

# Second Evaluation of the Forest Carbon Partnership Facility: Conclusions and Recommendations

22<sup>nd</sup> Meeting of the Participants Committee

Accra, Ghana

September 28, 2016



Majella Clarke, Petra Mikkolainen,  
Nagmeldin Elhassan and Marisa Camargo



**Indufor** ...forest intelligence

# Overview

- Evaluation Purpose and Objectives
- The FCPF Results Chain
- Applying the OECD DAC Quality Standards
- Intergating comments and feedback into the Final Report and recommendations
- Overview of Methods and Data Sources
- Main Findings, Conclusions and Recommendations

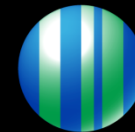


# Quick Recap: Evaluation Purpose and Objectives

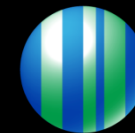
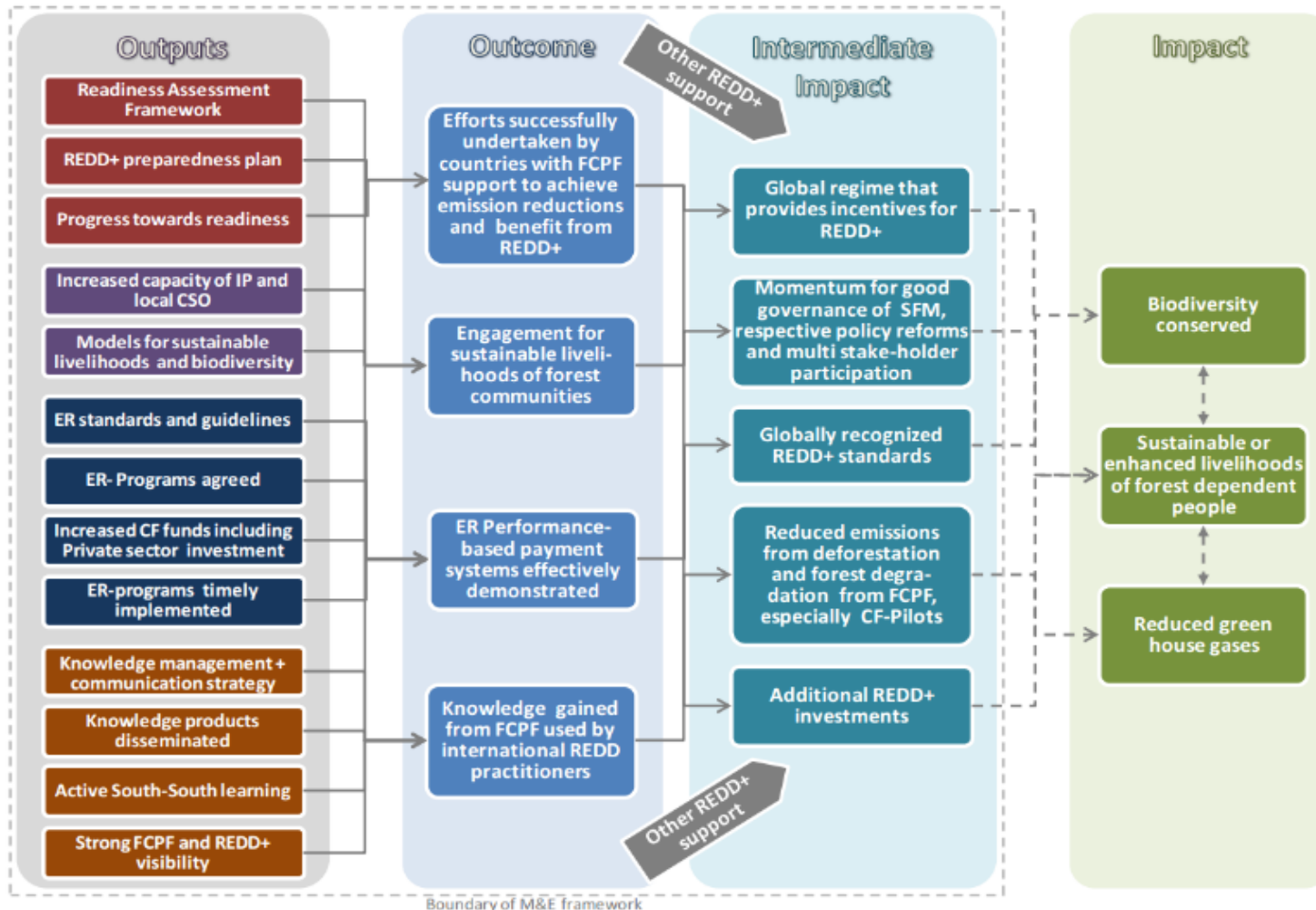
## **Provide findings, conclusions and recommendations with a focus on:**

- program delivery at the country level, especially in responding to Country Participants' strategic priorities and capacities
- the FCPF's position in relation to other REDD+ initiatives and the role and contribution of the FCPF at the country level and within the global REDD+ architecture
- consistency in operations of the Readiness Fund and the Carbon Fund, and lessons from the Readiness Fund
- FCPF actions taken for knowledge sharing at country, regional and global levels for all aspects related to the readiness process.

