagement/inclusion Unaware of REDD+ by Private sectors No promising economic benefits to private sector Not fully aware of REDD+ activities	Inclusion/engagement/awareness raising to Private sectors  Approach mechanism to inform the relevance of Forestry/environment related Private sector's activities (such as plantation, tourism) to REDD+
7	- Inconsistency among existing legal instruments - Existing policies/ laws do not fully support REDD+	4.3	Weak discussion/coordination among respective depts while developing respective legal instruments Weak Review on existing Legal instruments including instructions; required legal framework analysis – gap analysis comparing all relevant existing legal instruments Onetime PLR assessment is not enough Attorney General Office being final agency for approving the draft law makes it more difficult to give final comments regarding the related field.	Public consultation Review existing instructions to check whether these are in line with existing laws should issue the departmental instructions so as to implement international mechanisms such as REDD+, PES, PLR, etc. Legal framework analysis for consistency and enabling REDD+ (forestry policy revision on going)
8	Centralized natural resources management	3.3		Joint forest management, co-management, etc. for decentralization/empowerment/community-based resource management
9	Limited interconnection among the international mechanisms (particularly at the State/ Regional level)	3.4	No specific common ground/tasks among international mechanisms	Identify the common ground/common tasks among the organizations/international mechanisms for better interconnection and effective implementation Form communication platform Regular meetings/series of meetings/discussions to digest the subjects among different organizations before organizing main event Regional guidelines mainstreaming international mechanisms in state/regional level (workplan) Advocate respective Union Ministers and then to State/Regional Ministers
10	Lack of info sharing on (Not aware of) the process of government and ethnic policies comparison	3	Not sure unclear whether there is comparison among government policies, EAOs' policies and customary policies or not.  Need to share the information/result of comparison to CSOs if there was the comparison	NP needs to confirm whether the comparison was done or not.  (Yes, NP has done the comparison but with limited available resources)

# Annex V. PMU Self-evaluation Workshop

(analysis of 15 risks in National Programme Document)

#	Description	Impact & Probability	Counter measures / management response	Jun 2019	Oct. 2020	Effective-ness of mitigation measures (1-5)	Continuing constraints: why not more effective?	What more could have been done to mitigate problem or constraints?
1	Commitment of the GoM towards implementing REDD+ does not remain firm	High-level political support for REDD+ is required if Government agencies are to coordinate the development of a national programme.  Probability = 2; Impact = 4; Risk = 8	Achieving high-level political support for REDD+ is contingent on successful progress of the international negotiations, and establishment of mechanisms to reward developing countries and/or people in developing countries for reductions in deforestation.  High-level political support for REDD+ in Myanmar is dependent on substantive progress in various demonstration projects, including UN-REDD.	No change: REDD+ maintains high profile in government and outside	Relevant to all outcomes equally  No change: GoM still supporting CC mitigation measures (e.g. through NDC, CC Master Plan, etc.)	4	Maintaining political support is an on-going issue for Phase 2 and will need on-going inputs from DP's	Could have engaged more actively and earlier with higher levels of government
2	Government agencies do not cooperate and coordinate activities effectively	Failure of Government agencies to work together effectively would slow but would not prevent progress towards REDD+ Readiness. A perception of institutional competition would reduce overall commitment to REDD+ Probability = 3; Impact = 3; Risk = 9	The Myanmar REDD+ Taskforce has been explicitly established to mitigate this risk. The Taskforce's decision-making process ensures adequate coordination and consensus between Government agencies.  It will be critical that the Taskforce be seen as a multi-agency body, rather than dominated by the FD	No change: TF and TWGs operating effectively	Relevant to all outcomes; particularly OC 4 OC 4: FD vs ECD Other OC's MONREC vs other ministries TF and TWG's functioned well	4	TF has disbanded and its replacement has still not met (gov't reps identified; but CSO reps still to be identified)  New TWG's needed but not yet established	Nothing much more  Could have raised issues at NE5C  Closer link to CFNWG and other existing groups attempted but difficult
3	Donor coordination is ineffective	Lack of donor coordination could restrict the effectiveness of achieving REDD+	Donor governance structures include representatives from other key donors. GOM and development partners will	No change	Relevant to all outcomes	5	Will continue to be an issue but current GoM	GoM has introduced structures to improve donor

		Readiness through a partnership of development partners.  Probability = 1; Impact = 2; Risk = 2	develop an effective dialogue and information exchange process		No change (GoM has introduced structures to improve donor coordination)		structures will manage this	coordination (e.g .DACU)
4	Sub-national authorities do not share central government's commitment to REDD+	It is inevitable that there will be variation in the level of commitment among sub-national partners; where commitment is low, developing capacity to implement REDD+ will be slow. Ultimately, it is to be expected that national implementation of REDD+ will take account of poor progress in some states/divisions Probability = 2; Impact = 2; Risk = 4.	Focus on sub-national capacities is integrated into programme design; selection of pilot sites will take account of variation in provincial capacities, awareness and support. Linkage to existing pilot project activities needs to be taken into account.	Shan State situation appears to have been resolved	Relevant to all outcomes, especially OC 1 and OC 4  Current situation adequate for State/Region gov'ts  EAO's very mixed situation	5 State/Region governments obliged to follow lead of national Gov't	Future of Peace Process will be important	Information sharing could have been better – both within gov't and by programme  Engaging with NGO's/CSO's important
5	Programme inputs (funds, human resources, etc.) are not mobilized in a timely fashion	Most of the outputs in the programme log-frame are interconnected so slow mobilization of inputs to one component will slow down the whole programme.  Probability = 2; Impact = 2; Risk = 4	Rapid recruitment of PMU staff and technical advisors should reduce the probability and impact of this risk	No change	Staff moved on to new positions as programme end neared  Consultations with ethnic groups was expensive  OC4: Finnish funding was delayed	4	PMU (or equivalent) is still needed for on-going readiness  Mangroves project management can partially fill this gap but not completely	UN Agencies' procedures could have been better harmonized

