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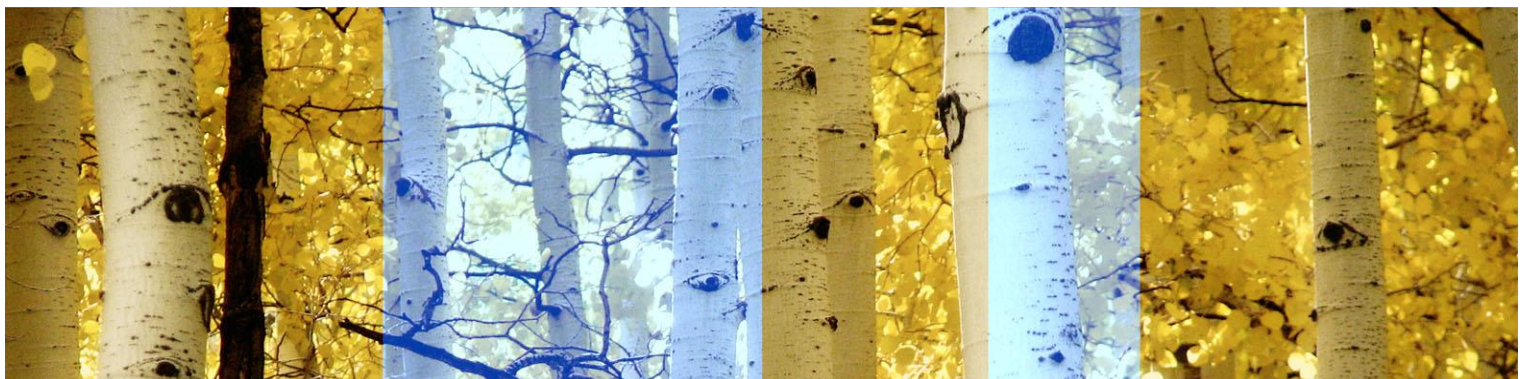
The World Bank

Second Program Evaluation of the Forest Carbon Partnership Facility (FCPF)

Inception Report

Helsinki, Finland
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ACRONYMS AND ABBREVIATIONS

| | |
|--------|---|
| AFOLU | Agriculture, Forestry and Other Land Use |
| AOSIS | Association of Small Island States |
| APAC | Asia and the Pacific |
| CF | Carbon Fund |
| CIF | Climate Investment Fund |
| CoP | Conference of the Parties |
| CSO | Civil society organization |
| DAC | Development Assistance Committee (of OECD) |
| DRC | Democratic Republic of the Congo |
| e.g. | <i>exempli gratia</i> ('for example') |
| EOC | Evaluation Oversight Committee |
| EQ | Evaluation question |
| ER | Emission reduction |
| ERP | Emission Reduction Program |
| ERPA | Emission Reduction Purchase Agreement |
| ERPD | Emission Reduction Program Document |
| ER-PIN | Emission Reduction Program Idea Note |
| ESMF | Environmental and Social Management Framework |
| FAO | Food and Agricultural Organization of the United Nations |
| FCPF | Forest Carbon Partnership Facility |
| FIP | Forest Investment Program |
| FLEGT | Forest Law Enforcement Governance and Trade |
| FMT | Facility Management Team |
| FPP | Forest Peoples Program |
| GCF | Green Climate Fund |
| GEF | Global Environment Facility |
| GHG | Greenhouse gas |
| GRPP | Global and Regional Partnership Program |
| IDB | Inter-American Development Bank (also, IADB, BID) |
| i.e. | <i>id est</i> ('that is') |
| IEG | Independent Evaluation Group |
| IIED | International Institute for Environment and Development |
| IISD | International Institute for Sustainable Development |
| INDC | Intended Nationally Determined Contribution |
| IUCN | International Union for Conservation of Nature |
| IPCBP | Indigenous Peoples' Capacity Building Program |
| IPCC | International Panel on Climate Change |
| JMA | Joint Mitigation and Adaptation |
| LAC | Latin America and the Caribbean |
| LDC | Least Developed Country |
| LULUCF | Land use, land-use change and forestry |
| M&E | Monitoring and evaluation |
| MF | Methodological Framework (of FCPF) |
| NGO | Non-governmental organization |
| NICFI | Norway's International Climate and Forest Initiative |
| OECD | Organisation for Economic Co-operation and Development |
| PC | Participants Committee (the FCPF governing body) |
| PEGS | Payment for ecosystem goods and services |
| PES | Payment for ecosystem services |
| PDR | People's Democratic Republic |
| PMF | Performance Measurement Framework |
| RAF | Readiness Assessment Framework |
| REDD+ | Reducing Emissions from Deforestation and forest Degradation; the role of conservation, sustainable management of forests, and the enhancement of |



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| | |
|---------|--|
| | carbon stocks |
| RF | Readiness Fund |
| R-PIN | Readiness Program Idea Note |
| R-PP | Readiness Preparation Proposal |
| SBSTA | Subsidiary Body for Scientific and Technological Advice |
| SESA | Strategic Environmental and Social Assessment |
| SIDS | Small Island Developing State |
| TAP | Technical Advisory Panel (of FCPF) |
| TFRK | Traditional forest-related knowledge |
| TNC | The Nature Conservancy |
| ToR | Terms of Reference |
| UNDP | United Nations Development Program |
| UNEP | United Nations Environment Program |
| UNFCCC | United Nations Framework Convention on Climate Change |
| UN-REDD | United Nations Program on Reducing Emissions from Deforestation and Forest Degradation |
| WFR | Warsaw Framework on REDD+ |
| WRI | World Resources Institute |
| WWF | World Wildlife Fund (World Wide Fund for Nature) |



EXECUTIVE SUMMARY

The Forest Carbon Partnership Facility (FCPF) was launched at the 13th session of the Conference of Parties (CoP 13) to the United Nations Framework Convention on Climate Change (UNFCCC) in Bali in 2007, and became operational in June 2008. The FCPF is designed to support developing countries in their efforts to reduce emissions from deforestation and forest degradation (REDD+) taking into account the role of conservation, sustainable management of forests and enhancement of forest carbon stocks. It has the dual objectives of: (a) building capacity for REDD+ in developing countries in tropical and subtropical regions, and (b) testing a program of performance-based incentive payments in some pilot countries, in order to help set the stage for a much larger system of positive incentives and financing flows in the future. These objectives relate respectively to the FCPF's Readiness Fund and its Carbon Fund.

Article 17 of the FCPF Charter requires the Facility to be periodically evaluated by an independent third party (in this case Indufor Oy). The Article states that the scope of evaluations shall be determined by the Participants Committee and shall include, without limitation, an assessment of the effectiveness of the governance structure of the Facility and the operational effectiveness of the Readiness Fund and the Carbon Fund. The Terms of Reference (ToR) for this second FCPF program evaluation require attention to the evaluation criteria of the Organisation for Economic Co-operation and Development/Development Assistance Committee (OECD/DAC). On this basis, the Inception Report describes an evaluation that aims to yield a broad and balanced assessment of the achievements of the FCPF and the challenges facing it, and to generate specific recommendations for the use of the FCPF's Participants Committee, Facility Management Team (FMT), Delivery Partners and World Bank Management. To do this, the evaluation is guided by an Oversight Committee which reports to the Participants Committee, a Reference Group for technical matters, and the FMT for operational matters, with World Bank Management expected to provide a comment and management response.

The second FCPF program evaluation covers 2011-2014, with the purposes of:

1. contributing to improving the FCPF's program effectiveness and delivery towards 2020 by feeding real time learning from REDD+ implementation back into the program; and
2. contributing to overall alignment of strategic direction of the FCPF to ensure that FCPF support to REDD+ Country Participants and other stakeholders remains relevant to addressing country level needs whilst also aligned to the emerging global architecture for REDD+.

The evaluation is designed to answer four groups of questions:

- **on effectiveness** - the extent to which the objectives of the FCPF are being achieved, and the major factors influencing this;
- **on relevance** - the relationship between the FCPF and (a) the priorities of participating and contributing countries, and (b) the global context provided by global treaties (such as the UNFCCC) and funding mechanisms (such as the Green Climate Fund);
- **on efficiency** - the cost-effectiveness, timeliness and added value of efforts to build partner capacity to deliver on FCPF objectives and associated disbursements and procurements; and
- **on impact and sustainability** - the anticipation and attribution of long-term GHG emission reductions and other effects caused or facilitated directly or indirectly by the FCPF.

The evaluation is built around seeking answers to ten key Evaluation Questions (EQs), two focused on relevance, six on effectiveness and one each on impact/sustainability and efficiency. An evaluation matrix relates the key EQs to the approaches and sources of information to be used in answering them. These information sources are:



- **review of previous program-level FCPF evaluations**, particularly Baastel (2011) and IEG (2012), but others such as DFID (2014) and macro-level evaluations of other REDD+ and low-carbon development initiatives as appropriate;
- **review of various FCPF documents**, especially the Emission Reduction Program Idea Notes (ER-PINs) for the countries that have prepared them, and for all countries their Readiness Preparation Proposals (R-PPs), R-PP Technical Implementation Reports and Country Progress Sheets;
- **on-line surveys**, in which a link to a questionnaire on FCPF performance will be sent to REDD+ Focal Points in all REDD+ Country Participants (i.e. 'Tier 1' countries), the aim being to provide an opportunity for country-level stakeholders in all of them to comment at their discretion;
- **interviews**, to be conducted remotely (2-5 in each 'Tier 2' country) or face-to-face (16-24 in each 'Tier 3' country), with additional interviews targeting individuals in relevant international organizations as well as the FMT and Delivery Partners who are directly involved in managing, supervising, reviewing and informing the FCPF process and its various steps, funds, disbursements and procurements;
- **group discussions** (in Tier 3) countries; and
- **field visits** (to Tier 3 countries), to allow ground-truthing and further exploration of country-specific understandings derived from literature review and elsewhere.

The disaggregation of REDD+ Country Participants amongst Tiers 1-3 is important to this strategy, which is explained by noting that there are not enough evaluation resources to distribute them equally among 47 REDD+ Country Participants, while still gaining detailed insights on the FCPF process in each country. A decision had to be made on how to reconcile the need to reach out as broadly as possible to stakeholders with the need to obtain robust answers to those evaluation questions that demand a high level of detail. The chosen solution was a three-tiered approach. In this, certain kinds of data would be sought by on-line survey and portfolio analysis from all countries (Tier 1, n = 47), larger amounts and more detail would be sought by remote interviews from some of them (Tier 2, n = 17), and only a few would actually be visited to allow face-to-face interviews and group discussions (Tier 3, n = 6). Overall starting assumptions in selecting Tier 2 and Tier 3 countries were that it would be desirable:

- to have an approximately equal number of countries in all tiers from each of the major geographical regions of Asia and the Pacific (APAC), Africa, and Latin America and the Caribbean (LAC); and
- to consider the biodiversity and bioregional representativeness of countries, particularly within Tier 3, to ensure coverage of as many as possible of the world's major biotic divisions that are relevant to tropical forests.

For Tier 2, it is proposed to select mainly countries that are in a mature stage of FCPF participation. The rationale is that they have taken most of the technical, policy-level and political steps needed to develop proposals for emission reductions, they have described these steps and analyzed them in relation to their own development processes and priorities, and they have engaged with the FCPF over several years thus offering a valuable historical perspective on the whole process. For the same reasons, they can shed light on the issue of why and how significant progress has been achieved, which is a matter of direct consequence for the evaluation questions concerning relevance and effectiveness. Most countries in Tier 2 are therefore drawn from among those with an ER-PIN and/or a Preparation Grant agreed in 2011-2013.

For Tier 3, the additional investment required to visit selected countries requires careful justification of each choice. Each EQ was therefore considered from the point of view of whether it offered strong grounds for choosing countries to visit, and five of them yielded clear guidance relevant to selecting countries for field visits, based on one primary and two secondary selection criteria. The primary criterion was the duration of engagement with the FCPF (using the existence of an ER-PIN as a proxy), since this was judged likely to indicate



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sustained *relevance*, the achievement of multiple FCPF milestones using multiple FCPF instruments to indicate *effectiveness*, and the possibility of detecting attributable changes in slow-moving sectors such as education, governance and legislation to indicate *impact/sustainability*.