**The 2nd evaluation of the FCPF commenced in June 2016 and concluded with the delivery of the final report in August 2016.**



# The FCPF Results Chain



# Applying the OECD DAC Quality Standards

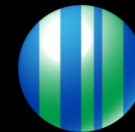
The OECD DAC Quality Standards for Development Evaluation (2010) were used to guide the conduct and outputs of the evaluation. The quality standards define and guide:

- The evaluation criteria
- Overarching considerations and principles of an evaluation (e.g. free and open)
- Purpose, planning and design of an evaluation
- Implementation and reporting (Executive Summary and Final Evaluation Report)
- Follow-up, Use and Learning (e.g. Commenting period, management response).



# Integrating Comments and Feedback into the Final Report

- Comments received from 2 REDD Countries, 5 Financial Contributors, 2 International Organizations, UNFCCC, the World Bank, and the Reference Group Member
- Factual corrections
- Common feedback:
  - Strengthen evidence chain
  - Link findings with conclusions and recommendations
  - Consider the work, effort, resources and time to implement recommendations (does it improve the efficiency of the program?)
- Key disagreements:
  - Methodological Framework, expectations of alignments with UNFCCC, expectations from the Carbon Fund.



# Presentation of Evaluation Results

## Data Collection and Methodology

Document Review

Stakeholder  
Consultations and Field  
Visits

Stratification of Data

Evaluation Matrix  
Questions

## Findings and Conclusions

Relevance

Effectiveness

Impact, Sustainability  
and Efficiency

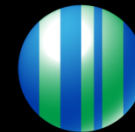
## Recommendations

Readiness Fund

Carbon Fund

Both Funds

Future Evaluations



# Data Collection and Methodology

## Data Collection and Methodology

Document Review

Stakeholder Consultations  
and Field Visits

Stratification of Data

Evaluation Matrix  
Questions

## Findings and Conclusions

Relevance

Effectiveness

Impact, Sustainability and  
Efficiency

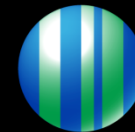
## Recommendations

Readiness Fund

Carbon Fund

Both Funds

Future Evaluations





# Statistics: General Stakeholders

Stakeholder Group	Tier 2 & 3 Stakeholders	General Stakeholders	Sub-Total
Multilaterals, Delivery Partners, UN & Other International Organizations	50	55	105
Financial Contributors	0	30	30
NGOs, Other CSOs & Key Informants	49	18	67
Forest Dependent Indigenous Peoples / Forest Dwellers	32	8	40
Private Sector	8	24	32
Government	82	1	83
<b>TOTAL RESPONSES</b>	<b>221</b>	<b>136</b>	<b>357</b>