6	Influential stakeholders who could profit from REDD+ take over the national REDD+ Readiness process	It is recognized that some stakeholders could profit significantly from REDD+ and could be tempted to take over the national REDD+ Readiness process. This would compromise the program.  Probability = 1; Impact = 3; Risk = 3.	Empowering the Myanmar REDD+ Taskforce and quickly demonstrating progress should reduce the risk of other influential stakeholders hijacking the process.	No evidence of any change in power relationships	Relevant to all outcomes  No evidence of any change	5 But probability was probably 0 for Phase 1	This risk might be more important in sub-national Phase 2 projects (e.g., miners in Kachin)	For future Phase 2 sub-national projects, FPIC guidelines will help, as will State/Region REDD+ Committees, and EIA strengthening
7	Upstream planning processes potentially pose environmental or social impacts or are vulnerable to environmental and social change	Historically, not all policy decisions affecting the forest sector in Myanmar have adequately considered social or environmental impacts  Probability = 2  Impact = 3  Risk = 6	Empowering the Myanmar REDD+ Taskforce and quickly demonstrating progress will build and maintain confidence in and ownership of REDD+ processes at the highest level	No evidence of any change	Relevant to all outcomes  No evidence of any change  CC policy, Master Plan reduces risk	4	Situation improving, e.g. environmental policies, devolution of authority	Nothing  (Many consultation workshops were held)
8	Downstream activities that potentially pose environmental and social impacts or are vulnerable to environmental and social change	Past and current land management practices have not always been consistent with national policies, and have had adverse social or environmental impacts Probability = 3 Impact = 3 Risk = 9	Governance structures for REDD+ Readiness in Myanmar include measures to promote active engagement of non- governmental stakeholders, which will promote a high level of consideration of potential social and environmental impacts	Governance structures appear to be effective	No change	5	Decreasing due to stronger civil society, FPIC guidelines, etc.	Nothing  State/Region REDD+ Committees to be established in Phase 2
9	Potential environmental and social impacts that could affect indigenous	IPs have historically been marginalized, and consequently have been exposed to social or environmental impacts	Governance structures for REDD+ Readiness in Myanmar include measures to promote active engagement of non- governmental stakeholders,	Ethnic consultations almost complete	All outcomes; especially OC 5 Ethnic consultations on strategy	Some groups (CAT; Myanmar ICCA	Some CSO will always be sceptical	Nothing – a lot more was done than anticipated

	people or other vulnerable groups	Probability = 2 Impact = 2 Risk = 4	which will promote a high level of consideration of potential social and environmental impacts		completed; on implementation underway but affected by Covid	WG) still critical of REDD+		
10	Potential impact on gender equality and women's empowerment	Inappropriate REDD+ implementation could impact gender equality and women's empowerment Probability = 2 Impact = 2 Risk = 4	A gender balance in REDD+ Readiness governance structures will be actively sought. A dedicated gender advisor will be recruited.	No change	All outcomes, especially OC 1 ICIMOD led on gender; prepared report. ICIMOD and UNREDD always emphasized women's participation	4 on promoting women's participation 3 on active gender work  UNDP/FAO gender markers utilized	Will continue to be an issue in Phase 2 — ongoing need for gender advisor  Gender reporting in GoM more common	Could have recruited gender advisor (despite agreement with ICIMOD) to more effectively influence stakeholders
11	Potential for variable impacts on women and men, different ethnic groups, social classes	Inappropriate REDD+ implementation could have variable impacts on different groups Probability = 2 Impact = 3 Risk = 6	Governance structures for REDD+ Readiness in Myanmar include measures to promote active engagement of various vulnerable groups, which will promote a high level of consideration of potential social and environmental impacts	No change	No change except for recruitment of a consultant on EAO's	4 overall (5 for ethnic groups)	Will continue during Phase 2  In case of ethnic groups, the Peace Process is important	Could have recruited a gender advisor — at least part-time
12	Potential human rights implications for vulnerable groups?	Inappropriate implementation adversely affect human rights Probability = 2 Impact = 3 Risk = 6	Governance structures for REDD+ Readiness in Myanmar include measures which will help to reduce the potential for human rights impacts.	As above	No change  For Phase 1 probability = 0	5	Will become more important in Phase 2; FPIC/GRM are important	Nothing
13	Potential to have impacts that could affect women's and men's ability to use, develop and protect	Inappropriate REDD+ implementation could impact women's and men's ability to use, develop and protect	Governance structures for REDD+ Readiness in Myanmar include measures to promote active engagement of non- governmental stakeholders,	No change	No change  For Phase 1 probability = 0	5	Will become more important in Phase 2; FPIC/GRM are important	Nothing

	natural resources and other natural capital assets	natural resources and other natural capital assets Probability = 1 Impact = 2 Risk = 2	which will help to reduce the risk of negative impacts in access to natural resources.					
14	Potential to significantly affect land tenure arrangements and/or traditional cultural ownership patterns	Inappropriate REDD+ implementation could impact land tenure or cultural ownership patterns Probability = 2 Impact = 3 Risk = 6	Governance structures for REDD+ Readiness in Myanmar include measures to ensure active engagement of vulnerable groups, which will reduce risks of impacts on land tenure or traditional/cultural ownership.	No change	No change  For Phase 1 probability = 0	5	Will become more important in Phase 2; FPIC/GRM are important	Nothing
15	Potential impact of currently approved land-use plans (e.g. roads, agro-industrial production, settlements) which could affect the environmental and social sustainability of the project	Inconsistencies between REDD+ readiness processes and existing plans could undermine impact and sustainability of results  Probability = 2 Impact = 2 Risk = 4	Governance structures for REDD+ Readiness in Myanmar will strengthen coordination between central and local (State/Region) levels, thus reducing this risk.	No evidence for any increase in risk	No evidence  Probability probably close to 0 for Phase 1	5	New NLUP/NLUC will reduce risk in future;  Mangroves funding will support this	Nothing, but support to local land-use committees through mangroves will be important

# Annex VI. Participant evaluations of Stakeholder Evaluation Workshops

## Workshop 1. OUTCOMES 1-2

Workshop being evaluated (specify)	Outcomes- 1,2,3,5
Your gender	Female:
Government or NGO/CSO	Government:
Your score (1-5) for overall quality of workshop	4
One thing you liked about the workshop	Effectiveness for open discussion with participants. <a href="www.menti.com">www.menti.com</a> Voting is very interesting.
One thing you did not like about the workshop	Participants interesting are less than normal type. Some are can support. Mostly are absent. Time is limited.
Other observation or recommendation	We need to do more frequency time. Wi-Fi need to support for long term.

Workshop being evaluated (specify)	Outcomes 1-2
Your gender	Male:
Government or NGO/CSO	Government:
Your score (1-5) for overall quality of workshop	4
One thing you liked about the	Voting,
workshop	Most participant can discuss about Workshop
One thing you did not like about the	Some participants have no chance to discuss within time limit.
workshop	Government staffs have some difficult because they are attending in Office.
	Whenever they attend in workshop, they have some work to respond
	immediately. At that time, we cannot join meeting.
Other observation or recommendation	Internet connection need to be good for virtual meeting.
	Most participants use their phone for internet connection in workshop
	attending. My suggestion is REDD+ program should support charge for
	internet connectivity and input to participants because REDD+ program need
	to get the interest of participants and their effort.