The secondary criteria related to potential relative exclusion and disadvantage, using as proxies: (a) least-developed country (LDCs) status, and (b) the presence of forest-dependent Indigenous Peoples (IPs) and other potentially excluded and disadvantaged groups. Two tertiary criteria (i.e. country size as a proxy for complexity and therefore evaluability in a short field mission, and the existence of a baseline due to the country having been studied in detail by the first FCPF evaluation), and two special factors (i.e. the existence of official travel warnings for a country, and the focus of the country's REDD+ program on plantations rather than natural forests) were then also applied to reduce the number of potential Tier 3 countries to the maximum of six required and resulted in Nepal, Lao PDR, Mexico, Peru, Ghana and Madagascar.

To use information from the multiple sources described in relation to the matrix, the evaluation will employ multiple methods of analysis that include: hypothesis building and testing; portfolio analysis; comparative analysis of ER-PINS, timeline creation; organizing information from informants; systematic triangulation of data; and validation of findings and feedback analysis.

A communication plan is integral to the evaluation, and comprises: dialogue with the Oversight Committee and Reference Group at inception stage; presentation of methods at the Participants Committee meeting in November 2015; monthly progress reports and field visit reports; presentation of findings to the Oversight Committee and other stakeholders in 2016; dissemination of and feedback on the draft Final Report; and dissemination of the Final Report in English, Spanish and French at the discretion of the Oversight Committee.

The foreseen outputs of the evaluation comprise:

- **Progress Reports** to provide the client with assurance that progress is in line with expectations, that any problems that have arisen have been identified, analyzed, discussed and are being appropriately addressed, and that plans for the immediate future are likely to yield further progress towards the evaluation goals;
- **Field Visit Reports** following country visits; and
- **the Final Report** which will be drafted in March and April of 2016 and finalized in May 2016 after review by the client.



1. INTRODUCTION

1.1 The Development of an International REDD+ Framework

According to the 2014 Assessment Report of the Intergovernmental Panel on Climate Change (IPCC), the Agriculture, Forestry and Other Land Uses (AFOLU) sector is responsible for just under a quarter of total anthropogenic greenhouse gas (GHG) emissions (i.e. about 11 GtCO₂eq/yr). Even without agriculture, in 2000-2009 the rest of the sector accounted for 12% of total emissions, primarily due to deforestation. Although the report recognized the decreasing deforestation rates in some countries in Latin America, it concluded that deforestation remained the single largest contributor to GHG emissions from the AFOLU sector.

As reported in the 2008 Technical Paper of the United Nations Framework Convention on Climate Change (UNFCCC) *Investment and financial flows to address climate change: an update* (FCCC/TP/2008/7) and UNEP's *Emissions Gap 2012* report, the mitigation potential in the forestry sector by 2020 in developing countries is equivalent to approximately 4.2 Gt CO₂ annually. In addition, as highlighted by Houghton (2012), "no other processes or procedures alone have the potential for stopping and reversing the accumulation of CO₂ in the atmosphere at the speed necessary to stabilize concentrations at 450 ppm or less".

The issue of reducing emissions from deforestation in developing countries and how to stimulate action on this was first introduced into the UNFCCC Conference of the Parties (CoP) agenda at its eleventh session in Montreal (December 2005), with a proposal supported by the governments of Papua New Guinea and Costa Rica and eight other Parties (Table 1). This received wide support, and there was general agreement on the importance of the issue in the context of climate change mitigation, particularly in light of the large contribution to global GHG emissions of emissions from deforestation in developing countries. Since then, the CoP has adopted a number of decisions that have further refined the idea, the net result being that since the 2010 CoP what is now called 'REDD+' has meant promoting more sustainable forest management, enhancing forest carbon stocks for example through natural regeneration, assisted natural regeneration or enrichment planting in natural forests, reducing emissions from deforestation and forest degradation, and conserving carbon stocks, with due attention to co-benefits such as poverty, governance, biodiversity, and ecosystem services.

Table 1 **Timeline for the Development of an International REDD+ Framework**

| Year | CoP | Development | Outcome |
|------|--------------------|---|---|
| 2005 | COP11 (Montreal) | Papua New Guinea and Costa Rica ask for new agenda item on "Reducing Emissions from Deforestation (RED)" | Launch of a two year process |
| 2006 | COP12 (Nairobi) | Agreement on a second workshop | |
| 2007 | COP 13 (Bali) | Non-Annex I Parties to undertake measurable, reportable and verifiable NAMAs; REDD+ Activities introduced; Guidance on demonstration activities | Bali Action Plan Dec. 2/CP.13 |
| 2008 | COP14 (Poznan) | Paving the way for COP Decision on REDD+ methodological issues | |
| 2009 | COP15 (Copenhagen) | Methodological guidance on REDD+ activities, including national forest monitoring systems required to estimate GHGs from forestry activities | Dec. 4/CP.15 |
| 2010 | COP16 (Cancun) | Guidance on implementing REDD+ activities, including: national forest | Cancun Agreements |



| | | | |
|------|----------------|--|---|
| | | monitoring systems required to monitor and report on REDD+ activities | Dec. 1/CP.16 |
| 2011 | COP17 (Durban) | Guidance on forest reference emission levels and forest reference levels for REDD+ activities and on systems for providing information on REDD+ safeguards. | Dec. 2/CP.17 Dec. 12/CP.17 |
| 2012 | COP18 (Doha) | Work Program on results based finance under the COP to be resumed at COP 19. Coordination of support SBSTA/SBI/initiation of work on non-market approaches and methodological guidance for non-carbon benefits | Dec. 1/CP.18 |
| 2013 | COP19 (Warsaw) | Guidance completed for FRELs/FRLs, and NFMS; more guidance on SIS and MRV and Drivers/Provisions for result-based finance and coordination of support | Warsaw REDD+ Framework Dec.9/CP.19, Dec.10/CP.19 Dec.11/CP.19, Dec.12/CP.19 Dec.13/CP.19, Dec.14/CP.19 Dec.15/CP.19 |

At the UNFCCC's inter-sessional meeting at Bonn in June 2015, agreement was reached on three issues related to REDD+:

- **further guidance on safeguards**, with higher levels of financing committed to higher levels of protection;
- **methodological issues and guidance** related to non-carbon benefits (NCBs); and
- **non-market-based approaches**, based on Bolivia's Joint Mitigation and Adaptation (JMA) proposal, which would allow countries to choose freely among available sources of financing, including carbon markets.

These decisions are expected to contribute to a binding decision at the next COP (in Paris, Nov-Dec 2015), but at negotiation sessions before Paris, REDD+ negotiators will be focusing on what elements of REDD+ should constitute the basis of the foreseen Paris Agreement. To a large extent this will rely on submissions by the Parties on their Intended Nationally Determined Contributions (INDCs). There had been expectations in early 2015 that REDD+ would have targets associated with it, with some negotiators pointing to the New York Declaration on the Role of Forests, which sets a target of halting global deforestation by 2030, but there have been disagreements among Parties on setting targets for forests. Some, for example, expect targets to be linked to an agreed mechanism for performance-based payments, while others do not. It is therefore currently expected that REDD+ will be addressed at a very general level in any agreement at the Paris COP.

REDD+ is still evolving under the UNFCCC, and SBSTA sessions have addressed the issue of including within the framework the globally-significant carbon held by the world's oceans and coastal ecosystems (also known as 'blue carbon'). These carbon resources include sea grasses, mangrove forests, and salt marshes, all of which are under pressure from degradation, destruction and pollution around the world. Consideration of blue carbon was included in SBSTA sessions in 2011-2014, but it was concluded early on that policy



development in this area was getting ahead of its scientific foundation, and momentum slowed. There has been increased research effort on how to measure blue carbon since about 2013, and there are growing expectations that it will eventually be absorbed into the REDD+ framework, especially in view of the joint mitigation (i.e. carbon storage) and adaptation (e.g. storm protection) services provided by coastal ecosystems.

Since the co-benefits of ecosystem management, which also include, for example, water catchment services, sustainable livelihoods, and biodiversity and soil conservation, can contribute to maintaining the resilience of countries to changing weather patterns and weather-related disasters, there is an important link here between mitigation and climate change adaptation. Thus, in principle REDD+ can contribute to resolving the mitigation, adaptation, biodiversity loss, mass extinction and other challenges now facing humanity and the biosphere, a 'multiple-win' approach not matched by other mitigation strategies.

1.2 The FCPF

The Forest Carbon Partnership Facility (FCPF) aims to support developing countries in building their capacity to mitigate climate change by undertaking REDD+. The REDD+ process is complex and involves many stakeholders. Because of the high policy priority given by many countries to mitigating climate change, adapting to it, and preventing mass extinction, and the importance of tropical forests in all three contexts much effort has gone into finding ways to advance the REDD+ agenda effectively, equitably and sustainably, and the FCPF is among the largest practical attempts so far to do this. The FCPF was launched at the 2007 (Bali) UNFCCC CoP under the management of a Facility Management Team (FMT) at the World Bank, with the latter also acting as Trustee. It has two separate but linked funding mechanisms with which to prepare and incentivize REDD+: the **Readiness Fund**, which finances the efforts of developing countries to prepare for REDD+, and the **Carbon Fund**, which finances the piloting of specific REDD+ initiatives. In the longer term, a mechanism to manage results-based payments at a larger level will be needed, but this is still subject to international negotiations. Contributors to the Readiness Fund are known as 'Financial Contributors', while those involved in the Carbon Fund are known as 'Carbon Fund Participants', and developing countries participating in these funds are known as 'REDD+ Country Participants'.

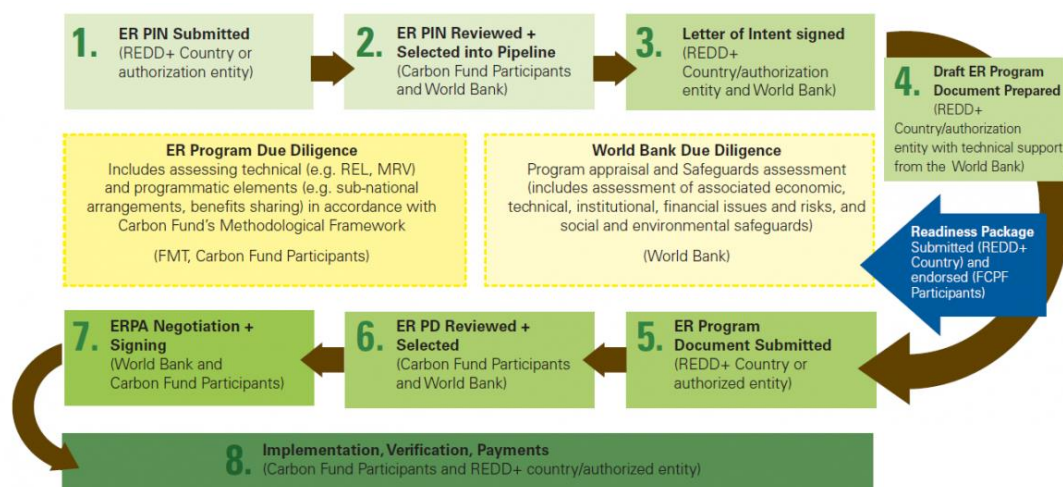
The process of preparing for REDD+ includes multiple activities that include the development of policies, laws, strategies, institutions, maps, analyses, databases and monitoring arrangements. The FCPF offers some support from the Readiness Fund to help REDD+ Country Participants achieve REDD+ readiness, and then further support from the Carbon Fund to define and implement potential REDD+ field activities and transactions. A developing country that wishes to join the FCPF may undertake the following steps.

1. It will submit a Readiness Plan Idea Note (R-PIN), to provide an overview of land use patterns, causes of deforestation, stakeholder consultation processes, and potential institutional arrangements in addressing REDD+.
2. It will submit a Readiness Preparation Proposal (R-PP), to set out a clear plan, budget and schedule for achieving readiness.
3. The R-PP will be reviewed and assessed by the Participants Committee (PC), the FCPF's governing body, which will pay particular attention to arrangements for consultation with civil society and indigenous peoples, and will decide whether to make a grant to the country with which to action a REDD+ preparation process that includes developing a Readiness Plan and REDD+ Strategy.
4. As part of its REDD+ Strategy the country will have developed an initial concept for an Emission Reduction Program (ERP), on the basis of which an Emission Reduction Program Idea Note (ER-PIN) may be developed as the first step by which a country seeks to become eligible to receive grants from the FCPF Carbon Fund.
5. The ER-PIN may be selected by Carbon Fund Participants and the World Bank into the Carbon Fund Pipeline, and a legally-binding Letter of Intent will then be signed between the national REDD+ authority and the World Bank (see Figure 1.1).