- Total number of individuals contacted: 939
- Response Rate: 38%

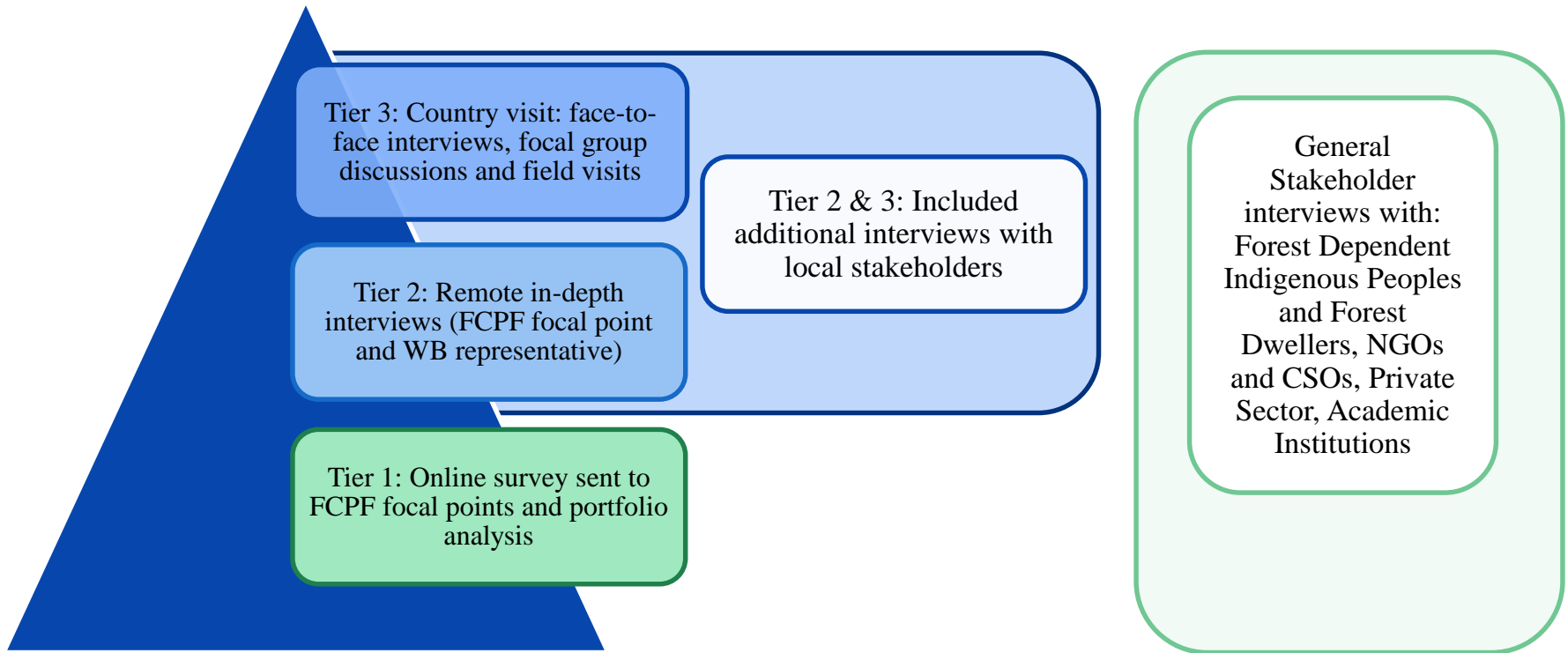


# Stakeholder Consultations: Online survey for REDD Country focal points and Field Visits

- Online survey was administered to collect information from REDD FCPF Country focal points
- The online survey was pre-tested and the English edition was translated into Spanish and French
- There was a **98% response rate** to the online survey
- Field visits to:
  - Ghana (November 2015)
  - Mexico (January 2016)
  - Peru (January 2016)
  - Madagascar (January 2015)
  - Nepal (February 2016)



# Stratification of Data Collected from Stakeholders



# Evaluation Findings and Conclusions

## Data Collection and Methodology

Document Review

Stakeholder Consultations  
and Field Visits

Stratification of Data

Evaluation Matrix  
Questions

## Findings and Conclusions

Relevance

Effectiveness

Impact, Sustainability and  
Efficiency

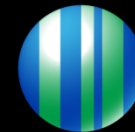
## Recommendations

Readiness Fund

Carbon Fund

Both Funds

Future Evaluations



# Relevance



Amazon Forest  
Photo: [www.nwclimate.org](http://www.nwclimate.org)



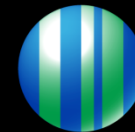
# For what reason did countries decide to join the FCPF in the first place, and to continue the engagement thereafter?

## Findings

- The FCPF contributed to national REDD Readiness processes through its technical and financial support, its emphasis on capacity building, institutionalizing REDD+ at the national level, and its approach to building cross-sectoral, multi-stakeholder processes
- The FCPF continued to add value to REDD Countries through its common readiness framework and structured approach to REDD Readiness
- Most Financial Contributors continued engagement in the FCPF because it was their government's policy to contribute to initiatives that halt and reverse deforestation in developing countries.

## Conclusions

- **One of the key strengths of the FCPF has been the structure and common readiness framework that the Facility has provided REDD Countries throughout the portfolio**
- **The FCPF was relevant to most of the Financial Contributor countries**
- **The FCPF's role as a key player in international REDD+ processes was strengthened during the evaluation period (July 2011-December 2014).**



# To what extent and in what ways has the FCPF responded to countries' strategic priorities?

## Findings

- The FCPF is an important program for launching national REDD+ processes in many REDD Countries,
- The FCPF did not respond well to all REDD Countries' priorities and needs
- Slow processes and bureaucratic requirements have been the cause of unmet and partially met expectations by some REDD Countries
- In some countries, the FCPF Delivery Partners (i.e. the IDB, the UNDP and the World Bank) had not integrated REDD+ agenda into their country engagement.