Workshop being evaluated (specify)	Outcomes 1-2
Your gender	Male
Government or NGO/CSO	Government
Your score (1-5) for overall quality of workshop	4 = Good
One thing you liked about the workshop	To implementation of conservation of forest area
One thing you did not like about the workshop	
Other observation or recommendation	Poor internet connection/ low limit time/ video conferencing is suitable in COVID-19 infection period/ Some person left meeting before program complete

Workshop being evaluated (specify)	Outcomes 1-2
Your gender	Male
Government or NGO/CSO	NGO
Your score (1-5) for overall quality of workshop	3
One thing you liked about the workshop	Providing the space to meet with TWGs members
One thing you did not like about the workshop	Internet connection
Other observation or recommendation	

### Workshop 2. OUTCOME 3

Workshop being evaluated (specify)	Outcomes 3
Your gender	Female
Government or NGO/CSO	Government
Your score (1-5) for overall quality of workshop	4
One thing you liked about the workshop	Menti meter
One thing you did not like about the workshop	Facilitation in breakout sessions
Other observation or recommendation	Prior information and clear explanation of instruction is necessary to achieve the effective results

Workshop being evaluated (specify)	Outcome 3
Your gender	Female
Government or NGO/CSO	NGO
Your score (1-5) for overall quality of workshop	3
One thing you liked about the workshop	introducing & practicing " menti" application
One thing you did not like about the workshop	time management
Other observation or recommendation	If more time for advanced preparation, it can finish in time.

### Workshop 3. OUTCOME 5

Workshop being evaluated (specify)	Outcome 5
Gender	Male
Government or NGO/CSO	NGO
Score (1-5) for overall quality of workshop	4
One thing I liked about the workshop	Preparation for the workshop is quite good and flow of the facilitation process is fantastic.
One thing you did not like about the workshop	Asking issues/ problems against implemented activities of each outcome to the participants who are not involved in the implementation or not aware of these activities are very challenging
Other observation or recommendation	Nothing special

Workshop being evaluated (specify)	Outcome 5
Gender	Male
Government or NGO/CSO	Government
Your score (1-5) for overall quality of workshop	3
One thing you liked about the workshop	Voting System for the outcomes
One thing you did not like about the workshop	No discussion of the Outcomes in the Agenda
Other observation or recommendation	The main members of TWG on REDD+ Strategy should be invited. Firstly, Evaluation Questionnaires Survey for each outcomes to specific TWG and Discussion WS for each TWG. Secondly, Evaluation WS for all TWG is more preferable. Some kinds of internet facility should be supported.

Workshop being evaluated (specify)	Outcomes- 1,2,3,5
Your gender	Female:
Government or NGO/CSO	Government:
Your score (1-5) for overall quality of workshop	4
One thing you liked about the workshop	Effectiveness for open discussion with participants. www.menti.com
	Voting is very interesting.
One thing you did not like about the workshop	Participants interesting are less than normal type. Some are can
	support. Mostly are absent. Time is limited.
Other observation or recommendation	We need to do more frequency time. Wi-Fi need to support for long
	term.

# Annex VII. Communication products of the NP

Items	Description	Remarks		
	REDD+ Myanmar (MM and Eng. Version)	Translated into 12 Ethnic Languages		
	About UN-REDD National Programme (MM and Eng. version)			
Brochures/	REDD+ in Brief (both versions)	Translated into 12 Ethnic Languages		
Pamphlets	Myanmar National Forest Monitoring System (both versions)			
	Myanmar Forest Reference level for REDD+ (both versions)			
	Reporting and Submission Requirement REDD+ (Eng)			
	Frequest Asked Questions (Both versions)	Translated into 12 Ethnic Languages		
	Misconceptions about REDD+ (both versions)	Translated into 12 Ethnic Languages		
Policy Briefs	REDD+ in the Context of Myanmar (both versions)	Translated into 12 Ethnic Languages		
	REDD+, what can Myanmar learn from Brazil? (Eng version)			
	Issue-1 (Both Version)			
Newsletters	Issue-2 (Both Version)			
	Issue-3 (Both Version)			
	SIS and Summary of Information			
Information	REDD+ National Strategy			
Notes	Civil Society and Indigenous People Organizations' Role in REDD+			
	Activities to be done for REDD+			
	Benefits for REDD+			
	Climate Change Impact			
Doctors	Communities Management of Biodiversity	Products of LINDS BEDDy Canacity		
Posters	FPIC	Products of UNDP REDD+ Capacity Building Project used for awareness		
	Green House Gas	building		
	Green House Gas Emission	_		
	How Important of Forest			
	REDD+ Concept			
	UNDRIP			
	What is REDD+			
	Introduction to REDD+			
	REDD+ Programme In Myanmar			
Video	REDD+ Academy Sessions			
	TV Interview on stakeholder engagement, REDD+ Implementation			
Knowledge	Issue 1: What is REDD+?			
Products	Issue 2: Myanmar submits its first national Forest Reference Emission Level			
	Issue 3: Progress on Myanmar's Draft National REDD+ Strategy:			
	What the strategy should contain			
	Issue 4: Indigenous Rights, Shifting Cultivation, Protected			
	Areas			
	and REDD+: How they intersect  Issue 5: How to address fuelwood as a driver of deforestation			
	and forest degradation			

	Issue 6: Who's selling carbon? Under REDD+, nobody and nobody will ever buy	
	Issue 7: The new protected areas law-What does it mean for REDD+	
	Issue 8: When will Myanmar start implementing REDD+?	
	Issue 9: The Forest Law- What does it mean for REDD+?	
	Issue 10: Rumours, Land-grabbing and REDD+?	
	Issue 11: Banking on Forests in Myanmar	
	Issue 12: The Role of Community Forestry for REDD+ in Myanmar	
	Issue 13: Why electricity is key to reducing greenhouses gas emissions from forests	
	Issue 14: Shifting Cultivation and REDD+	
	Issue 15: How to ensure the right to Free, Prior, and Informed Consent	
	Issue 16: Reserve Forests and Preserving Forests	
	Issue 17: What to do about Vacant, Fallow and Virgin (VFV) Land?	
Booklets	COP Decision Booklet	
	REDD+ Glossary	

# Annex VIII. Use of UN agency "normative tools"

## UNDP

Tool/ guidance	Use in Myanmar	Utility (1-5)				
UNDP						
FPIC Guidelines	Global FPIC guidelines developed by UN-REDD were adapted for Myanmar circumstances, field tested, and the lessons learned incorporated into revised guidelines	5. If this is assessing the utility of the Myanmar guidelines, it will depend entirely on whether the National REDD+ Coordination Committee takes steps to ensure their application in REDD+ Phase 2				
Stakeholder engagement guidelines	Global guidance on stakeholder engagement was adapted for Myanmar circumstances and used to guide engagement with all stakeholders	4. It was found necessary subsequently to develop additional guidelines on approaches to engage with EAO's				
Communication and Knowledge Management Strategy developed based on experiences and lessons learned in other UN-REDD National Programmes, and used to guide procedures for communications and knowledge management		4. Not all aspects of the Strategy were implemented (e.g. establishment of review panel), but the Strategy did allow rapid implementation of communications and knowledge management actions				
FAO						
Open Foris Collect	In use for designing the electronic forms for field data collection of the NFI, which then can be uploaded to standard mobile PDAs (tablets, smartphone)	Very useful, for designing the collection of data from all forest and land attributes (including soil and sediment variables) which are to be recorded from the field.  Requires some dedication to learn the commandos and scripts for developing the eforms according to NFI field methodology;				
Open Foris Collect Earth (Online)	In use for different purposes: (1) sample-based assessment of land for the Myanmar Forest Reference Level, (2) pre-assessment of NFI cluster location for planning the field work; (3) accuracy assessment of land cover maps. In the future (4) for generating spatial data of land classes and land types according to the NFI methodology, especially for areas where field measurements are not possible. Could possibly also be used for the incipient forest type mapping in Myanmar.	Very useful and well accepted by partners in the Forest Department, is a welcome complement to conventional spatial assessments tools; The design of Collect Earth (online) tasks, assessment cards and legends can be developed in OF Collect for uploading to Collect Earth. The system works in conjunction with Google Earth and Google Earth Engine. Good internet connection is recommendable for smooth assessment operations.				
Open Foris Collect Mobile	Android version of OF Collect, is used in Myanmar for collection of NFI field data	Very useful and well accepted by partners, works without problems on standard inexpensive tablets and smartphones, replaces expensive and often cumbersome PDAs with commercial software needs and expensive subscription fees				