6. The Country Participant, with World Bank technical assistance, will prepare a draft Emission Reduction Program Document (ERPD).
7. A Readiness Package (R-package), comprising the Readiness Plan, REDD+ Strategy, ERP, ER-PIN and draft ERPD, is reviewed and may be endorsed by Carbon Fund Participants and the World Bank.
8. An Emission Reduction Purchase Agreement (ERPA), based on the R-package, may then be negotiated and signed by the Country Participant and the World Bank, activating implementation, verification and payment arrangements.

Figure 1.1 Processing Steps: From ER-PIN to ERPA Implementation



Source: FCPF website.

This sequence describes a process by which countries join the FCPF and then progress from self-funded and/or grant-financed REDD+ preparation, to an arrangement in which they are eligible for payment by results. The latter offers a financial incentive to follow the pathway, but the steps involved are 'no-regrets' ones since they are likely to be useful to a country regardless of any eventual payments, or the precise way in which these payments are calculated or sourced. This is because they involve such measures as clarifying and if necessary reforming forest tenure and forest governance arrangements, becoming aware of economic values offered by conserved carbon and co-benefits, understanding the interests of diverse national and global stakeholders, and completing arrangements to manage forests equitably and sustainably for various outputs. In any case, the broad appeal of the FCPF is reflected in the fact that there are now 47 Country Participants that jointly contain more than half of all forest areas in the tropics and subtropics.

1.3 Guidance, Principles and Terminologies for the Evaluation

The overall approach of this assignment is to apply international best practices and guidance to ensure that the evaluation is objective, independent, transparent and evidence-based, while also being participatory, inclusive and open throughout. It will be based on the OECD Development Assistance Committee (DAC) (2010) *Quality Standards for Development Evaluation*, which although in need of updating and revision, provides a guide to elements of development evaluation. The *Standards* outline the key quality dimensions for each phase of a typical evaluation process: defining purpose, planning, designing, implementing, reporting, and learning from and using evaluation results.

In this respect, the five DAC criteria of relevance, effectiveness, efficiency, impact and sustainability, will be applied in the context of the logical framework of the FCPF, and will



follow the terminologies and their definitions outlined in this guidance. Additional evaluation criteria may be needed to reflect advances in evaluation techniques and to respond to the complexity of the FCPF, and these will be further defined alongside relevant evaluation questions in the Inception Report. In addition, to correct other weaknesses in the DAC criteria, the ToR require particular attention to be paid to stakeholder consultation and gender issues in the evaluation. In this respect, *UNEG (2011) Integrating Human Rights and Gender Equality in Evaluation: towards UNEG Guidance* will be applied to include identification of unintended impacts and outcomes where appropriate and relevant.

The FCPF is a Global and Regional Partnership Program (GRPP). This is a modality that is increasingly important in channeling climate finance, and GRPPs are most often specific to a theme or sector, such as the forest sector as in the case of the FCPF. The IEG (2007) *Sourcebook for Evaluating Global and Regional Partnership Programs: Indicative Principles and Standards* will be applied to the evaluation, since GRPPs have certain features with implications for the evaluation process. Thus, GRPPs are programmatic partnerships with multiple donors, partners, and other stakeholders, the interests of which do not always coincide even though there is joint decision-making and accountability at the governance level. The various categories of stakeholders and their diverse interests should therefore be considered in planning for this type of evaluation, and an assessment of the legitimacy and effectiveness of governance and management arrangements is essential.

For example, as emphasized in the first program evaluation of the FCPF (Baastel, 2011), GRPPs take several years to set up, due to the need to build agreement and establish legal frameworks and governance arrangements, so decisions on which activities are to be supported are made programmatically, rather than fixed in advance, as would be the case with a discrete project. Hence, criteria and processes for allocating resources are important ingredients of both relevance and effectiveness, and need to be assessed. Another factor is that GRPPs usually evolve over time, based on the availability of financing, and do not usually have fixed end-points. The FCPF is typical, so the evaluation will need to take into account the maturity of the program. Moreover, because of their dependence on funding, the evaluation of GRPPs should include an assessment of their resource mobilization strategies and the sources and uses of funds available to them. The maturity of the FCPF program will therefore also need to be considered from this point of view.

1.4 Roles of Client Groups

The evaluation is overseen and supported by four stakeholder groups (Table 2), in addition to the various Country Participants and other institutions involved and the evaluation team itself.

Table 2 Evaluation Oversight and Support Groups

| Group | Roles and responsibilities |
|---|---|
| Evaluation Oversight Committee (with two co-chairs) | Managing and supervising the evaluation to ensure quality and timely conduct of evaluation, and dissemination of findings. Determining the purpose and key questions for the evaluation. Reporting to the Participants Committee on progress of the evaluation. Endorsing the final report and organizing the presentation of evaluation findings to stakeholders. |
| Facility Management Team (FMT) | Maintaining the flow of communication among the Oversight Committee, Reference Group, World Bank managers and the evaluation team. Supporting the Oversight Committee and Reference Group in discharge of their functions. Providing relevant data, records and logistical support to the evaluation team. Facilitating country field visits by the evaluation team, including coordinating correspondence with targeted respondents. Managing key documents and making them available to the Oversight Committee, Reference Group and evaluation team. Managing communications with the Oversight Committee and evaluation team. Communicating with key stakeholders on behalf of Oversight Committee, |



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| | including posting information on the FCPF website to raise awareness of the evaluation among participants, World Bank managers and other stakeholders, and to disseminate evaluation findings. |
| Reference Group | Supporting the Oversight Committee in assuring the technical, procedural and ethical quality of the evaluation. Reviewing and providing quality assurance feedback on all reports to the evaluation team. |
| World Bank management | Reviewing the draft evaluation report, and providing feedback to the Oversight Committee. Discussing matters arising with the Oversight Committee and evaluation team. Providing a management response to the draft report, to support its finalization. Providing feedback on the final report. Acting on findings and recommendations once the final report has been approved. |

Source: Annex 5 of the ToR.

1.5 The Evaluation

Article 17 of the FCPF Charter requires the Facility to be periodically evaluated by an independent third party (in this case Indufor Oy). The Article states that the scope of evaluations shall be determined by the Participants Committee and shall include, without limitation, an assessment of the effectiveness of the governance structure of the Facility and the operational effectiveness of the Readiness Fund and the Carbon Fund. The Terms of Reference (ToR) for this second FCPF program evaluation require attention to the evaluation criteria of the Organisation for Economic Co-operation and Development/Development Assistance Committee (OECD/DAC). On this basis, the Inception Report describes an evaluation that aims to yield a broad and balanced assessment of the achievements of the FCPF and the challenges facing it, and to generate specific recommendations for the use of the FCPF’s Participants Committee, Facility Management Team (FMT), Delivery Partners and World Bank Management.

There are four outcomes in the draft FCPF logical framework (Lafontaine *et al.*, 2013), which focus on countries achieving REDD+ readiness, preparing for results-based payments, engaging stakeholders in sustainable livelihoods and biodiversity conservation activities, and sharing knowledge. The REDD+ concept is relatively new, dating as an international objective only from the mid-2000s (Holloway & Giandomenico, 2009), so the practical details have had to be worked out and tested in many different countries. There has been much learning among FCPF managers and each REDD+ Country Participant, and periodic evaluations are needed to identify strengths and weaknesses, to pinpoint lessons learned, and to suggest improvements. The first program-level evaluations of the FCPF (Baastel, 2011; IEG, 2012) are now being succeeded by a second evaluation to cover the years 2011-2014, the specific objectives of which according to the ToR (pages 5-6) are:

- “to ascertain the results (outcomes and early impacts, intended and unintended) and lessons learned from the program
- “to assess relevance, and effectiveness, and specific aspects of efficiency of the program, taking into account the complexity of REDD+, and other limitations; and influence of response/follow-up actions taken to address the recommendations of the first evaluation and the global program review by the Independent Evaluation Group (IEG) of the World Bank
- “to provide findings, conclusions and recommendations with focus on the following:
 - a) program delivery at country level, especially in responding to REDD+ Country Participants’ strategic priorities and capacities in Readiness and Emission Reduction Program development[,] REDD+ Country Participants’ use of analytical instruments developed by the FCPF (such as SESA, Methodological Framework, Readiness Package Assessment Framework), level of stakeholder engagement, and involvement of multi-sectoral actors that are fundamental drivers of change for REDD+, such



- as the private sector and ministries of agriculture and planning, in institutional arrangements and national dialogues
- b) the FCPF's position in relation to other REDD+ initiatives (for example the Forest Investment Program, UN-REDD Program and Global Environment Facility) (examples in the ER-PINs), and the role and contribution of the FCPF at the country level and within the global REDD+ architecture
 - c) Consistency in operations of REDD Readiness Fund and Carbon Fund, and lessons from Readiness fund that are relevant to design and implementation of the emission reduction programs under the Carbon Fund
 - d) FCPF actions taken for knowledge sharing at country, regional and global level for all aspects related to the readiness process.”

The evaluation is designed to answer four groups of questions:

1. **on effectiveness** - the extent to which the objectives of the FCPF are being achieved, and the major factors influencing this;
2. **on relevance** - the relationship between the FCPF and (a) the priorities of participating and contributing countries, and (b) the global context provided by global treaties (such as the UNFCCC) and funding mechanisms (such as the Green Climate Fund);
3. **on efficiency** - the cost-effectiveness, timeliness and added value of efforts to build partner capacity to deliver on FCPF objectives and associated disbursements and procurements; and
4. **on impact and sustainability** - the anticipation and attribution of long-term GHG emission reductions and other effects caused or facilitated directly or indirectly by the FCPF.

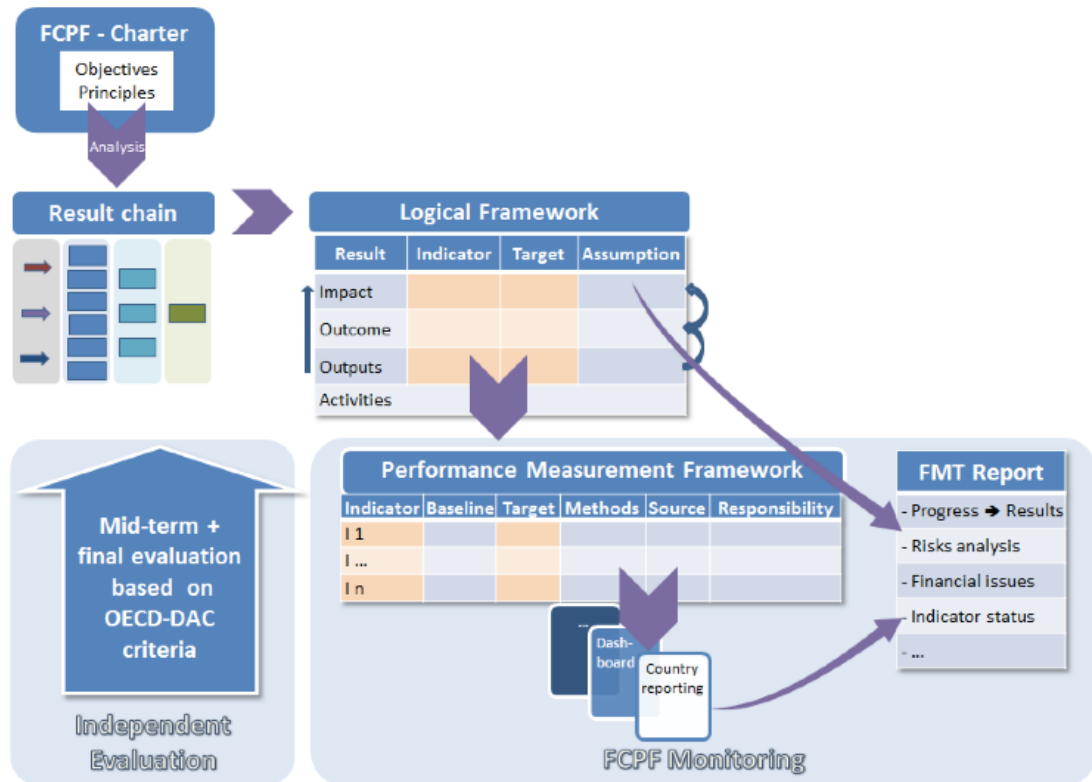
In order to answer these questions, the evaluation must describe the results and lessons learned from the program, and its relevance, effectiveness and some aspects of its efficiency, while taking into account the influence of recommendations by earlier evaluations. It must also formulate findings, conclusions and recommendations, with a focus on:

- program delivery at country level, relative to countries' strategic priorities and capacities, their use of analytical instruments developed by the FCPF, and the involvement of their various stakeholders and multi-sectoral actors;
- the role of the FCPF in relation to other REDD+ initiatives at country level, and also the global REDD+ architecture;
- the interplay between preparation activities under the Readiness Fund and emission reduction activities under the Carbon Fund; and
- actions to promote the sharing of knowledge on the REDD+ preparation process among all participants.