## Conclusions

- **The FCPF responded to REDD Countries' strategic priorities for climate change and forests.**
- **The FCPF was relevant to most of the Financial Contributor countries.**
- **The evaluation observed some weaknesses in the extent to which the Delivery Partners' country engagement strategies were aligned with the REDD+ agenda in REDD Countries.**



# Effectiveness

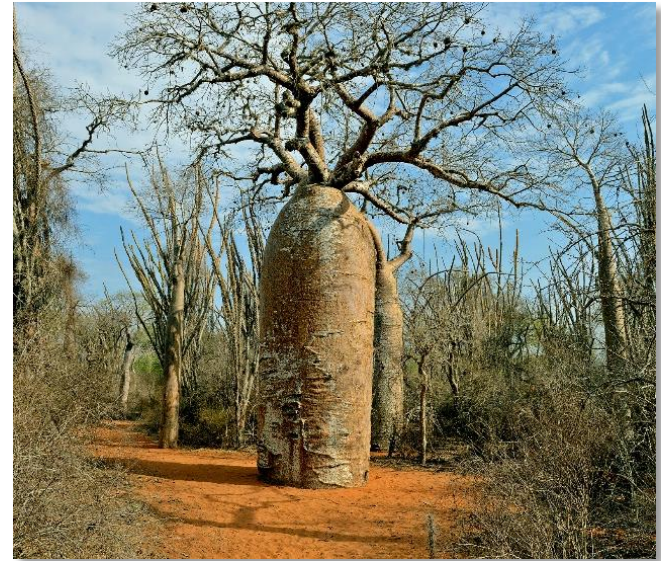


Photo: Spiny Forest in Madagascar





# To what extent and in what ways has the FCPF supported countries in preparing to undertake REDD+?

## Findings

- The FCPF has contributed to national REDD Readiness with recognizable country-driven benefits
- The challenges arising from FCPF support included the efficiency of the Program at the country level, technical issues, complying with Delivery Partner policies, managing expectations, the level of financing (especially for Emission Reduction Programs), and the alignment of the FCPF with other global efforts
- The FCPF has provided extensive support in preparing countries to undertake REDD Readiness planning and its initial implementation
- The FCPF demonstrated limited effectiveness in supporting countries to undertake the advanced stages of REDD Readiness
- There is a lack of clarity on how Emission Reduction Programs under the Carbon Fund will be financed.

## Conclusions

- **The FCPF has been effective in kick-starting national REDD Readiness processes in over 40 countries and in building the first multilateral Results- Based Framework for REDD+.**
- **The FCPF has faced challenges in reaching advanced stages of readiness at the portfolio level and securing investments for the Future Emissions Reduction Programs.**



# To what extent and in what ways have the various instruments developed by the FCPF been helpful to countries in preparing to undertake REDD+?

## Findings

- The R-PP template was applied extensively across the FCPF portfolio and was a helpful tool in the planning of REDD Readiness
- The Readiness Assessment Framework was viewed as the most helpful tool
- The template for annual country progress reporting for monitoring and evaluation was well- structured.
- The ER-PIN template and its formulation process demonstrated national ownership of the document.
- The ER-PIN template provided no guidance on how to manage uncertainty and stakeholder expectations during formulation consultations
- There are several Methodological Framework requirements that are more restrictive than UNFCCC requirements
- Different stakeholder groups had strong and divergent opinions about the Methodological Framework
- The FCPF has operationalized the Common Approach for Environmental and Social Safeguards,.



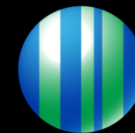
# To what extent and in what ways have the various instruments developed by the FCPF been helpful to countries in preparing to undertake REDD+?

## Findings

- Reporting on the Common Approach lacks consistency across the portfolio, creating challenges for portfolio-level monitoring and evaluation of the Common Approach
- There continues to be a disconnect between UNFCCC and FCPF safeguard requirements
- REDD Countries required more in-depth, constant and tailor-made support to implement the guidelines on SESA/ESMF, stakeholder engagement, grievance redress and disclosure of information included under the Common Approach.

## Conclusions

- **The FCPF provided a number of useful tools to REDD Countries to navigate the readiness preparation processes**
- **While robust, the Carbon Fund's Methodological Framework is viewed as technically challenging among the REDD Countries, whom expect adequate technical support to meet its criteria and indicators**
- **The operationalization of the Common Approach for Environmental and Social Safeguards contributed positively to the program's effectiveness.**



# To what extent and in what ways has the FCPF supported countries' efforts to achieve high levels of stakeholder engagement?