Open Foris Calc	Used as interface for R and R-studio based computational modules for NFI data analysis, been used with NFI field testing data from 2019 and 2020	Very useful for data analysis of NFI data, however, requires some dedication for developing the scripts in R-studio. Careful attention needs to be given to the data recording and assessment methods of the field data, the measurement units, as well as the sampling design used for the NFI when developing the calculation modules and scripts. Otherwise misleading results could be generated.		
SAIKU	Used in Myanmar in combination with OF Calc for generating reporting tables from the outputs of the computations.	Easy to use for generating tables and cross analysis of NFI outputs as well as for plausibility control of the computations. Results can be exported in other formats (csv, excel) for further analysis and generating of reports.		
SEPAL	Used for sample-based land assessment for the development of the Myanmar Forest Reference Level; at the moment also in use for developing mosaics on piloting areas in Mangrove forests and applying a time breakpoint segmentation tool (BFAST) for measuring changes on existing forests.	The stratified area estimator tool of SEPAL has proven to be useful for the assessment of 3 major land categories: (1) stable forest, (2) stable non-forest, and (3) change areas (forest to non-forest); The group in the Forest Department trained to use the tool learnt quickly and applied it correctly.		
UNEP				
CAS framework	We used the 'country approach to safeguards' framework to guide the overall approach, and related materials (e.g. adapted diagram and used step-wise approach to communicate progress and next steps in Myanmar). Under CAS, tasks/steps were split between UNEP & UNDP.	4 - Proved to be good way to structure and communicate progress. Some steps more important than others in different countries but may be also harder to influence (e.g. filling gaps in legal framework and institutional mandates).		
CAST	Used in development of Safeguards Roadmap, e.g. filling out during the group work at roadmap workshop.	3 - It was a good way to start off the discussion on steps that might need to be undertaken; recognising as below that tools need adaptation to Myanmar context – as mentioned in examples above and below		
BeRT	BeRT was not used directly in Myanmar but informed many aspects of the approach to benefit & risk assessment. We also used the Facilitators Kit, especially the Framework for Clarifying the Cancun Safeguards (see below too). A more interactive/less computer-based version was developed and applied across workshops. The types of questions/info sought was also modified for extensive consultations on PaMs at local level. The resulting products (e.g. table in excel) was similar to BeRT.	4 – provided useful framework and materials, and was feasible to adapt methods to Myanmar situation		
Framework for Clarifying the Cancun Safeguards	Substantial discussions took place in Myanmar around the national safeguards clarification; these drew on the international safeguards principles/criteria, combined with Myanmar specific work and issues	5 – very useful way to start breaking down the safeguards principles, though recognising the need to localise terms (e.g. 'indigenous peoples')		

SIS design elements	Previous UN-REDD work on SIS design elements was used in Myanmar to launch discussions on expected functions and elements of the country's SIS	4 – as above, useful way to break down an initially complicated subject. Need to be aware of possible different understandings of key terms, e.g. people can define 'function', 'information need', 'platform', etc in different ways
Exchanges / contributions to new materials	Myanmar was able to draw on experiences of other countries (e.g. approach used in Mongolia for discussing benefits & risks at local level, examples of established SIS from Mexico, Vietnam, etc), and to contribute to knowledge exchanges and some new materials as well (e.g. at Dec 2019 SIS exchange in Hanoi, Myanmar's progress on indicators appreciated by Cambodia, learnings reflected in SIS Workbook; and thinking on NFMS/SIS and REDD+ M&E/SIS linkages)	5 – direct and indirect exchange of experiences contributes to approaches and materials

# Annex IX. Programme M&E Tracking Table

Results	Indicator	Baseline	Target	No. of months	MoV	Actual
1.2 REDD+ management entities operate effectively	Functioning UN- REDD PEB, TF, RO and TWGs	TF does not exist; RTO does not exist; 3 TWGs established during Roadmap development and reestablished with TS	Within 6 months of the start of the programme, the TF and RO established; throughout the rest of the programme, TF; RO and TWGs are active	6	Programme reports; government documents	TF and TWG's established within 6 months; RO consists of FD "core group"; TF held 2 meetings during 2017; TWGs collectively held 8 meetings
Outcome 1: Relevant stakeholders have the capacities to support implementation of REDD+	Overall level of satisfaction in the REDD+ readiness process	56% of stakeholders rate their satisfaction as either "not at all satisfied" or "somewhat satisfied"	Within 1 year of the start of the programme, the total rating "not at all satisfied" or "somewhat satisfied" falls to below 45%	12	Annual stakeholder surveys	Percentage "not satisfied" or "somewhat satisfied" is 16%
Outcome 1: Relevant stakeholders have the capacities to support implementation of REDD+	Level of engagement in REDD+ readiness	Average score for self-assessed level of engagement = 3.6/10	After one year, the level of engagement in REDD+ readiness has increased by 25% above the baseline (i.e., 4.5/10)	12	Annual stakeholder surveys	Average score is 5.3
Output 1.1 Strengthened stakeholder representation and engagement	Existence of representation and consultation systems	Following implementation of Targeted Support (TS), informal systems (TWGs) have been established or strengthened; but the TF has not been established	Within 1 year of the start of the programme, representation and consultation systems are operational	12	Programme reports	Stakeholder network established; Taskforce and TWGs include government, CSO and IP members; Taskforce is proposing to expand its membership to include private sector
1.2 REDD+ management entities operate effectively	Level of participant satisfaction with all entities	Zero for TF and RO (don't exist); TWGs will be assessed	By the end of year 1, the level of satisfaction for all entities is at least 67%	12	Annual stakeholder surveys	Level of satisfaction is 80% for Taskforce; 77% for REDD+ Office and 78% for TWG's (average 78%)
Outcome 2: National institutions have capacity to implement effective and participatory governance arrangements for REDD+	Level of stakeholder satisfaction with law enforcement, governance and transparency	63% of stakeholders rate these issues "poor"; 38 % rate them "fair"	By the end of year 1, the percentage reporting "poor" falls below 55%	12	Annual stakeholder surveys	Survey requested rating as "not satisfied"; "somewhat satisfied", "satisfied", or "very satisfied". Percentage responding "not satisfied" or "somewhat satisfied" was 63%. Percentage "not satisfied" was 4%.
2.1 Institutional measures for REDD+ awareness raising and information flow defined and operationalized	Level of knowledge about REDD+	54% (average correct score of stakeholders across the six issues with initial awareness below 70%)	By the end of year 1, the average score for those issues scoring below 70% in the initial survey is at least 75%	12	Annual stakeholder surveys	The average score for the 6 issues ranged from 49% to 88%. Two of the 6 issues attained the 75% target. The average across the 6 issues was 68% (26% improvement over baseline)
2.1 Institutional measures for REDD+ awareness raising and information flow defined and operationalized	Level of stakeholder satisfaction with access to information	88% of stakeholders rate access to data as either "not accessible" or "partially accessible"	By the end of year 1, the percentage reporting data is not accessible or partially accessible falls below 75%	12	Annual stakeholder surveys	Percentage reporting "not accessible" or "partially accessible" is 88% (no change!)