The Monitoring and Evaluation (M&E) Framework (FCPF, 2013) noted continuing interest at the country level in the Readiness Fund, but slower progress than expected in taking up support available from the Carbon Fund, and therefore called for the evaluation to consider the processes and timing involved in transition from one form of support to the other. At the facility level, meanwhile, two key elements are: (a) the Result Chain and Logical Framework, which together provide a strategic overview of the FCPF; and (b) the Performance Measurement Framework (PMF), which is the key internal management tool used by the FMT to manage the collection, analysis and reporting on the performance data. Figure 1.2 illustrates the building blocks of the M&E Framework, with the Logical Framework, PMF, FMT reporting (internal monitoring) and evaluation (external and independent) functions all indicated.



Figure 1.2 Overall Design of the FCPF M&E Framework



Source: FCPF website.

Highlights of progress as of 2015 towards 2020 targets in the log frame (Table 3) will also be reviewed to assess the progress made on achieving targets. The evaluation is structured according to the outcomes envisioned in the log frame and the themes of the Results Assessment Framework (RAF), as modified in terms of evaluability in its current stage of implementation and the sources of available and accessible information, and how these data may be gathered and analyzed with the limited resources available to the evaluation team. The latter comprises a core team of Julian Caldecott (Team Leader), Majella Clarke (REDD+ & FCPF Expert & Indufor project manager), and Carmenza Robledo (Social and Institutional Issues Evaluator), supported by Indufor researchers and local consultants.



Table 3 Outputs, Indicators and 2015 Targets from Draft FCPF Log Frame

| Output and indicator | Targets for end Fiscal Year 2015 |
|---|--|
| | Quantitative |
| 1.2a Number of R-PPs endorsed by PC. | 30+ R-PPs endorsed. |
| 1.2b Number of Readiness Preparation Grant agreements signed. | 30+ grant agreements signed. |
| 1.3a Number of mid-term reports (MTRs) presented by countries that follow agreed reporting standards and are presented in a timely manner. | 20+ MTRs presented. |
| 2.2a Number of early ideas or ER-Programs presented by countries to the Carbon Fund. | 10 ER-PINs presented. |
| 2.2b Number of REDD countries that have signed an ERPA. | At least 5 ERPAs signed. |
| 2.4b Amount of ER purchases following ERPA signature. | 10 M USD (US\$10 million) disbursed. |
| 3.1b Number of Indigenous People (IP) and REDD country-CSO representatives (men/women and/or youth) that have participated and benefitted from FCPF organized workshops/trainings on SESA, governance, MRV aspects/related aspects of REDD. | At least 20 men and 20 women and/or 20 youth representatives participated and/or trained per country, in a minimum of 15 Country Participants. |
| 3.2b(i) Number of countries with R-Packages and ER Programs submitted to FCPF that demonstrate ways to maintain or enhance livelihoods including at local levels are integrated into design of national REDD+ strategies, monitoring systems, and ER-Program design. | 100% of all R-Packages and ER Programs implemented. |
| 3.2b(ii) Number of countries with R-Packages and ER Programs submitted to FCPF that demonstrate ways to conserve and/or restore biodiversity (fauna and flora) are integrated into design of national REDD+ strategies, monitoring systems, and ER-Program design, and take into account traditional knowledge. | 100% of all R-Packages and ER Programs implemented that integrate best practices. |
| 3.2b(iii) Number of countries with R-Packages and ER Programs submitted to FCPF that demonstrate relevant sustainability standards, as provided for in the Common Approach for Readiness preparation including those for grievance redress, and in the World Bank safeguards for ER-Programs, are applied. | 10+ countries. |
| | Qualitative/pseudo-quantitative |
| 1.3b Percentage of countries that are achieving planned milestones. | At least 60% of countries have performance that is 'satisfactory' or above. |
| 1.3c Percentage of countries that are overall achieving planned milestones for sub component as per country - annual reporting scale (Sub-Component 1 to 9). | 50% of countries implementing R-PPs have performance that is 'further development required' in 50% of sub-components per R-Package Assessment Framework. |
| 3.1a (i) Number and types of examples of in-country REDD+ actions where IPs CSOs, and local communities participate actively. | Various new examples exist with strong evidence of IP and CSO active participation and broad community support in REDD+ programs/readiness. |
| 3.1a (ii) Examples of resources made available to enable active participation of IPs, CSOs, and local communities in national REDD+ readiness. | Examples exist with evidence of resources being made available through national and/or bilateral support to IPs and CSO networks to enable active participation in national REDD+ readiness. |

Source: Draft FCPF logical framework.



2. THE EVALUATION MATRIX

An evaluation matrix was prepared in order to relate the key evaluation questions (EQs) to the approaches and sources of information to be used in answering them. It is built around ten key EQs, of which two focus on relevance (Table 4), six on effectiveness (Table 5) and one each on impact/sustainability and efficiency (Table 6). All of the EQs are designed to guide attention to what happened and how in the context of each line of enquiry, but with the implication that findings will need to be explained, discussed and lessons and recommendations drawn from them. The EQs are based on the 25 questions posed in the ToR, but these were consolidated and reduced in number at the request of the Oversight Committee to eliminate redundancies and to focus attention on relevance and effectiveness while retaining some attention to impact/sustainability and efficiency. This process was guided through attention to points (i), (ii) and (iii) of the specific objectives in pages 5-6 of the ToR (see Section 1.5). Each of the ten EQs are linked to 1-6 of the original questions and incorporate their substance, either in the new EQ itself or in the approach to answering it. The information sources specified in the matrix are:

- **review of previous program-level FCPF evaluations**, particularly Baastel (2011) and IEG (2012), but others such as DFID (2014) and macro-level evaluations of other REDD+ and low-carbon development initiatives as appropriate;
- **review of various FCPF documents**, especially the Emission Reduction Program Idea Notes (ER-PINs) for the countries that have prepared them (see Section 5.4), and for all countries their Readiness Preparation Proposals (R-PPs), R-PP Technical Implementation Reports and Country Progress Sheets;
- **on-line surveys**, in which a link to a questionnaire on FCPF performance will be sent to REDD+ Focal Points in all REDD+ Country Participants (i.e. 'Tier 1' countries), the aim being to provide an opportunity for country-level stakeholders in all of them to comment at their discretion (see Annex 1);
- **interviews**, to be conducted remotely (in 'Tier 2' countries) or face-to-face (in 'Tier 3' countries), with additional interviews targeting individuals in relevant international organizations as well as the FMT and Delivery Partners who are directly involved in managing, supervising, reviewing and informing the FCPF process and its various steps, funds, disbursements and procurements (see Section 4.3.1 and Annex 2);
- **group discussions** in Tier 3 countries (see Annex 3); and
- **field visits** (to Tier 3 countries), to allow ground-truthing and further exploration of country-specific understandings derived from literature review and elsewhere (see Section 3).

It will be clear that the disaggregation of REDD+ Country Participants amongst Tiers 1-3 is important to the strategy laid out in the Evaluation Matrix, and this is explained in Section 3.



Table 4 Evaluation Matrix, Relevance (EQs 1-2)

| Key questions | Approaches | Information sources |
|--|--|--|
| <p>1. For what reason did countries decide to join the FCPF in the first place, and to continue the engagement thereafter? <u>ToR question(s):</u> 2.4(a) How do representatives of participating countries perceive the costs and benefits of participating in the FCPF? 2.4(b) How do representatives of participating countries perceive the resources offered by the FCPF, including their magnitude, timeliness of delivery, impact on perceptions of national ownership, and the contribution to national capacity building?</p> | <ul style="list-style-type: none"> - Establish why countries decided to join the FCPF and invest resources in the processes of dialogue, study and institutional cooperation needed to prepare documents to FCPF standards. - Consider the context offered by other governmental, non-profit and for-profit institutions that are active in the REDD+ and the broader climate change (low-carbon development, adaptation) arenas in each country, and how opportunities to work with them or not have affected national perceptions of the FCPF. - Use analyses of the ER-PINs to explore the possibility that there may be differences between countries in the advantages that they expect to obtain from implementing an ERP. - Seek specific examples in the ER-PINs and elsewhere that shed light on government and public thinking about carbon rentals and other payments for ecosystem goods and services (PEGS) approaches (e.g. water catchment services, biodiversity utilization through ecotourism, bioprospecting, etc.), and potentially transformative values (e.g. La Paz con la Naturaleza in Costa Rica, Gross National Happiness in Bhutan, the Wildlife Premium Initiative in Nepal). - Seek insights on stakeholder perceptions regarding key issues on the REDD+ agenda that must be resolved going forward, how | <p>Previous program-level FCPF evaluations (Baastel, 2011; IEG, 2012; DFID, 2014): review for information relevant to key question and approach.</p> <p>Additional sources: Macro-level evaluations of other REDD+ and low-carbon development initiatives (Climate Investment Funds, Norway’s International Climate and Forest Initiative, UN-REDD, Forest Governance, Markets and Climate Programme, Green Climate Fund, etc.).</p> <p>FCPF documents: <u>Emission Reduction Program Idea Notes (ER-PINs)</u>. See <i>inter alia</i> ER-PIN sections 1.2 on partner institutions, 3 on strategic context of the ERP, 5.3 on justification of the ERP, 6.1 on stakeholder engagement, 7.1 on institutional arrangements, 7.5 on financial planning, 8 on REL, 9 on forest monitoring, 13 on SESA and ESMF and 16 on non-carbon benefits. <u>Readiness Preparation Proposals (R-PPs)</u>. Review for information on relevance, goals and strategic context. <u>R-PP Technical Implementation Reports and Country Progress Sheets</u>. Review for information on relevance, goals and strategic context.</p> <p>On-line survey, interviewees, and group discussions: <u>On-line survey:</u> a link to an on-line survey on FCPF performance will be sent to REDD+ Focal Points in all Country Participants (i.e. 47 Tier 1 countries). <u>Interviews:</u> in Tier 2 and Tier 3 countries, with interviewees from the FCPF responsible entity, other governmental organizations participating in the FCPF process, technical advisors, private sector and civil society. For names and roles of individuals for potential interview see R-PP sections on Contact Information and Development Team, and ER-PIN sections 1 and 2 on responsible entity, partner institutions and authorization, and lists of FCPF actors</p> |



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| | <p>their participation in the FCPF is seen as potentially advancing their particular priorities, and how the focus of the FCPF might evolve to maximize its relevance to the future needs of countries and international institutions.</p> <ul style="list-style-type: none"> - Subjects of particular interest therefore include: - Why some countries and donors joined the FCPF, and others did not. - Why some countries prepared an ER-PIN in order to enter the Carbon Fund pipeline, while others have not yet done so. - Perception of the FCPF as positive, negative or neutral both in itself and relative to other actors in the REDD+ and climate change landscape. - Key agenda items for REDD+ in 2015 and beyond, and whether and how they can be addressed with or without FCPF support. | <p>including country, donor and Carbon Fund participants, observers, delivery partners, Facility Management Team (including officials responsible for liaison with other delivery partners cooperation with other REDD platforms), Ad Hoc Technical Advisory Panel and current Participants Committee Members and Observers (https://www.forestcarbonpartnership.org/participants-page).</p> <p><u>Group discussions</u>: in Tier 3 countries, mainly targeting technical advisors and civil society.</p> <p>Country visits: ground-truthing and further exploration of country-specific understandings derived from the R-PPs, National REDD+ Strategies, ER-PINs Forest Investment Plans (for FIP countries), Intended Nationally Determined Contributions (INDCs), and elsewhere.</p> |
| <p>2. To what extent and in what ways has the FCPF responded to countries' strategic priorities? <u>ToR question(s):</u> 2.2 Is FCPF support aligned to countries' emerging strategic priorities and capacities? 2.5 Are REDD Participant Countries fostering the REDD agenda, and demonstrating ownership of REDD+ nationally, to ensure that FCPF support remains relevant and contributes to national efforts? 2.6 To what extent can readiness grant financing be further tailored to</p> | <ul style="list-style-type: none"> - Subjects of particular interest include: - Whether and how the FCPF has helped countries to meet their development priorities, and specific ways in which this process might be improved. - Whether and how the FCPF has taken into account the needs of groups within the country who are disadvantaged or excluded because of landlessness, caste, poverty, ethnicity, gender, age, faith or other reasons. - Whether there is a need for specific Gender and Indigenous Peoples' Inclusion Plans as separate documents with defined content within FCPF requirements. - An important proxy for the evaluation is the ER-PIN, since a well-designed ERP and a plausibly-articulated ER-PIN is a key indicator | <p>Previous program-level FCPF evaluations (Baastel, 2011; IEG, 2012; DFID, 2014): review for information relevant to key question and approach.</p> <p>FCPF documents:</p> <p><u>Emission Reduction Program Idea Notes (ER-PINs)</u>. See <i>inter alia</i> ER-PIN sections 2.2 on political commitment, 3.3 on consistency with national REDD+ strategy and other relevant policies, 5.1 on drivers and underlying causes of deforestation and forest degradation, and conservation or enhancement trends, 5.2 on the major barriers to REDD+, and 5.3 on justifying the ERP.</p> <p><u>Readiness Preparation Proposals (R-PPs)</u>. Review for information on relevance, national priorities, context, alignment and relevance.</p> <p><u>R-PP Technical Implementation Reports and Country Progress Sheets</u>. Review for relevant information on additional signs of activity (e.g. review, reformulation, completion of new/revised policies) on policy development or legislation in dialogue with the FCPF.</p> |