## Findings

- There has been an increase in overall engagement of Indigenous Peoples, Other Forest Dwellers and Civil Society Organizations (IPs and CSOs hereinafter) in the FCPF at the global level
- The implementation of the IP and CSO Capacity Building Program (CBP) Phase II has been delayed. The budget allocation for the CBP was comparably small, compared to its objectives
- The FCPF REDD processes at the country level, especially the R-PP formulation, have been inclusive
- Gender considerations are widely mentioned in FCPF guidance documents, but there was limited evidence of full and effective participation of women in country-level actions
- Emission Reduction Programs offer the potential for private sector engagement at several levels; however, there is a need to present clearly formulated business cases and that would attract the private sector actors'
- The threshold to join the Carbon Fund (USD 5 million) was considered a barrier for smaller private sector actors to engage in the Carbon Fund.



# To what extent and in what ways has the FCPF supported countries' efforts to achieve high levels of stakeholder engagement?

## Conclusions

- The FCPF has made concerted efforts to ensure high levels of stakeholder engagement in the FCPF at global, regional and national levels
- The FCPF has not achieved systematic gender mainstreaming in the Facility's operations
- The FCPF has not managed to attract private sector interest and engage effectively across the portfolio.



# To what extent and in what ways has the FCPF supported efforts to involve multi-sectoral actors in countries' institutional arrangements and national dialogues?

## Findings

- The R-PP effectively documented the institutionalization of REDD+ in national readiness management arrangements. It also provided guidance on how to include multi-sector actors in institutional arrangements
- National institutions led coordination at the country level, but the extent of their effectiveness was highly variable. Some of the results can be attributed to the FCPF, which provided financial support for national REDD institutions
- National institutions leading REDD+ processes are vulnerable to the after effects of elections
- The extent of, and approaches to, the involvement of the multi-sectoral actors in institutional arrangements and dialogues for REDD+ are country-specific and vary across the portfolio
- The formality and reporting on multi-sectoral arrangements was found to be variable during field visits

## Conclusions

- **The FCPF had a minor role in multi-sectoral coordination in most REDD Countries.**



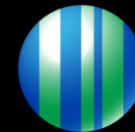
# To what extent and in what ways has the FCPF promoted the sharing of knowledge among stakeholders at national, regional and global levels?

## Findings

- The REDD Country Focal Points perceived the FCPF to be a useful platform for knowledge sharing for REDD+.
- Although the FCPF Draft Framework Strategy for Knowledge Management and Communications is being implemented, it is based on internal working documents instead of a formal strategy. The FCPF has continued supporting REDD Countries to actively participate in South-South learning in collaboration with other institutions working on REDD+.
- The FCPF increased its visibility and the availability of documents on its website and on social media during the evaluation period. However, materials tailored for different audiences were scarce, including translations.

## Conclusions

- **The FCPF has played an important role in providing useful information for the REDD Countries to carry out REDD Readiness activities**
- **The absence of a formal strategy document for knowledge sharing and communications was a weakness in the FCPF**



# To what extent and in what ways has the FCPF responded to the recommendations of earlier evaluations?

## Findings

- Most recommendations were achieved or partly achieved
- Those recommendations that were not achieved continued to be weaknesses during the second evaluation period
  - Private Sector engagement
  - Knowledge Sharing

## Conclusions

- **The follow-up actions based on the recommendations of the first evaluation strengthened the effectiveness of the FCPF**
- **Those recommendations of the first evaluation that were not implemented relate to some of the current weaknesses in the implementation of the program.**