Results	Indicator	Baseline	Target	No. of months	MoV	Actual
2.1 Institutional measures for REDD+ awareness raising and information flow defined and operationalized	Level of stakeholder satisfaction with availability of information	76% of stakeholders rate availability of data as either "not available" or "partially available"	By the end of year 1, the percentage reporting availability of data is "not available" or "partially available" falls below 70%	12	Annual stakeholder surveys	Percentage reporting "not available" or "partially available" is 77% (increase over baseline)
3.1 Myanmar's approach to REDD+ safeguards	National approach to safeguards (including grievance mechanisms) has been developed through an inclusive road map process and approved.	No definition of and national approach to safeguards consistent with the Cancun Agreements of COP 16 exists.	By the end of Year 1, PLRs have been reviewed and safeguards roadmap is developed and approved	12	PLR report (including gap analysis)	Safeguards roadmap has been developed and approved, but PLRs not yet approved due to delays in the process of contracting a service provider
Output 4.1 Build capacity and develop national action plans on NFMS and RELs/RLs	Levels of stakeholder awareness	Average correct answers for 4 questions relating to NFMS = 57.8%	Within 12 months of the start of the programme, 75% of national forestry officials and key stakeholders are able to correctly answer questions on the purpose, functions and tools of an NFMS	12	Annual stakeholder surveys	Average score across the four questions was 66% (14% improvement over baseline)
5.1 REDD+ Strategy	Drivers of deforestation and forest degradation assessed	Drivers' background study completed with TS	By the end of year 1, an official report on drivers has been finalized.	12	Approved report	Report finalized and undergoing approval process
5.1 REDD+ Strategy	Priority list of policies and measures agreed in an inclusive consultation process	The REDD+ readiness road map indicates broad strategies for REDD+ implementation; information on existing support programs is weak.	By the end of year 1, a list of priority policies and measures has been prepared and consulted broadly;	12	Validated consultation reports.	Draft PAMs are included in the draft Strategy document. These have been consulted with 6 ministries, private sector stakeholders, and (to date) 3 states/regions
5.1 REDD+ Strategy	National REDD+ strategy approved	REDD+ readiness road map is available, but no National REDD+ Strategy	By the end of year 1, a draft National REDD+ Strategy is prepared;	12	Project reports and draft document	A draft National REDD+ Strategy has been prepared
2.2 Legal and policy framework for REDD+ implementation adapted and reinforced, as necessary	Proposals for legal and policy reform developed and validated	No proposals	Within 15 months of the start of the programme, a legal and policy review identifies required modifications	15	Programme reports	Draft PLR report, incorporating proposals for legal and policy reform, was submitted 16 months into the programme
Output 1.1 Strengthened stakeholder representation and engagement	Level of stakeholder satisfaction with systems	Zero (formal systems don't exist)	Within 18 months of the start of the programme, the level of satisfaction for all systems is at least 67% and remains at this level or higher thereafter	18	Annual stakeholder surveys	The percentage of those surveyed who characterized the stakeholder representation and engagement systems as "satisfactory" was 69%. 27% characterized them as "good"

Results	Indicator	Baseline	Target	No. of months	MoV	Actual
Output 4.1 Build capacity and develop national action plans on NFMS and RELs/RLs	Validated NFMS and Forest REL/RL Action Plan documents	No NFMS or REL/RL Action Plans	Within 18 months of the start of the programme, action plan documents are validated by the government	18	Action plan documents	Completed
5.1 REDD+ Strategy	Priority list of policies and measures agreed in an inclusive consultation process	The REDD+ readiness road map indicates broad strategies for REDD+ implementation; information on existing support programs is weak.	By 18 months, the final list of policies and measures is complete	18	Listed in National REDD+ Strategy	A revised list of policies and measures was prepared 18 months into the programme, reflecting feedback from a wide range of stakeholders. However, finalization requires engagement with EAO's, which is proving very challenging
5.1 REDD+ Strategy	National REDD+ strategy approved	REDD+ readiness road map is available, but no National REDD+ Strategy	Within 22 months, the National REDD+ Strategy is approved	22	Approved National REDD+ Strategy	Approval delayed due to need to consult with EAO's
Outcome 1: Relevant stakeholders have the capacities to support implementation of REDD+	Overall level of satisfaction in the REDD+ readiness process	56% of stakeholders rate their satisfaction as either "not at all satisfied" or "somewhat satisfied"	After 2 years, the total rating "not at all satisfied" or "somewhat satisfied" falls to below 35%	24	Annual stakeholder surveys	30% report being "somewhat satisfied"; none report being "not at all satisfied
Outcome 1: Relevant stakeholders have the capacities to support implementation of REDD+	Level of engagement in REDD+ readiness	Average score for self-assessed level of engagement = 3.6/10	After two years, the level of engagement in REDD+ readiness has increased compared with 1-year results	24	Annual stakeholder surveys	Average score for self- assessed level of engagement = 4.7/10
Output 1.1 Strengthened stakeholder representation and engagement	Existence of representation and consultation systems	Following implementation of Targeted Support (TS), informal systems (TWGs) have been established or strengthened; but the TF has not been established	Representation and consultation systems remain operational	24	Programme reports	Systems continue to be operational
1.2 REDD+ management entities operate effectively	Level of participant satisfaction with all entities	Zero for TF and RO (don't exist); TWGs will be assessed	By the end of year 2, the level of satisfaction for all entities is at least the year 1 level	24	Annual stakeholder surveys	Satisfaction with TF: 76%; with RO: 76%; with TWG's: 81%
Outcome 2: National institutions have capacity to implement effective and participatory governance arrangements for REDD+	Level of stakeholder satisfaction with improvements in participatory governance arrangements for REDD+	N/A (since the target measures changes in perception, i.e., that capacity has improved, the percentage that felt there was existing capacity does not matter. At the beginning of the programme, the percentage that felt	By the end of year 2, at least 60% of stakeholders consider that national institutions have improved capacity to implement participatory governance arrangements for REDD+	24	Annual stakeholder surveys	56% considered that progress in improvements in participatory governance arrangements for REDD+ was "satisfactory" or "very satisfactory"