| | | |
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| <p>meet country needs?</p> | <p>of the country's ability to analyze and respond to its own strategic priorities in dialogue with the FCPF.</p> | <p>On-line survey, interviewees, and group discussions: <u>On-line survey:</u> a link to an on-line survey on FCPF performance will be sent to REDD+ Focal Points in all Country Participants (i.e. 47 Tier 1 countries). <u>Interviews:</u> in Tier 2 and Tier 3 countries, with interviewees from the FCPF responsible entity, other governmental organizations participating in the FCPF process, technical advisors, private sector and civil society. For names and roles of individuals for potential interview see R-PP sections on Contact Information and Development Team, and ER-PIN sections 1 and 2 on responsible entity, partner institutions and authorization. <u>Group discussions:</u> in Tier 3 countries, mainly targeting technical advisors and civil society. Country visits: ground-truthing and further exploration of country-specific understandings derived from the R-PPs, National REDD+ Strategies, ER-PINs and elsewhere.</p> |
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Table 5 Evaluation Matrix, Effectiveness (EQs 3-8)

| Key questions | Approaches | Information sources |
|---|--|--|
| <p>3. To what extent and in what ways has the FCPF supported countries in preparing to undertake REDD+? <u>ToR question(s):</u> 1.1 Has the FCPF added value to the REDD+ processes undertaken by REDD Participant Countries, and capacity development at the country level? 1.2 How effectively are readiness activities being implemented at country level?</p> | <ul style="list-style-type: none"> - Establish the extent of FCPF support for countries in preparing to undertake REDD+. - Review National Gap Assessments carried out under FCPF, and compare where possible the reference emission levels developed under FCPF with the land-based emissions reported in the INDCs. - An important proxy for the evaluation is the ER-PIN, since a well-designed ERP and a plausibly-articulated ER-PIN is a key indicator of the country's capacity to analyze its own needs and develop a plan to achieve emission reductions in its own ways, based on readiness work and in dialogue with the FCPF. | <p>Previous program-level FCPF evaluations (Baastel, 2011; IEG, 2012; DFID, 2014): review for information relevant to key question and approach. FCPF documents: <u>Emission Reduction Program Idea Notes (ER-PINs).</u> Review for information on relevance, efficiency, effectiveness, impact, sustainability, connectedness, coherence, replicability and quality of design (evidence & reasoning, clarity of explanation, participation in design). See <i>inter alia</i> ER-PIN sections 3.1 on achievements in readiness activities, 3.2 on status of readiness package, and 7.1 on institutional arrangements. <u>Readiness Preparation Proposals (R-PPs).</u> Review for information on relevance, efficiency, effectiveness, impact,</p> |



| Key questions | Approaches | Information sources |
|--|---|--|
| <p>1.3 Is overall readiness implementation aligned to the guidance provided by the Readiness Assessment Framework?</p> <p>1.9 To what extent have lessons learned from the readiness process been integrated into operations of the FCPF, including (a) in operationalizing the Carbon Fund, and (b) to ensure consistency between readiness and the Carbon Fund?</p> <p>1.11 What lessons can be drawn from the ER-PIN preparation process to further strengthen ER Program design, and is the timeframe of delivery of ER Programs realistic?</p> <p>2.3 Are the current FCPF objectives (and targets envisaged in the M&E Framework) realistic in relation to the capacity of REDD Participant Countries, the time frame for piloting, resources for REDD+ readiness and bridge finance likely to be available before large-scale systems of performance-based payments are in place?</p> | <ul style="list-style-type: none"> - Subjects of particular interest include: - The exact process by which the R-PP and ER-PIN were prepared (i.e. who drafted them, commented on them, revised them and finalized them, and with what inputs from where and when). - The specific lessons learned from the readiness process and whether and how these were applied to the ERP. - Whether there is a perception of moving goal-posts in the system - e.g. the consistency of reference emission levels developed under the FCPF with Intended Nationally Determined Contributions (INDCs). | <p>sustainability, connectedness, coherence, replicability and quality of design (evidence & reasoning, clarity of explanation, participation in design).</p> <p><u>R-PP Technical Implementation Reports and Country Progress Sheets</u>. Review for relevant information. Search for additional signs of activity (e.g. completion of processes, further consultation, and further studies) on ERP development in dialogue with the FCPF.</p> <p>On-line survey, interviewees, and group discussions:</p> <p><u>On-line survey</u>: a link to an on-line survey on FCPF performance will be sent to REDD+ Focal Points in all Country Participants (i.e. 47 Tier 1 countries).</p> <p><u>Interviews</u>: in Tier 2 and Tier 3 countries, with interviewees from the FCPF responsible entity, other governmental organizations participating in the FCPF process, technical advisors, private sector and civil society. For names and roles of individuals for potential interview see R-PP sections on Contact Information and Development Team, and ER-PIN sections 1 and 2 on responsible entity, partner institutions and authorization.</p> <p><u>Group discussions</u>: in Tier 3, mainly targeting technical advisors and civil society.</p> <p>Country visits: ground-truthing and further exploration of country-specific understandings derived from the R-PPs, National REDD+ Strategies, ER-PINs and elsewhere.</p> |
| <p>4. To what extent and in what ways have the various instruments developed by the FCPF been helpful to countries in</p> | <ul style="list-style-type: none"> - Establish the extent to which FCPF-designed instruments (such as formats for the R-PP, ER-PINs and progress sheets, as well as the SESA, ESMF, MF and RAF frameworks) were used by | <p>Previous program-level FCPF evaluations (Baastel, 2011; IEG, 2012; DFID, 2014): review for information relevant to key question and approach.</p> <p>FCPF documents:</p> |



| Key questions | Approaches | Information sources |
|--|--|---|
| <p>preparing to undertake REDD+? <u>ToR question(s):</u> 1.7 To what extent are REDD Participant Countries able to adopt and apply the instruments developed by the FCPF (e.g. SESA, ESMF, RAF, MF), and if not what lessons can be learned and the instruments improved? 4.4 To what extent have REDD Participant Countries made use of FCPF instruments (e.g. RPPs, M&E Systems, progress reports) to strengthen national ownership, inter-sectoral and multi-stakeholder coordination, and coordination of various financial sources?</p> | <p>countries, and their utility in helping them prepare to undertake REDD+.</p> <ul style="list-style-type: none"> - The evaluation will seek insights on why countries chose to use these instruments, and their perception of the value added to them by doing so. - Also considered will be resources and guidance offered by the FCPF, such as the FCPF REDD+ decision support toolbox (www.forestcarbonpartnership.org/technical-decision-support-and-training-material). - Subjects of particular interest include: - Understanding, use and utility of the various FCPF-designed instruments: Strategic Environmental and Social Assessment (SESA); Environmental and Social Management Framework (ESMF); Results Assessment Framework (RAF); Methodological Framework (MF); Readiness Preparation Proposal (R-PP); Monitoring & Evaluation (M&E) systems; and progress reports. - The implications of using the various FCPF-designed instruments for issues affecting gender and indigenous peoples' issues. | <p><u>Emission Reduction Program Idea Notes (ER-PINs)</u>. See <i>inter alia</i> ER-PIN sections 8.1 on establishing the Reference Emission Level, 9.3 on consistency of the ERP monitoring system with the FCPF Methodological Framework, 9.5 on inclusion of information on multiple benefits/co-benefits in the ERP monitoring system, 13.1 on assessing the ERP in the SESA and ESMF context, and 13.2 on incorporating SESA outputs and/or outcomes into the ERP.</p> <p><u>Readiness Preparation Proposals (R-PPs)</u>. Review for information on use and utility of FCPF-designed instruments.</p> <p><u>R-PP Technical Implementation Reports and Country Progress Sheets</u>. Review for information on use and utility of FCPF-designed instruments.</p> <p>On-line survey, interviewees, and group discussions: <u>On-line survey</u>: a link to an on-line survey on FCPF performance will be sent to REDD+ Focal Points in all Country Participants (i.e. 47 Tier 1 countries). <u>Interviews</u>: in Tier 2 and Tier 3 countries, with interviewees from the FCPF responsible entity, other governmental organizations participating in the FCPF process, technical advisors, private sector and civil society. For names and roles of individuals for potential interview see R-PP sections on Contact Information and Development Team, and ER-PIN sections 1 and 2 on responsible entity, partner institutions and authorization. <u>Group discussions</u>: in Tier 3 countries, mainly targeting technical advisors and civil society. Country visits: ground-truthing and further exploration of country-specific understandings derived from the R-PPs, National REDD+ Strategies, ER-PINs and elsewhere.</p> |
| <p>5. To what extent and in what ways has the FCPF supported countries' efforts to achieve high</p> | <ul style="list-style-type: none"> - Establish the extent to which all key stakeholder groups have been consulted in the readiness and ERP design processes, and have | <p>Previous program-level FCPF evaluations (Baastel, 2011; IEG, 2012; DFID, 2014): review for information relevant to key question and approach.</p> |



| Key questions | Approaches | Information sources |
|---|---|---|
| <p>levels of stakeholder engagement? <u>ToR question(s):</u> 1.8 Has the FCPF, through the IPCBP, SESA and the Common Approach, been able to foster stakeholder engagement in REDD+ at the national level? 4.2 To what extent has the FCPF contributed to fostering stakeholder engagement in REDD+ at the national and international levels?</p> | <p>influenced them enough that their support can plausibly be expected.</p> <ul style="list-style-type: none"> - The evaluation will use inclusive stakeholder dialogue to explore uncertainty on whether all key stakeholder groups have in fact been identified, the extent to which all of them are satisfied with the process and outcomes, and the extent to which their inputs actually affected design. - Also considered will be the existence, use and utility at the country and stakeholder level of such safeguard guidelines as the FCPF/UN-REDD Guidelines on Stakeholder Engagement in REDD+ Readiness with a Focus on the Participation of Indigenous Peoples and Other Forest-Dependent Communities (2012) and the FAO-UNDP-UNEP Guidance Note on Gender Sensitive REDD+ (2013). - Subjects of particular interest include: - Whether and how the FCPF has promoted inclusion and responsiveness, or their opposites (i.e. exclusion and unresponsiveness). - Whether and how the FCPF could do more to ensure the full representation and influence of groups who are otherwise at risk of being excluded because of landlessness, caste, poverty, ethnicity, gender, age, faith or other reasons. - Whether there is a need for specific Gender and Indigenous Peoples' Inclusion Plans as separate documents with defined content within FCPF requirements. | <p>FCPF documents: <u>Emission Reduction Program Idea Notes (ER-PINs)</u>. See <i>inter alia</i> ER-PIN sections 6 on information sharing, consultation and participation, and 7.1 on institutional arrangements. <u>Readiness Preparation Proposals (R-PPs)</u>. See R-PP section on consultation and participation process; review for information on participation in design. <u>R-PP Technical Implementation Reports and Country Progress Sheets</u>. Review for relevant information on participation processes. On-line survey, interviewees, and group discussions: <u>On-line survey</u>: a link to an on-line survey on FCPF performance will be sent to REDD+ Focal Points in all Country Participants (i.e. 47 Tier 1 countries). <u>Interviews</u>: in Tier 2 and Tier 3 countries, with interviewees from the FCPF responsible entity, other governmental organizations participating in the FCPF process, technical advisors, private sector and civil society. For names and roles of individuals for potential interview see R-PP sections on Contact Information and Development Team, and ER-PIN sections 1 and 2 on responsible entity, partner institutions and authorization. <u>Group discussions</u>: in Tier 3 countries, mainly targeting technical advisors and civil society. Country visits: ground-truthing and further exploration of country-specific understandings derived from the R-PPs, National REDD+ Strategies, ER-PINs and elsewhere. Special effort will be made to organize group discussions with women and indigenous peoples' representatives.</p> |
| <p>6. To what extent and in what ways has the FCPF supported</p> | <ul style="list-style-type: none"> - Subjects of particular interest include: - The extent to which inclusive forums have been established and used by multiple sectoral | <p>Previous program-level FCPF evaluations (Baastel, 2011; IEG, 2012; DFID, 2014): review for information relevant to key</p> |