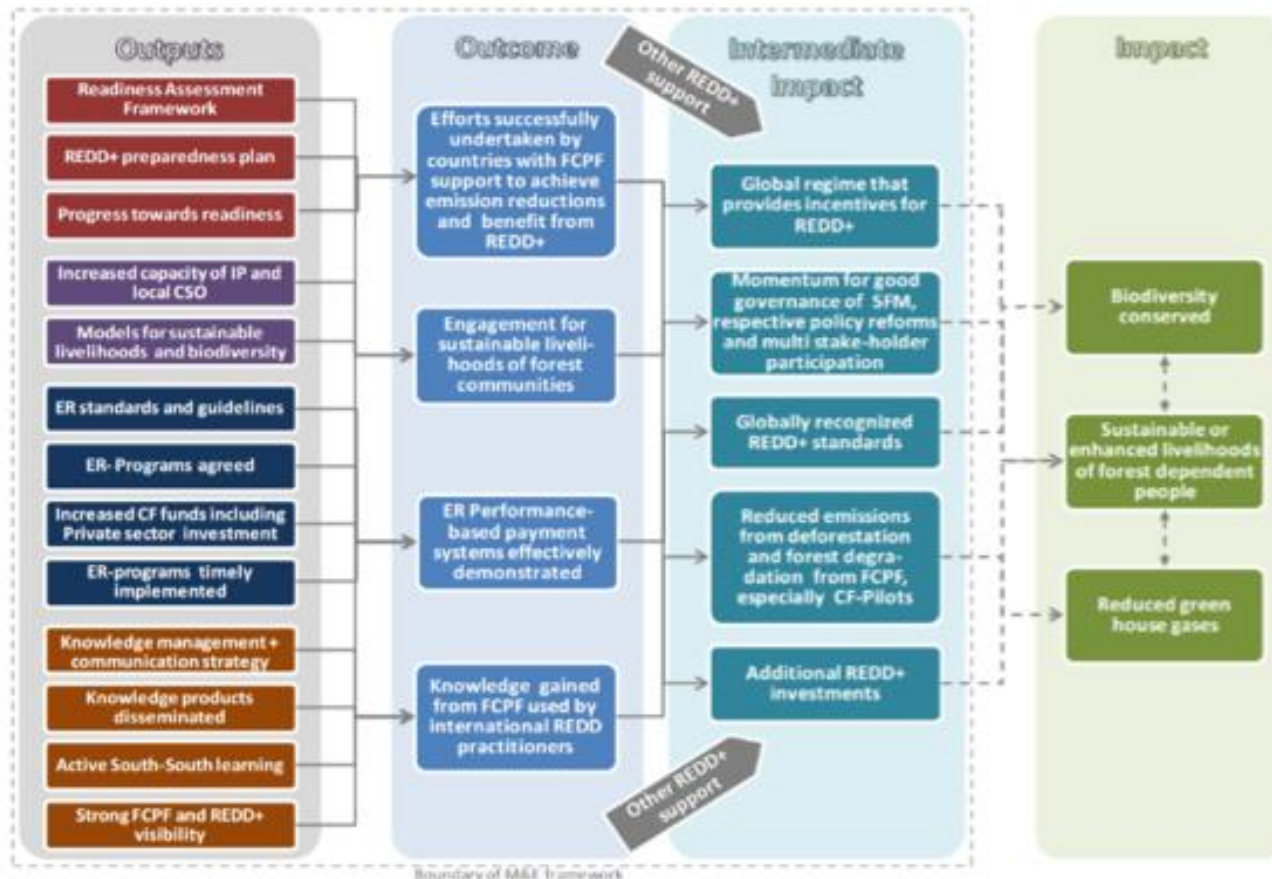




# Impact, Sustainability and Efficiency



# To what extent and in what ways has the FCPF contributed to broad and long-term change beyond its short-term effects?



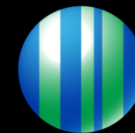
# To what extent and in what ways has the FCPF contributed to broad and long-term change beyond its short-term effects?

## Findings

- The FCPF was catalytic in responding to, and structuring a program for, REDD Readiness
- It is unclear to what extent the FCPF will reduce emissions in the long term
- Joint FCPF-UNREDD templates and guidance improve the potential for globally recognized standards for REDD+
- Land tenure was viewed as an important prerequisite for successful implementation of REDD+
- The FCPF has contributed to improved participatory decision-making processes and governance, especially at the global level

## Conclusions

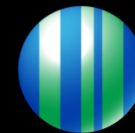
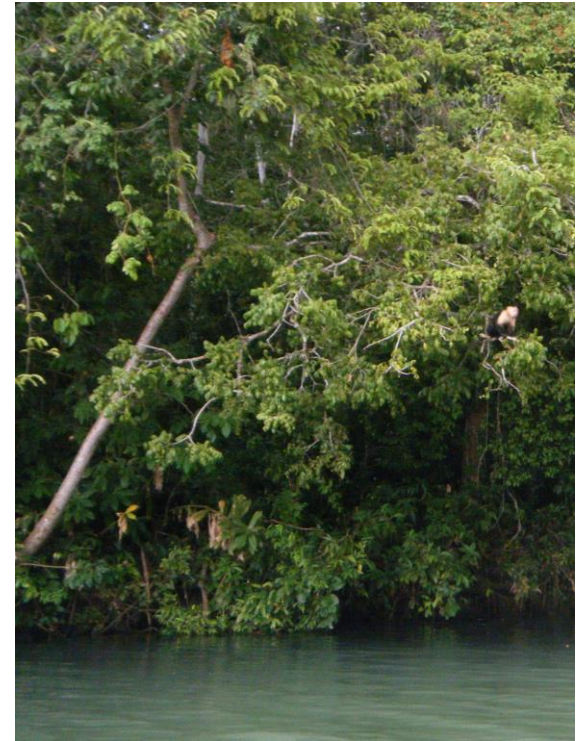
- **The FCPF has only achieved approximately half of its expected outcomes which has weakened the Results Chain.**