Results	Indicator	Baseline	Target	No. of months	MoV	Actual
		improvement had been made must have been zero)				
2.1 Institutional measures for REDD+ awareness raising and information flow defined and operationalized	Level of stakeholder satisfaction with measures for REDD+ awareness raising and information flow	Can be assumed to be zero, since there were essentially no institutional measures for REDD+ awareness raising and information flow before the initiation of the programme	By the end of year 2, at least 60% of stakeholders consider that institutional measures for REDD+ awareness raising are "satisfactory" or "good"	24	Annual stakeholder surveys	79% considered that institutional measures for REDD+ awareness raising are "satisfactory" or "very satisfactory"
3.1 Myanmar's approach to REDD+ safeguards	National approach to safeguards (including grievance mechanisms) has been developed through an inclusive road map process and approved.	No definition of and national approach to safeguards consistent with the Cancun Agreements of COP 16 exists.	By the end of year 2, existing information and sources have been reviewed, and new ones developed as needed, to report on how the REDD+ safeguards are being addressed and respected; and national approach to safeguards exists	24	Safeguard road map, Report on definitions and national approach to safeguards	Safeguard roadmap completed; report on definitions completed; national approach to safeguards developed
3.2 Myanmar's Safeguards Information System (SIS)	SIS developed and integrated with an NFMS	No reporting framework and SIS exists	At the end of year 2, options for a reporting framework and a SIS structure have been analyzed and the preferred option has been selected and approved;	24	Programme reports	Options for a reporting framework and a SIS structure have been analyzed but the preferred option has not yet been selected
Outcome 4: Myanmar's national forest monitoring system (NFMS) operational and preliminary forest RELs/RLs submitted	Systems for monitoring forests and measuring and reporting on the mitigation performance of REDD+ activities in place	No national system for forest monitoring or carbon measurement and reporting in place	By the end of year 2, institutional arrangements for Myanmar's NFMS are agreed and endorsed	24	Action plan document	The FD is institutionally in charge of the NFMS, no need for explicit agreement or endorsement, but if NPD thinks a formal agreement and endorsement is necessary, he can start the necessary action
Outcome 4: Myanmar's national forest monitoring system (NFMS) operational and preliminary forest RELs/RLs submitted	Methodologies for REL/RL development agreed	No methodology for REL/RL development	By the end of year 2, a REL/RL Action Plan document is endorsed by the government	24	Action plan document	Complete
Output 4.2 Myanmar's Satellite Land Monitoring System and web- GIS portal	National land use assessment completed	No national LU/LUC assessment completed	Within 24 months of the start of the programme, a national land use assessment has been completed	24	Land use assessment results/data	No new land use assessment yet, programme still in process of building respective capacities; whether national assessments will ever be conducted annually is also questionable; target would probably need to be revised (mainly dependent on FD decisions)

Results	Indicator	Baseline	Target	No. of months	MoV	Actual
Output 4.3 Multipurpose National Forest Inventory designed and piloted	Multipurpose NFI methodology designed	Existing NFI methodology not suitable for REDD+ reporting	Within 24 months of the start of the programme, a new multipurpose NFI methodology has been designed and field manuals produced	24	Programme reports; NFI methodology documentation	New draft design available, new draft field manuals available, validation in progress, field testing planned for 2019
5.2 REDD+ Investment Programme approved and piloted	Approved REDD+ Investment Programme	No investment programme	By the end of year 2, an investment programme document has been completed	24	Programme reports	Work initiated on parts of the investment plan, but overall progress delayed by additional consultation processes required for Strategy
Outcome 1: Relevant stakeholders have the capacities to support implementation of REDD+	Level of engagement in REDD+ readiness	Average score for self-assessed level of engagement = 3.6/10	The level of engagement in REDD+ readiness shows an increase over the year 2 level	36	Annual stakeholder surveys	Average score for self- assessed level of engagement = 4.5/10, virtually the same as for year 2 (4.7)
Output 1.1 Strengthened stakeholder representation and engagement	Existence of representation and consultation systems	Following implementation of Targeted Support (TS), informal systems (TWGs) have been established or strengthened; but the TF has not been established	Representation and consultation systems remain operational	36	Programme reports	TF and TWG's remain operational (4 TF meeting and 7 TWG meetings)
1.2 REDD+ management entities operate effectively	Level of participant satisfaction with all entities	Zero for TF and RO (don't exist); TWGs will be assessed	The level of satisfaction for all entities is at least 67%	36	Annual stakeholder surveys	Satisfaction with TF: 82%; with RO: 91%; with TWG's: 82%
Outcome 2: National institutions have capacity to implement effective and participatory governance arrangements for REDD+	Level of stakeholder satisfaction with improvements in participatory governance arrangements for REDD+	N/A (since the target measures changes in perception, i.e., that capacity has improved, the percentage that felt there was existing capacity does not matter. At the beginning of the programme, the percentage that felt improvement had been made must have been zero)	By the end of year 3, at least 70% of stakeholders consider that national institutions have improved capacity to implement participatory governance arrangements for REDD+	36	Annual stakeholder surveys	68% considered that progress in improvements in participatory governance arrangements for REDD+ was "satisfactory" or "very satisfactory" (12% increase over year 2)
2.1 Institutional measures for REDD+ awareness raising and information flow defined and operationalized	Level of stakeholder satisfaction with measures for REDD+ awareness raising and information flow	Can be assumed to be zero, since there were essentially no institutional measures for REDD+ awareness raising and information flow before the	By the end of year 3, at least 70% of stakeholders consider that institutional measures for REDD+ awareness raising are "satisfactory" or "good"	36	Annual stakeholder surveys	3% consider that measures being undertaken for REDD+ awareness raising and information flow are "not effective"; 76% consider them "partially effective"; and 20% "fully effective"