| Key questions | Approaches | Information sources |
|--|--|--|
| <p>efforts to involve multi-sectoral actors in countries' institutional arrangements and national dialogues?</p> <p><u>ToR question(s):</u></p> <p>1.4 How are actors outside the forestry/environment sector (e.g. private sector, ministries of planning, agriculture and finance) being involved in the institutional arrangements?</p> <p>1.6 Are the national institutional arrangements effectively leading coordination at country level, and if not how can coordination be improved?</p> | <p>actors.</p> <ul style="list-style-type: none"> - The relative influence of different factors (e.g. political power, regulation, public opinion, informed discussion, competition between different institutions and social groups) in resolving potential conflicts of interest that arise in development. | <p>question and approach.</p> <p>FCPF documents:</p> <p><u>Emission Reduction Program Idea Notes (ER-PINs)</u>. See <i>inter alia</i> ER-PIN sections 1.2 on partners in the ERP, 2.2 on political commitment (including “whether a cross-sectoral commitment exists to the ER Program and to REDD+ in general”), 5.1 on drivers and underlying causes of deforestation and forest degradation, and conservation or enhancement trends, 5.3 on justifying the ERP, and 7.1 on institutional arrangements.</p> <p><u>Readiness Preparation Proposals (R-PPs)</u>. Review for information on implementation arrangements, issues, relevance and coherence.</p> <p><u>R-PP Technical Implementation Reports and Country Progress Sheets</u>. Review for relevant information on implementation arrangements, issues, relevance and coherence. Search for additional signs of multi-sectoral stakeholder engagement.</p> <p>On-line survey, interviewees, and group discussions:</p> <p><u>On-line survey</u>: a link to an on-line survey on FCPF performance will be sent to REDD+ Focal Points in all Country Participants (i.e. 47 Tier 1 countries).</p> <p><u>Interviews</u>: in Tier 2 and Tier 3 countries, with interviewees from the FCPF responsible entity, other governmental organizations participating in the FCPF process, technical advisors, private sector and civil society. For names and roles of individuals for potential interview see R-PP sections on Contact Information and Development Team, and ER-PIN sections 1 and 2 on responsible entity, partner institutions and authorization.</p> <p><u>Group discussions</u>: in Tier 3 countries, mainly targeting technical advisors and civil society.</p> <p>Country visits: ground-truthing and further exploration of country-specific understandings derived from the R-PPs, National REDD+ Strategies, ER-PINs and elsewhere.</p> |



| Key questions | Approaches | Information sources |
|--|--|---|
| <p>7. To what extent and in what ways has the FCPF promoted the sharing of knowledge among stakeholders at national, regional and global level?</p> <p><u>ToR question(s):</u></p> <p>1.10 To what extent has the FCPF been effective in implementing its communication strategy, who have been the key beneficiaries, and how can further improvements be made?</p> | <ul style="list-style-type: none"> - Establish the extent to which support from FCPF has contributed to effective knowledge sharing that promotes the goals of FCPF and its participating countries in establishing workable REDD+ mechanisms at national level. - The evaluation will also explore the idea that national ERPs are valuable teaching and learning resources, and seek to document relevant experiences, and draw conclusions on how best to use them as such. - Subjects of particular interest include: - Strengths and weaknesses in internal knowledge management (e.g. the user-friendly organization and accessibility of meaningful and useful information). - Strengths and weaknesses in passive knowledge sharing (e.g. the ease-of-use and helpfulness of formats and guidelines). - Strengths and weaknesses in active knowledge sharing (e.g. practicality and inclusiveness of means to ensure knowledge exchange among stakeholders). - Whether and how the FCPF could do more to ensure the full inclusion within knowledge-sharing arrangements of groups who are otherwise at risk of being excluded because of landlessness, caste, poverty, ethnicity, gender, age, faith or other reasons. | <p>Previous program-level FCPF evaluations (Baastel, 2011; IEG, 2012; DFID, 2014): review for information relevant to key question and approach.</p> <p>FCPF documents:</p> <p><u>Emission Reduction Program Idea Notes (ER-PINs)</u>. For passive knowledge sharing see <i>inter alia</i> RE-PIN sections 8 on reference levels and expected emission reductions, 9 on forest monitoring (particularly 9.3 on consistency with UNFCCC guidance and the FCPF Methodological Framework), and 13 on SESA/ESMF. For active knowledge sharing see ER-PIN section 16.2 on diversity and learning value.</p> <p><u>Readiness Preparation Proposals (R-PPs)</u>. Review for information on passive and active knowledge sharing.</p> <p><u>R-PP Technical Implementation Reports and Country Progress Sheets</u>. Review for information on passive and active knowledge sharing.</p> <p>On-line survey, interviewees, and group discussions:</p> <p><u>On-line survey</u>: a link to an on-line survey on FCPF performance will be sent to REDD+ Focal Points in all Country Participants (i.e. 47 Tier 1 countries).</p> <p><u>Interviews</u>: in Tier 2 and Tier 3 countries, with interviewees from the FCPF responsible entity, other governmental organizations participating in the FCPF process, technical advisors, private sector and civil society. For names and roles of individuals for potential interview see R-PP sections on Contact Information and Development Team, and ER-PIN sections 1 and 2 on responsible entity, partner institutions and authorization.</p> <p><u>Group discussions</u>: in Tier 3 countries, mainly targeting technical advisors and civil society.</p> <p>Country visits: ground-truthing and further exploration of country-specific understandings derived from the R-PPs, National REDD+ Strategies, ER-PINs and elsewhere.</p> |



| Key questions | Approaches | Information sources |
|--|---|---|
| <p>8. To what extent and in what ways has the FCPF responded to the recommendations of earlier evaluations?</p> <p><u>ToR question(s):</u></p> <p>1.12 To what extent has the FCPF addressed and implemented recommendations from the First Evaluation, including on program monitoring and reporting?</p> <p>2.1 How, why and to what extent has the FCPF evolved since the First Evaluation?</p> <p>3.2 Has disbursement efficiency at country and portfolio level changed since the first evaluation, and if not why and what measures can be taken to improve performance?</p> | <ul style="list-style-type: none"> - Establish whether there have been responses or follow-up actions within the FCPF family of processes that can be traced to the recommendations primarily of the First Evaluation (but also considering the 2012 IEG evaluation). - Of particular interest are recommendations concerning real-time monitoring of the program (see Key Question 3), enhancing stakeholder engagement (see Key Question 5), speeding up signing of readiness grants and disbursements (see Key Questions 1 & 3), fostering coordination and harmonization of funding sources (see Key Questions 1 & 6), cooperation among relevant REDD+ initiatives (see Key Question 1), and knowledge exchange with stakeholders and the broader REDD+ community (see Key Question 7). Hence this section of the evaluation will involve a tour d'horizon of many of the more detailed findings. - The evaluation will also follow up specifically with NICFI and UN-REDD, as these have indicated a need for special coordination with FCPF on recommendations in a number of countries. - Subjects of particular interest therefore include: - Awareness of the existence of earlier evaluations. - Awareness of specific conclusions and recommendations of earlier evaluations. - Awareness of any procedural, organizational, performance-related or other change that might be connected to an earlier evaluation. | <p>Previous program-level FCPF evaluations (Baastel, 2011; IEG, 2012; DFID, 2014): identify specific recommendations and the indicators of action for responding to them.</p> <p>FCPF documents:</p> <p><u>Emission Reduction Program Idea Notes (ER-PINs)</u>. Seek signs of recognition of and responses to recommendations of earlier evaluations.</p> <p><u>Readiness Preparation Proposals (R-PPs)</u>. Seek signs of recognition of and responses to recommendations of earlier evaluations.</p> <p><u>R-PP Technical Implementation Reports and Country Progress Sheets</u>. Seek signs of recognition of and responses to recommendations of earlier evaluations.</p> <p>On-line survey, interviewees, and group discussions:</p> <p><u>On-line survey</u>: a link to an on-line survey on FCPF performance will be sent to REDD+ Focal Points in all Country Participants (i.e. 47 Tier 1 countries).</p> <p><u>Interviews</u>: in Tier 2 and Tier 3 countries, with interviewees from the FCPF responsible entity, other governmental organizations participating in the FCPF process, technical advisors, private sector and civil society. For names and roles of individuals for potential interview see R-PP sections on Contact Information and Development Team, and ER-PIN sections 1 and 2 on responsible entity, partner institutions and authorization.</p> <p><u>Group discussions</u>: in Tier 3 countries, mainly targeting technical advisors and civil society.</p> <p>Country visits: ground-truthing and further exploration of country-specific understandings derived from the R-PPs, National REDD+ Strategies, ER-PINs, Forest Investment Plans (where relevant), and elsewhere.</p> |



Table 6 Evaluation Matrix, Impact/Sustainability & Efficiency (EQs 9-10)

| Key questions | Approaches | Information sources |
|---|--|--|
| <p>9. To what extent and in what ways has the FCPF contributed to broad and long-term change beyond its short-term effects? <u>ToR question(s):</u> 4.1 What catalytic impacts has the FCPF had in shaping REDD+ policy and institutional frameworks to promote longer-term sustainability of national and/or subnational efforts on REDD+?</p> | <ul style="list-style-type: none"> - Establish that stakeholders understand the distinction between effectiveness (i.e. achieving results), impact (i.e. inducing effects that are wider and longer-term than results) and sustainability (i.e. inducing effects that will continue indefinitely and/or incrementally over time). - The evaluation will seek evidence that changes consistent with impact and sustainability have occurred in support of REDD+ measures in the areas of public education, resource tenure security, governance, legislation, inclusion, capacity and institutional relationships. - Because of a programmatic link between the FCPF and the FIP in some countries, the evaluation will also explore the relationship between them and, in particular, the influence of the FIP's stated objective of inducing transformational change. - Subjects of particular interest include: - Whether and how the FCPF has promoted improved awareness of new forms of knowledge and values, sensitivity to longer-term or more inclusive ways of thinking, or better arrangements for resource ownership and governance. - Whether and how the FCPF has promoted effects that are likely to continue indefinitely and/or incrementally over time because of irreversible change in laws, institutions, relationships and public opinion. - Whether and how the FCPF has promoted | <p>Previous program-level FCPF evaluations (Baastel, 2011; IEG, 2012; DFID, 2014): review for information relevant to key question and approach.</p> <p>FCPF documents: <u>Emission Reduction Program Idea Notes (ER-PINs)</u>. See <i>inter alia</i> ER-PIN sections 3.3 on consistency with REDD+ strategy and other policies, 5.3 on justification of the ERP, 11 on reversals, 12 on expected emission reductions, and 16.2 on diversity and learning value. <u>Readiness Preparation Proposals (R-PPs)</u>. Review for information relevant to impact and sustainability. <u>R-PP Technical Implementation Reports and Country Progress Sheets</u>. Review for information relevant to impact and sustainability.</p> <p>On-line survey, interviewees, and group discussions: <u>On-line survey</u>: a link to an on-line survey on FCPF performance will be sent to REDD+ Focal Points in all Country Participants (i.e. 47 Tier 1 countries). <u>Interviews</u>: in Tier 2 and Tier 3 countries, with interviewees from the FCPF responsible entity, other governmental organizations participating in the FCPF process, technical advisors, private sector and civil society. For names and roles of individuals for potential interview see R-PP sections on Contact Information and Development Team, and ER-PIN sections 1 and 2 on responsible entity, partner institutions and authorization. <u>Group discussions</u>: in Tier 3 countries, mainly targeting technical advisors and civil society.</p> <p>Country visits: ground-truthing and further exploration of country-specific understandings derived from the R-PPs, National REDD+ Strategies, ER-PINs and elsewhere.</p> |