# How efficiently and effectively have the FCPF superstructure groups performed the roles expected of them?

5 areas of analysis for this question:

- Readiness Fund
- Carbon Fund
- Outputs
- Leveraging
- Performance of Superstructure Groups



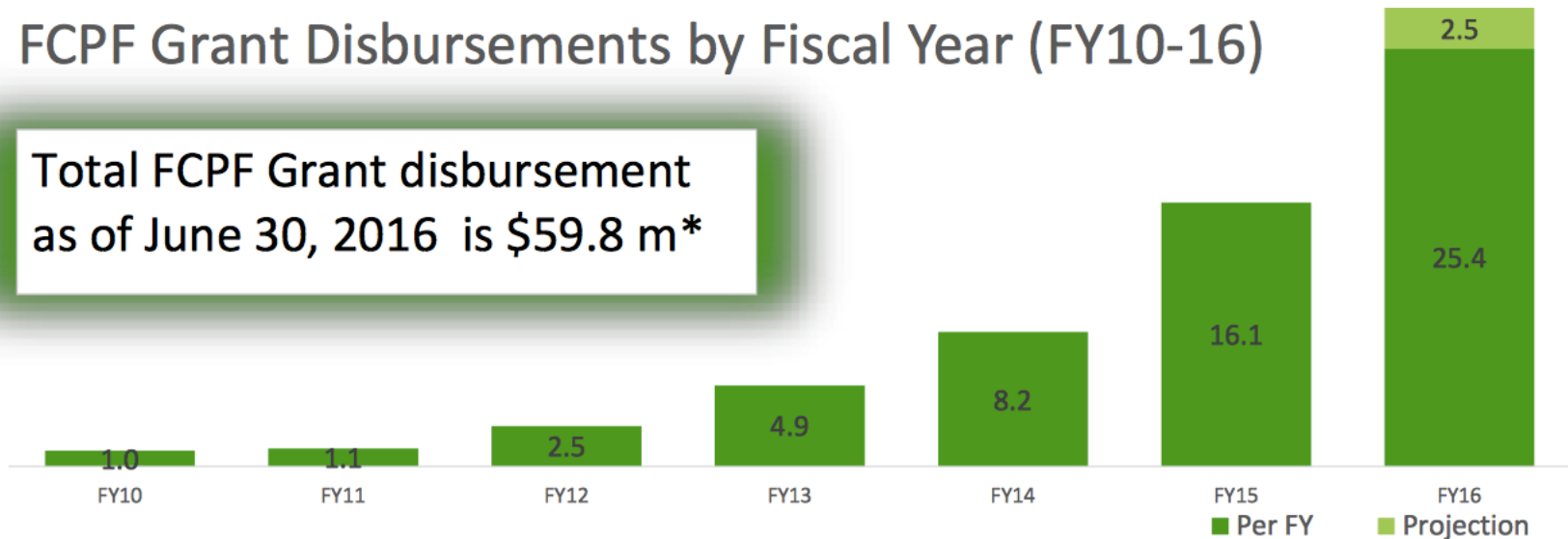
# Readiness Fund

## Findings

- The Readiness Fund continued to attract contributions between FY11–FY15
- The efficiency of the Readiness Fund has improved and grants have doubled on an annual basis since 2011
- The Readiness Fund did not meet its efficiency targets - 60% of countries with a disbursement rate, which is in line with the agreed Readiness Preparation grant.

## FCPF Grant Disbursements by Fiscal Year (FY10-16)

Total FCPF Grant disbursement as of June 30, 2016 is \$59.8 m\*



\*An additional \$30.4 m has been disbursed to other Delivery Partners, of which 4.8 has been disbursed (total \$64.6 m)



## Carbon Fund Findings

- Contrary to targets and expectations, the Carbon Fund did not disburse financing for emission reductions in FY11–15
- Developing the procedures and guidance for the Carbon Fund, such as the Methodological Framework and the ERPA Terms Sheet, took much longer than expected.

## Outputs Findings

- The FCPF attained its target for R-PPs, which were the main output across the portfolio
- Navigating procurement policies and the due diligence procedures of Delivery Partners created a challenge for REDD Countries and commonly led to slower than expected country-level disbursements
- Streamlining processes for signing Grant Agreements and submission of the R-PP demonstrated improvements in efficiency, and REDD Countries that recently joined the FCPF have benefited.