Results	Indicator	Baseline	Target	No. of months	MoV	Actual
		initiation of the programme				
3.1 Myanmar's approach to REDD+ safeguards	National approach to safeguards (including grievance mechanisms) has been developed through an inclusive road map process and approved.	No definition of and national approach to safeguards consistent with the Cancun Agreements of COP 16 exists.	By the end of year 3, a country-level grievance mechanism has been developed, tested and approved	36	Programme reports; Country-level grievance mechanism document	A grievance mechanism has been designed as part of a national approach to safeguards and tested at the District level
3.2 Myanmar's Safeguards Information System (SIS)	SIS developed and integrated with an NFMS	No reporting framework and SIS exists	At the end of year 3, a SIS is finalized and is integrated with an NFMS	36	Functional SIS is collecting information	The SIS has been designed but is not yet functioning, nor integrated with the NFMS
Outcome 4: Myanmar's national forest monitoring system (NFMS) operational and preliminary forest RELs/RLs submitted	Systems for monitoring forests and measuring and reporting on the mitigation performance of REDD+ activities in place	No national system for forest monitoring or carbon measurement and reporting in place	By the end of year 3, Myanmar has a near- real-time forest monitoring system in place	36	GHG inventory populated with national data	A near-real-time forest monitoring system will not be in place in Myanmar within the time frame of the UNREDD NP. The SNC team has still not embraced the national data provided by the FD, so the GHG inventory cannot be populated with national data
5.2 REDD+ Investment Programme approved and piloted	Pilot interventions under implementation	No pilot activities	By the end of year 3, initial pilot activities under implementation in priority states/regions	36	Programme reports	Pilot interventions have been supported on community forest strengthening
Outcome 1: Relevant stakeholders have the capacities to support implementation of REDD+	Overall level of satisfaction in the REDD+ readiness process	56% of stakeholders rate their satisfaction as either "not at all satisfied" or "somewhat satisfied"	At the end of the programme, the total rating "not at all satisfied" or "somewhat satisfied" is below 25%	48	Annual stakeholder surveys	Due to Covid, surveys could not be completed, but all previous targets of this indicator met
Outcome 1: Relevant stakeholders have the capacities to support implementation of REDD+	Level of engagement in REDD+ readiness	Average score for self-assessed level of engagement = 3.6/10	The level of engagement in REDD+ readiness has increased above year 3 levels	48	Annual stakeholder surveys	Due to Covid, surveys could not be completed, but all previous targets of this indicator met
Output 1.1 Strengthened stakeholder representation and engagement	Existence of representation and consultation systems	Following implementation of Targeted Support (TS), informal systems (TWGs) have been established or strengthened; but the TF has not been established	Representation and consultation systems remain operational	48	Programme reports	TF and TWG's remain operational (2 TF meetings and 4 TWG meetings)

Results	Indicator	Baseline	Target	No. of months	MoV	Actual
1.2 REDD+ management entities operate effectively	Level of participant satisfaction with all entities	Zero for TF and RO (don't exist); TWGs will be assessed	By the end of year 3, the level of satisfaction for all entities is above year 2 levels	48	Annual stakeholder surveys	Due to Covid, surveys could not be completed, but all previous targets of this indicator met
Outcome 2: National institutions have capacity to implement effective and participatory governance arrangements for REDD+	Level of stakeholder satisfaction with improvements in participatory governance arrangements for REDD+	N/A (since the target measures changes in perception, i.e., that capacity has improved, the percentage that felt there was existing capacity does not matter. At the beginning of the programme, the percentage that felt improvement had been made must have been zero)	The percentage of stakeholders who consider that national institutions have improved capacity to implement participatory governance arrangements for REDD+ does not fall below year 3 levels	48	Annual stakeholder surveys	Due to Covid, surveys could not be completed, but all previous targets of this indicator met
2.1 Institutional measures for REDD+ awareness raising and information flow defined and operationalized	Level of stakeholder satisfaction with measures for REDD+ awareness raising and information flow	Can be assumed to be zero, since there were essentially no institutional measures for REDD+ awareness raising and information flow before the initiation of the programme	The percentage of stakeholders who consider that institutional measures for REDD+ awareness raising are "satisfactory" or "good" does not fall below year 3 levels	48	Annual stakeholder surveys	Due to Covid, surveys could not be completed, but all previous targets of this indicator met
Objective: National capacity for the implementation of REDD+ under the UNFCCC enhanced and relevant (technical, legal, social) systems developed	Systemic and institutional capacities, key systems and frameworks for REDD+ implementation	No systems exist; some planned (e.g., NFMS)	By the end of the programme, all required capacities and key systems are in place	48	Technical reports	FREL complete; NRS completed, pending approval; SIS design complete; NFMS capacities raised
2.2 Legal and policy framework for REDD+ implementation adapted and reinforced, as necessary	Legal and policy amendments adopted	No modifications	By the end of the programme at least 75% of the proposed modifications have been enacted; the process for the remaining modifications is underway	48	Programme reports	Of 23 PLR recommendations which are consistent with the mandate and timescale of the UN-REDD programme, 17 (74%) were implemented
Outcome 3: REDD+ safeguards can be effectively applied and information on safeguards reported to UNFCCC	National REDD+ safeguards defined in a national context and functional safeguards information system available to provide information on how REDD+	Existing policies laws and regulations have not been assessed for the applicability to REDD+, suitable safeguards have not been amended or designed, and a	At the end of the last year a fully functional safeguards information system is in place (including a country-level grievance mechanism) providing information on respecting and addressing safeguards. A first summary of	48	Central database and archiving system covering of information on REDD+ safeguards; submission of Sol	A fully functioning SIS was designed; implementation delayed due to slow decision (Covid-related) on host of system

Results	Indicator	Baseline	Target	No. of months	MoV	Actual
	safeguards are being addressed and respected	safeguards information system is not in place.	information on safeguards has been provided to the UNFCCC.			
3.2 Myanmar's Safeguards Information System (SIS)	SIS developed and integrated with an NFMS	No reporting framework and SIS exists	By the end of year 4 a summary of information has been submitted to the UNFCCC	48	SOI document	SOI submitted to UNFCCC
Outcome 4: Myanmar's national forest monitoring system (NFMS) operational and preliminary forest RELs/RLs submitted	Systems for monitoring forests and measuring and reporting on the mitigation performance of REDD+ activities in place	No national system for forest monitoring or carbon measurement and reporting in place	By the end of the programme, Myanmar is assessing its activity data and emission factors for its national GHG inventory	48	Web-GIS portal of satellite land monitoring system	The programme has supported the focal government (FD/MONREC) in the preparation of the SNC and revising of NDC for LULUCF sector.
Outcome 4: Myanmar's national forest monitoring system (NFMS) operational and preliminary forest RELs/RLs submitted	Methodologies for REL/RL development agreed	No methodology for REL/RL development	By the end of the programme, various methodologies for REL/RL development have been piloted at demonstration site(s)	48	Methodological proposal documents	Initial work on developing a subnational FRL for Mangroves, identification of issues and potential options (combined support from UNREDD TA and NP); National FRL updating planned for 2021 after analysing of the results from field data collection at national level.
Output 4.2 Myanmar's Satellite Land Monitoring System and web- GIS portal	Satellite land monitoring system (SLMS) and web-GIS portal in place	No SLMS in place	By the end of the programme, Myanmar has an SLMS and forest monitoring web-portal in place	48	Programme reports; government documents; web-GIS portal	The NFMS Module will be integrated in OneMap Geoportal, and query structures and definition of different levels of access privileges still need to be developed. New methodology as new standard for wall to wall land cover mapping of the FD/MONREC defined. Final draft maps are available
Output 4.2 Myanmar's Satellite Land Monitoring System and web- GIS portal	National land use assessment completed	No national LU/LUC assessment completed	By the end of the programme, national land use assessments are completed annually	48	Land use assessment results/data	Final draft of land assessment manual available, discussed and agreed with FD.
Output 4.3 Multipurpose National Forest Inventory designed and piloted	New NFI methodology piloted	No NFI methodology for REDD+ in place	By the end of the programme, the new NFI methodology has been piloted at a demonstration site, with data collected and input into the specialised NFI database	48	Programme reports; government documents; NFI database	Final version of NFI field methodology available as well as final draft of estimation design. General NFI design document available as advanced annotated outline; Estimation design of the NFI data analysis modules and data processing chains developed
Outcome 5: National REDD+ Strategy under implementation	Awareness of REDD+ Strategy implementation	No National REDD+ Strategy	By the end of the programme, at least 90% of stakeholders in the national REDD+ stakeholder network know that the Strategy is under implementation and	48	Survey of national stakeholder REDD+ network	Many stakeholders believe NRS has been implemented for some time (e.g., MRRP); implementation in mangrove ecosystems, through UN-REDD, initiated