| Key questions | Approaches | Information sources |
|---|---|---|
| | <p>respect for and understanding of the priorities and points of view of those who are otherwise at risk of being excluded or ignored because of their landlessness, caste, poverty, ethnicity, gender, age or faith, or for other reasons.</p> | |
| <p>10. How efficiently and effectively have the FCPF superstructure groups performed the roles expected of them? <u>ToR question(s):</u> 1.5 To what extent has the FCPF helped countries leverage additional funding sources, and are the various funding sources being used synergistically? 3.1 How well has the FCPF made disbursements to REDD Participant Countries from (a) the Readiness Fund, and (b) the Carbon Fund? 4.3 What contribution, if any, has the FCPF made in generating additional investments from the public and private sector for REDD+ readiness, and pilot programs in REDD Participant Countries? 3.3 Is the FCPF well positioned in relation to the governance and capacity of REDD Participant Countries and Delivery Partners to manage and meet FCPF objectives</p> | <ul style="list-style-type: none"> - The FCPF 'superstructure' groups comprise the Facility Management Team and Delivery Partners (IDB, UNDP and the World Bank), which are directly involved in managing, supervising, reviewing and informing the FCPF process and its various steps, funds, disbursements and procurements. - The approach here is to seek to clarify certain specific expectations of these groups and processes and explore the adequacy of their capacity to meet them. - Thus the evaluation will particularly focus on proxies of capacity, including the meeting of expectations with regard to timeliness of delivery of goods and services, leverage of additional goods and services from public and private sources both national and international, and the appropriate positioning of the FCPF superstructure in terms its institutional location and lines of communication and decision making. - Subjects of particular interest include: - Whether and how the FCPF has helped countries obtain goods and services for readiness and pilot programs that they would not have obtained in other circumstances. - The extent to which disbursements from the readiness and carbon funds have been adequate and timely. | <p>Previous program-level FCPF evaluations (Baastel, 2011; IEG, 2012; DFID, 2014): review for information relevant to key question and approach.</p> <p>FCPF documents: <u>Emission Reduction Program Idea Notes (ER-PINs)</u>. Review for recognition of the value-adding roles of the FCPF (e.g. cases already identified in Nepal and Ghana). <u>Readiness Preparation Proposals (R-PPs)</u>. Review for value-adding roles of the FCPF. <u>R-PP Technical Implementation Reports and Country Progress Sheets</u>. Review for value-adding roles of the FCPF.</p> <p>On-line survey, interviewees, and group discussions: <u>On-line survey</u>: a link to an on-line survey on FCPF performance will be sent to REDD+ Focal Points in all Country Participants (i.e. 47 Tier 1 countries). <u>Interviews</u>: in Tier 2 and Tier 3 countries, with interviewees from the FCPF responsible entity, other governmental organizations participating in the FCPF process, technical advisors, private sector and civil society. For names and roles of individuals for potential interview see R-PP sections on Contact Information and Development Team, and ER-PIN sections 1 and 2 on responsible entity, partner institutions and authorization, and lists of FCPF actors including country, donor and Carbon Fund participants, observers, delivery partners, Facility Management Team (including officials responsible for liaison with other delivery partners cooperation with other REDD platforms), Ad Hoc Technical Advisory Panel and</p> |



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| Key questions | Approaches | Information sources |
|--|--|---|
| and deliverables in a timely manner? The assessments should take into account the capacity and resources of the FMT. | - Whether the FCPF is well positioned in relation to the governance and capacity of its partners to manage and meet FCPF objectives and deliverables in a timely manner. | current Participants Committee Members and Observers (https://www.forestcarbonpartnership.org/participants-page). <u>Group discussions</u> : in Tier 3 countries, mainly targeting technical advisors and civil society. Country visits : ground-truthing and further exploration of country-specific understandings derived from the R-PPs, National REDD+ Strategies, ER-PINs and elsewhere. |



3. COUNTRY SELECTION

3.1 Overview

There are 47 REDD+ Country Participants, but not enough evaluation resources to distribute them equally and still gain detailed insights on the FCPF process in each country. Moreover, the countries are too diverse for any sample to be statistically representative. Therefore, a decision had to be made on how to reconcile the need to reach out to stakeholders as broadly as possible with the need to obtain robust answers to those evaluation questions that demand a high level of detail. It is recognized that no solution to this challenge can be entirely satisfactory, but the chosen solution was a three-tiered approach (Table 7). In this, certain kinds of data would be sought by on-line survey and portfolio analysis from all countries (Tier 1, n = 47; see Section 4.3.3), larger amounts and more detail would be sought by remote interviews from some of them (Tier 2, n = 17), and only a few would actually be visited to allow face-to-face interviews and group discussions (Tier 3, n = 6). Overall starting assumptions in selecting Tier 2 and Tier 3 countries were that it would be desirable:

- to have an approximately-equal number of countries in all tiers from each of the major geographical regions of Asia and the Pacific (APAC), Africa, and Latin America and the Caribbean (LAC), and particularly so in Tier 3; and
- to consider the biodiversity and bioregional representativeness of countries, particularly within Tier 3, to ensure coverage of as many as possible of the world's major biotic divisions that are relevant to tropical forests.

Table 7 REDD+ Country Participants by Tier 1-3

| Selection criterion | Selected countries |
|--|---|
| Tier 1: all REDD+ Country Participants. | For on-line survey (47): Argentina, Belize, Bhutan, Bolivia, Burkina Faso, Cambodia, Cameroon, Central African Republic, Chile, Colombia, Congo Republic, Costa Rica, Côte d'Ivoire, Dominican Republic, Democratic Republic of the Congo (DRC), El Salvador, Ethiopia, Fiji, Gabon, Ghana, Guatemala, Guyana, Honduras, Indonesia, Kenya, Lao People's Democratic Republic (PDR), Liberia, Madagascar, México, Mozambique, Nepal, Nicaragua, Nigeria, Pakistan, Panamá, Papua New Guinea (PNG), Paraguay, Peru, Sudan, Suriname, Tanzania, Thailand, Togo, Uganda, Uruguay, Vanuatu, and Vietnam. |
| Tier 2: countries with an ER-PIN and/or a Preparation Grant agreed in 2011-2013, plus one country from each region that has not progressed after its Preparation Grant proposal was reviewed, minus Tier 3 countries. | For detailed remote study (17): Belize, Cambodia, Cameroon, Chile, Congo Republic, Costa Rica, DRC, Ethiopia, Gabon, Guatemala, Indonesia, Liberia, Nicaragua, Perú, PNG, Uganda, and Vietnam. Notes: México, Ghana, Nepal, Peru, Madagascar and Lao PDR are excluded from Tier 2 since they are in Tier 3. |
| Tier 3: countries that are likely to be most informative with regard to evaluation questions, and other selection criteria as described. | For country visits (6): Ghana, Lao PDR, Madagascar, México, Nepal, Perú. |



In the process of selection, twelve attributes of each country were considered relevant to the objectives of the evaluation (Annex 5) and were reviewed as a way to inform the final choices, in much the same way as the First FCPF Evaluation had done. The latter, however, reviewed fewer attributes (i.e. region, status of FCPF readiness proposal and the level of engagement with FIP, UN-REDD, and the now-defunct REDD Partnership), observed that, even so, there was considerable diversity among the countries, and concluded that “Following this assessment, a review of the TORs, and consultation with the FMT the evaluation team proposes that, in order to benefit as much as possible from the field visits and ensure that the FCPF does indeed gain knowledge on lessons learned from experience to date and good practices, field visits be conducted in [México, DRC and Nepal]” (Baastel, 2011: 130). This proposal appears to have been accepted by the client since these three countries were visited and yielded 10-13 page Review Reports in each case, which were annexed to the final report. In the case of the Second FCPF Evaluation, however, the client required much greater attention to the process of selection, and the following sections therefore summarize the rationale used for allocating each REDD+ Country Participant to Tiers 2 and 3.

3.2 Selection of Countries for Remote Study (Tier 2)

The first selection task was to identify a manageable number of countries for more detailed study. These countries should provide an opportunity to document the interaction between the country and the FCPF over time, during a process of which the major milestones are:

- the Readiness Preparation Proposal (R-PP)
- the Preparation Grant (which is based on a favorable review of the R-PP)
- the Emission Reduction Program Idea Note (ER-PIN).

It was therefore proposed to select countries that are in a mature stage of FCPF participation. The rationale is that they have taken most of the technical, policy-level and political steps needed to develop proposals for emission reductions, they have described these steps and analyzed them in relation to their own development processes and priorities, and they have engaged with the FCPF over several years thus offering a valuable historical perspective on the whole process. For the same reasons, they can shed light on the issue of why and how significant progress has been achieved, which is a matter of direct consequence for the evaluation questions concerning relevance and effectiveness. Most countries in Tier 2 are therefore drawn from among those with an ER-PIN and/or a Preparation Grant agreed in 2011-2013 (see Annex 5), minus any that were chosen for field visits within Tier 3 (see below). Since the Oversight Committee had also expressed an interest in why some countries had not progressed since joining the FCPF, one of these countries from each major geographical region was added to Tier 2 (a factor that was also considered for Tier 3).

3.3 Selection of Countries for Field Visits (Tier 3)

It is judged important to visit some countries where face-to-face interviews, group discussions and direct observations will allow a deeper and more nuanced understanding of the countries' engagement with the FCPF process. The additional investment required to visit selected countries, and the need to maximize the anticipated yield of information from each in order to answer the evaluation questions (EQs), required careful justification of each choice. A number of attempts were made to build a selection pathway using unambiguous criteria and yes/no categories for all of the 12 country attributes in Annex 5, which would lead to a clear choice of six Tier 3 countries¹. These involved iterations in which different attributes were used as primary, secondary and tertiary selection criteria, but none proved entirely satisfactory because no clear guidance on whether any attribute should be considered primary, secondary

¹ Indufor was initially contracted to visit at least three REDD+ Participant Countries, and a contract addendum to allow six to be visited has been approved by the Participants' Committee.



or tertiary was provided in the ToR². The EQs themselves were therefore used as a source for such guidance, with each EQ being considered from the point of view of whether it offered strong grounds for choosing countries to visit (Table 8). Of the ten questions, half (EQs 3, 5, 6, 8 and 10) offered no such grounds because the embedded content of each question was equally applicable to all REDD+ Country Participants, and although the answers might vary between countries they were all likely to be equally relevant to the evaluation. The guidance provided by the remaining questions was as follows:

- **EQ 1 on relevance** suggested that the most informative countries for field visits were likely to be those that have continued engagement with the FCPF to a mature stage of readiness preparation, since prolonged engagement with the FCPF is assumed to indicate success in overcoming difficulties, in maintaining dialogue between the country and the FCPF, and in the developing an understanding of common interest between the country and the FCPF. It was decided that this would be the primary selection criterion, and the existence of an ER-PIN would be used as a proxy for mature engagement, leading to the short-listing of Chile, Congo Republic, Costa Rica, DRC, Ghana, Guatemala, Indonesia, Lao PDR, México, Nepal, Perú and Vietnam.
- **EQ 2 on relevance** suggested in part that the most informative countries for field visits were likely to be: (a) those that are LDCs; and (b) those where it is possible to explore issues of disadvantage that are related to indigeneity, caste and forest dependence. This conclusion assumed a shared strategic priority by the FCPF and member countries to ensure that disadvantaged stakeholders are fully included in the REDD+ process, and highlighted two kinds of relative disadvantage: between the LDCs and other countries, and, more complexly, between groups within countries. The latter consideration drew attention to the relative vulnerability of groups at risk of being excluded because of landlessness, caste, poverty, ethnicity, gender, age, faith or other reasons, and their correlates such as indigeneity and forest dependence (any of which may also be correlated with relative disadvantage between sub-national regions). It was concluded that while all countries possess disadvantaged groups, in only some cases are the issues arising clearly relevant to REDD+. It was decided that this would be a secondary selection criterion, and that LDC status and the presence of forest-dependent Indigenous Peoples and excluded castes would be used as proxies, leading to the short-listing of DRC, Lao PDR and Nepal with the first (LDC) proxy, and Congo Republic, Costa Rica, DRC, Guatemala, Indonesia, Lao PDR, México, Nepal, Perú and Vietnam with the second.
- **EQ 4 on effectiveness** suggested that the most informative countries for field visits were likely to be those that have continued engagement with the FCPF to a mature stage of readiness preparation, since prolonged engagement with the FCPF is likely to indicate most experience of using all FCPF formats, templates and frameworks. It was decided that this would be a secondary selection criterion, and that the existence of an ER-PIN would be used as a proxy for mature engagement (while also noting that the ER-PINs themselves describe their use), leading to the same short-list as for EQ 1. Since in several cases the instruments concerned are specifically intended to ensure the inclusion of disadvantaged stakeholders, from this point of view (which was also judged to be a secondary selection criterion) the most informative countries for field visits are likely to be those where it is possible to explore issues of disadvantage that are related to indigeneity, caste and forest dependence, leading to the same short-list as for EQ 2.