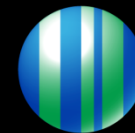


## **Findings for Leveraging**

- Templates for planning programs (e.g. R-PP, FIP Investment Plan template) included guidance and instructions for reporting leveraging
- The UN-REDD Programme and bilateral programs provided the bulk of co-financing and leveraged resources for REDD Readiness
- Inefficiencies in REDD Readiness disbursements and program implementation led to misalignments in the coordination of some national REDD Readiness efforts.

## **Findings for the Performance of Superstructure Groups**

- Tailor-made technical support from the FMT contributes to improved efficiency at the country level
- The FMT and Delivery Partners provided important technical support to REDD Countries in most cases.



# How efficiently and effectively have the FCPF superstructure groups performed the roles expected of them?

## Conclusions

- The FCPF encountered challenges in disbursing funds at the Country level and disbursement rates for REDD Readiness implementation was significantly lower than that which was initially expected
- Considerable investments into the development of the world's first multilateral results-based framework for REDD+ have helped to operationalize the Carbon Fund
- The FIP , UNREDD and bilateral programs filled some of the financing gaps for readiness preparation and implementation
- Tailored technical assistance to the REDD Countries improved the efficiency of the program.





# Recommendations

## Data Collection and Methodology

Document Review

Stakeholder Consultations  
and Field Visits

Stratification of Data

Evaluation Matrix  
Questions

## Findings and Conclusions

Relevance

Effectiveness

Impact, Sustainability and  
Efficiency

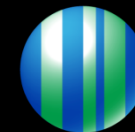
## Recommendations

Readiness Fund

Carbon Fund

Both Funds

Future Evaluations



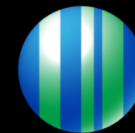
# Recommendations: Readiness Fund

- 1. Continue working on the implementation of REDD Readiness through the structured Readiness Framework of the FCPF.**
- 2. Produce useful tools to support the implementation of the SESA/ESMF.**  
Produce a well-structured SESA/ESMF template with detailed guidance, requirements and steps for implementation.
- 3. Improve the disbursements for REDD Readiness at the country level.**  
The FMT should facilitate the provision of technical assistance upon the request of REDD Countries for Readiness Implementation. Prioritize technical assistance to the countries with the largest undisbursed finance.
- 4. Improve efficiency with greater transparency and accountability.**  
Prioritize FMT and Delivery Partner support to “stranded” REDD Countries where there has been slow disbursement. Improve the transparency and accountability of delayed disbursements with actions taken and reasons reported by Delivery Partners to the PC.



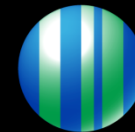
# Recommendations: Carbon Fund

1. **Review the Methodological Framework**
2. **Include detailed guidance on how to manage consultations during the ER-PIN formulation process, focusing on targeted consultations.**
3. **Create a private sector program** designed to improve private sector engagement, to leverage and scale up private sector commitment and participation in the FCPF.
4. **Revise the Charter** to reduce the minimum threshold of USD 5 million for entry into the Carbon Fund in order to attract interest from smaller potential contributors.



# Recommendations: Readiness and Carbon Funds

1. **Strengthen the alignment of Delivery Partner country engagement strategies and the countries' REDD+ agendas.**
2. **Continue providing country-tailored technical support to REDD Countries.**
3. **Consolidate the reporting system of the FCPF.** The reporting system of the FCPF should be strengthened by revising the REDD Country Annual Report template to align it with the updated M&E Framework.
4. **Change the Delivery Partner of the IP and CSO Capacity Building Program and overhaul the Program.**
5. **Formulate and implement a Gender Mainstreaming Strategy.**
6. REDD Countries should **continue working to involve multi-sectoral stakeholders in dialogues and institutional arrangements for REDD+,** especially when preparing and implementing Emission Reduction Programs.
7. **Design and implement a Final Knowledge Sharing and Communications Strategy.**
8. **Revise the M&E Framework of the FCPF.**



# Recommendations: Future Evaluations

**Implement future evaluations in real-time and under a framework contract.**

Example: Norway's International Climate and Forestry Initiative.

- Good for large complex program evaluations
- Annual Focus themes (e.g. MRV, CSO engagement etc)
- Real-time means up to the present

Ensure that all entities expected to follow up on the evaluations' recommendations, including the PC, provide a systematic response in order to be compliant with OECD DAC evaluation quality standards.



# Discussion