Results	Indicator	Baseline	Target	No. of months	MoV	Actual
			are able to identify pilot activities			

## Annex X. List of reports consulted

- Myanmar UN-REDD National Programme Document
- Minutes of PEB, TF and TWG meetings (especially PEB 8th & 9th Meetings, TF 6th & 9th Meetings and Agenda items
- Annual Reports, especially January to December 2019
- Mid-Term Review Draft Report (November 2018)
- Identifying drivers of deforestation and forest degradation in Myanmar (February 2017)
- Drivers of Deforestation and Forest Degradation in Myanmar (December 2017)
- National Forest Reference Level (FRL) for Myanmar
- Communication Strategy for REDD+ in Myanmar
- Guidelines for Stakeholder Engagement in Policies and Programmes for Sustainable Forest Management and REDD+
- · Existing and planned activities for completing REDD+ in Myanmar
- EAOs engagement plan for REDD+ Strategy Consultation
- Myanmar National REDD+ Strategy, Version 4.2
- REDD+ Investment Plan Myanmar
- Scoping of REDD+ finance management context, options and roadmap for implementation
- Review of legal and policy frameworks, and development of grievance redress mechanisms for REDD+ implementation in Myanmar
- National Clarification on Safeguards including risks and benefits analysis of REDD+ Policies and Measures.
- National Approach to Safeguards
- Myanmar SIS Operationalization Plan
- Myanmar 1st Summary of Information (SOI) 2019
- Scoping of REDD+ finance management context, options and roadmap for implementation
- Competency Framework for REDD+ in Myanmar
- Comparative Analysis of Union Government and EAO Policies related to Land, Forests, Natural Resources and the Environment (May 2020)
- Manual for National Forest Inventory of Myanmar
- Analysis of the potential benefits and risks of Policies and Measures (PAMs) proposed for the Myanmar National REDD+ Strategy - Summary by Safeguard (July 2019)
- Consultations on Proposed PAMs:
- Incorporation of VFV land into the PFE
- Integrated Land Use Planning
- Expansion of Community Forests
- Shifting Cultivation
- Preparation of a Process to Ensure the Right to Free, Prior and Informed Consent is Respected and the design of a Grievance Redress Mechanism. Howe Sustainable Pte Ltd.
- Oo TN, Hlaing EES, Aye YY, Chan N, Maung NL, Phyoe SS, Thu P, Thuy PT, Maharani C, Moeliono M, Gangga A, Dwisatrio B, Kyi MKM and San SM. 2020. The context of REDD+ in Myanmar: Drivers, agents and institutions. Occasional Paper 202. Bogor, Indonesia: CIFOR.
- UNDP Policy Briefing (draft). Lessons Learned: Overcoming Challenges to REDD+ in Myanmar
- National Forest Inventory for Myanmar: Design, Planning and Implementation
- Policy Brief: REDD+ in the Context of Myanmar
- Misconceptions About REDD+

- The Road from Bali to Paris: Collection of COP decisions on REDD+
- Information Notes:
  - o REDD+ National Strategies / Action Plans
  - o Civil Society and Indigenous Peoples Organizations' Role in REDD+
  - o Cancun Safeguards, SIS and Summary of Information

# Annex XI. Brief profile of international consultant and national consultant

#### **Dr Michael Richards**

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

The first 13 years of his career were spent working as an agricultural economist in Malawi, Sri Lanka, Mexico and Honduras, mainly for UK Overseas Development Administration. Since 1990 he has worked mainly on forestry and environmental issues, including as Research Fellow at the UK Overseas Development Institute (ODI) from 1993 to 2001 and as an associate of Forest Trends since 2007, as well as an independent consultant. His research and consultancy assignments have included payments for ecosystem services (PES), forest governance, economic analysis of participatory forest management, forest trade, development of a social impact assessment methodology for REDD+ projects, and analysis of livelihood impacts of Voluntary Partnership Agreements under the EU FLEGT initiative. Since 2014 his work has included developing a participatory methodology of sub-national REDD+ planning under the UN-REDD Programmes of Vietnam and Nepal, and conducting evaluations of the Sri Lanka, Mongolia and Bangladesh UN-REDD National Programmes.

### Mr. Phyo Thu, National Consultant

Phyo Thu is a natural resources management specialist. He has extensive working experience in many areas of Myanmar. He had studied Forestry Science in University of Forestry, Yezin, Myanmar and M.Sc. in Ecological Economics from Seoul National University, South Korea. For nine years, he has been working at some of the key Local NGOs' Development Projects; coordination among various stakeholders especially among the communities and the authorities across the countries. He has experience as a National Consultant at Eco-services Consulting Company to develop a strong communication with the Myanmar government ministries and local authorities for better understanding of developing projects in Myanmar.

During the previous 6 years, he has worked as a project manager for FAO-FFF project, a consultant and programme officer in MERN, a trainer and resource person in several trainings mainly related to NRM, environmental conservation and community development; a National Expert for Myanmar Timber Legality Assurance System (MTLAS) Gap Analysis Project under FAO-FLEGT. Over the last three years, he had been working as the "National Technical Coordinator" (National Consultant) for 6NR to CBD project and ABS project (implementation of Nagoya Protocol) in UNDP in coordination with Forest Department and Environmental Conservation Department.

## Annex XII Code of Conduct Agreement Form

**Evaluation Consultant Agreement Form** 

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

Name of Consultant: Michael Richards

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): Witney, UK. 24.10.20

Signature:

**Evaluation Consultant Agreement Form** 

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

Name of Consultant: Phyo Thu

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): Mandalay, Myanmar. 24.10.2020

Signature:

## Annex XIII Signed TE Final Report Clearance Form

### **UN-REDD Terminal Evaluation Final Report Clearance Form**

Terminal Evaluation Report Reviewed and Cleared By:

**Commissioning Unit** 

Name: Titon Mitra, Resident Representative

Signature:

Date: 21 Jan 2021

UNDP-REDD+ Regional Technical Advisor

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Name: Kin Yii Yong

Signature:

Date: 18 January 2021