² There are also valid but distinct lines of enquiry associated with a number of attributes; for example, the efficiency and effectiveness of different delivery partners, the implications for impact of the FIP commitment to transformational change, and the role of forests in joint adaptation and mitigation in SIDS. These would need to be investigated through purpose-designed evaluations, rather than this one.



Table 8 Use of EQs in Tier 3 country selection

| Evaluation questions (EQs) | Considerations and criteria for Tier 3 country selection |
|--|--|
| EQ 1. For what reason did countries decide to join the FCPF in the first place, and to continue the engagement thereafter? | <p>Decision to join the FCPF. The motivations of all member countries may differ, but all are equally relevant to the evaluation so <u>this consideration does not give rise to a strong selection criterion for field visit countries.</u></p> |
| | <p>Continued engagement. It is assumed that prolonged engagement with the FCPF indicates: (a) success in overcoming difficulties; (b) dialogue and adaptation between the country and the FCPF; and (c) development of understanding of common interest between the country and the FCPF. <u>The most informative countries for field visits are therefore likely to be those that have continued engagement with the FCPF to a mature stage of readiness preparation.</u></p> |
| EQ 2. To what extent and in what ways has the FCPF responded to countries' strategic priorities? | <p>Perception by countries of FCPF understanding their strategic priorities. The perceptions of all member countries may differ, but all are equally relevant to the evaluation so <u>this consideration does not give rise to a strong selection criterion for field visit countries.</u></p> |
| | <p>Perception by countries of the utility of FCPF in meeting their priorities. The perceptions of all member countries may differ, but all are equally relevant to the evaluation so <u>this consideration does not give rise to a strong selection criterion for field visit countries.</u></p> |
| | <p>Relative disadvantage of stakeholders. A shared strategic priority of the FCPF and member countries is to ensure that disadvantaged stakeholders are fully included in dialogue, consultation, planning, participation and benefit sharing. Two kinds of disadvantage are particularly relevant: (a) <u>between countries</u>, highlighting the vulnerability (e.g. due to capacity limitations) of the least-developed countries (LDCs); and (b) <u>within countries</u>, highlighting the vulnerability of groups at risk of being excluded because of landlessness, caste, poverty, ethnicity, gender, age, faith or other reasons, and their correlates such as indigeneity and forest dependence (any of which may also be correlated with relative disadvantage between sub-national regions); while all countries possess disadvantaged groups, in only some cases are the issues arising clearly relevant to REDD+. <u>The most informative countries for field visits in this context are therefore likely to be: (a) those that are LDCs; and (b) those where it is possible to explore issues of disadvantage that are related to indigeneity, caste and forest dependence.</u></p> |
| EQ 3. To what extent and in what ways has the FCPF supported countries in preparing to undertake REDD+? | <p>Perception by countries of FCPF support for their REDD+ readiness. The perceptions of all member countries may differ, but all are equally relevant to the evaluation so <u>this consideration does not give rise to a strong selection criterion for field visit countries.</u></p> |
| EQ 4. To what extent and in what ways | <p>Perception by countries of the utility of FCPF formats, templates and frameworks in preparing to undertake REDD+.</p> |



| | |
|---|--|
| <p>have the various instruments developed by the FCPF been helpful to countries in preparing to undertake REDD+?</p> | <p>It is assumed that: (a) the effective use of these instruments is important to the relationship among stakeholders; and that (b) prolonged engagement with the FCPF is likely to indicate most experience of using all FCPF formats, templates and frameworks. It is also noted that the ER-PINs both exemplify the use of formats/templates and specifically address their use in sections 8.1, 9.3, 9.5, 13.1 and 13.2, so they are important sources of information that could be ground-truthed and further explored through field visits. <u>The most informative countries for field visits in this context are therefore likely to be those that have continued engagement with the FCPF to a mature stage of readiness preparation.</u></p> <p>Perception by disadvantaged groups of the utility of FCPF formats, templates and frameworks in preparing to undertake REDD+. Since in several cases the instruments concerned are specifically intended to ensure the inclusion of disadvantaged stakeholders, <u>the most informative countries for field visits are likely to be LDCs or those where it is possible to explore issues of disadvantage that are related to indigeneity, caste and forest dependence.</u></p> |
| <p>EQ 5. To what extent and in what ways has the FCPF supported countries' efforts to achieve high levels of stakeholder engagement?</p> | <p>Perception by all key stakeholder groups of the quality of their participation in REDD+ readiness and ERP design processes. All member countries possess multiple key stakeholder groups; the perceptions of these may differ, but all are equally relevant to the evaluation so <u>this consideration does not give rise to a strong selection criterion for field visit countries.</u></p> |
| <p>EQ 6. To what extent and in what ways has the FCPF supported efforts to involve multi-sectoral actors in countries' institutional arrangements and national dialogues?</p> | <p>The extent to which inclusive forums have been established and used by multiple sectoral actors. All member countries possess multi-sectoral actors in various formal and informal forums; the perceptions of these may differ, but all are equally relevant to the evaluation so <u>this consideration does not give rise to a strong selection criterion for field visit countries.</u></p> |
| <p>EQ 7. To what extent and in what ways has the FCPF promoted the sharing of knowledge among stakeholders at national, regional and global level?</p> | <p>Perception by countries of their access to useful knowledge-sharing arrangements organised by FCPF. All member countries require access to knowledge of various kinds; the perception of utility will vary (e.g. by technical, sectoral, regional and global source), but access to knowledge-sharing arrangements is equally important to all countries so <u>this consideration does not give rise to a strong selection criterion for field visit countries.</u></p> <p>Perception by disadvantaged groups of their access to useful knowledge-sharing arrangements organised by FCPF. Since knowledge-sharing is an important way in which disadvantage and exclusion can be opposed, <u>the most informative countries for field visits are likely to be LDCs and those where it is possible to explore issues of access to knowledge that are related to indigeneity, caste and forest dependence.</u></p> |
| <p>EQ 8. To what extent and in what ways has the FCPF responded to the recommendations of earlier evaluations?</p> | <p>Perception by countries of responses that can be traced to earlier recommendations. All member countries are assumed to be equally aware of earlier recommendations and are in an equal position to observe responses, if any, so <u>this consideration does not give rise to a strong selection criterion for field visit countries.</u></p> |



| | |
|--|---|
| <p>EQ 9. To what extent and in what ways has the FCPF contributed to broad and long-term change beyond its short-term effects?</p> | <p>Evidence that changes consistent with impact and sustainability have occurred in support of REDD+ measures. Areas where changes may be consistent with the perception of impact and sustainability include public education, resource tenure security, governance, legislation, inclusion, capacity, and institutional relationships. Since such changes require time, <u>the most informative countries for field visits are likely to be those that have continued engagement with the FCPF to a mature stage of readiness preparation.</u></p> |
| <p>EQ 10. How efficiently and effectively have the FCPF superstructure groups performed the roles expected of them?</p> | <p>Perception by countries that the FMT and delivery partners have met performance expectations. All member countries are equally exposed to performance issues linked to the FMT and delivery partners, so <u>this consideration does not give rise to a strong selection criterion for field visit countries.</u></p> |



- **EQ 7 on effectiveness** suggested in part that the most informative countries for field visits were likely to be those that might be excluded from knowledge sharing because of capacity limitations (using LDC status as a proxy) and/or the presence of disadvantaged groups (using the presence of forest-dependent Indigenous Peoples and excluded castes as proxies). It was decided that this would be a secondary selection criterion, leading to short-listing of DRC, Lao PDR and Nepal with the first proxy, and the same short-list as for EQ 2 with the second.
- **EQ 9 on impact/sustainability** suggested the most informative countries for field visits were likely to be those that have continued engagement with the FCPF to a mature stage of readiness preparation, since prolonged engagement with the FCPF is assumed to be necessary for detectable and potentially attributable changes to have occurred in slow-moving sectors such as education, governance and legislation. It was decided that this would be a secondary selection criterion, leading to the same short-list as for EQ 1.

The next stage of the selection process required that four other factors were considered, which are arbitrary to an extent but need to be made clear for the purposes of transparency. The aim was to reduce the number of Tier 3 countries from 12 potential choices according to the primary selection criterion to 6 actual choices. These factors and their implications when applied to the 12 candidates are as follows:

- **Size: the country has optimal scale and complexity.** Here there is a preference for medium-sized REDD+ Country Participants over very large ones where sociopolitical circumstances are so diverse that they may obscure FCPF-relevant findings, or very small ones where such circumstances are unrepresentatively simple, thus preferring Chile, Ghana, Guatemala, Lao PDR, México, Nepal, Perú and Vietnam over the Congo Republic, Costa Rica, DRC and Indonesia.
- **Baseline: the country has a history of detailed investigation by the FCPF.** Here there is a preference for member countries that were studied in detail in the First Evaluation, thus preferring DRC, México, and Nepal over the others.
- **Warnings: the country has no official travel warnings in place.** Here there is a preference to visit countries that are not subject to warnings by the governments of the UK, Switzerland and Australia, thus excluding DRC and Guatemala.
- **Natural forest: the country is addressing issues concerning REDD+ in natural tropical forest circumstances.** Here there is a preference for these over countries that are primarily focused on forest plantations, thus excluding Chile and Vietnam.

A starting assumption noted above was that it would be desirable to have an equal number of countries from the APAC, Africa, and LAC regions in Tier 3. This made it necessary to choose 1-2 countries each from the five in LAC, three in Africa, and five in APAC that meet the primary selection criterion. Of these, eight countries are not excluded by the travel warning and natural forest criteria, so this choice is between Costa Rica, México and Perú in LAC, Congo Republic and Ghana in Africa, and Indonesia, Lao PDR and Nepal in APAC. Of these, the two First Evaluation baseline countries are México and Nepal, which it was decided to include in the final choice.

Based on the secondary criteria of forest-dependent Indigenous Peoples and size, the choice for the remaining four countries is limited to Perú in LAC, Ghana in Africa, and Lao PDR in APAC. Five of the six Tier 3 countries so far selected are therefore México and Perú in LAC, Ghana in Africa, and Lao PDR and Nepal in APAC. This leaves one country in Africa yet to be identified, and here we propose to be guided by two considerations: (a) the interest expressed by the Oversight Committee in understanding the course of events in countries that joined the FCPF early and have had a long process in formulation of its R-PP; and (b) biodiversity and bioregional representativeness to ensure coverage of as many as possible of the world's major biotic divisions that are relevant to tropical forests. Madagascar is proposed as an early-starting African LDC, and also as a megadiversity country with a Gondwanaland biota, thus complementing global biodiversity coverage in which equatorial Africa is represented by Ghana, the Mesoamerican and South American neotropics by México and Perú, and the



Himalayan and Indochinese biogeographical regions by Nepal and Lao PDR. Madagascar thus completes a portfolio of medium-sized Tier 3 countries characterized by a balanced mixture of attributes based on maturity of FCPF participation, LDC status, forest-dependent IPs, bioregional representation, geographic distribution, and evaluation history. After exhaustive review of relevant attributes among REDD+ Country Participants, no better fit to the needs of the evaluation could be obtained by the evaluation team. Thus, our concluding recommendation (Table 9) is that the Tier 3 countries, México, Ghana, Lao PDR, Perú, Nepal and Madagascar should be included for field visit.

Table 9 Summary of the Tier 3 country selection process

| Selection criterion | Implications for country selection |
|---|---|
| Primary: ER-PIN proxy for prolonged engagement with FCPF (EQs 1, 4, 9). | Included: Chile, Congo Republic, Costa Rica, DRC, Ghana, Guatemala, Indonesia, Lao PDR, México, Nepal, Perú, Vietnam. |
| Secondary: forest-dependent IPs & caste proxy for exclusion or disadvantage (EQs 2, 4, 7). | Included: Congo Republic, Costa Rica, DRC, Guatemala, Indonesia, Lao PDR, México, Nepal, Perú, Vietnam. |
| Secondary: LDC proxy for exclusion or disadvantage (EQs 2, 7). | Included: DRC, Lao PDR, Nepal. |
| Tertiary: size (proxy for complexity and evaluability). | Included: Chile, Ghana, Guatemala, Lao PDR, México, Nepal, Perú, Vietnam. |
| Tertiary: baseline (1st Evaluation case study). | Included: DRC, México, Nepal. |
| Special factor: travel warning. | Excluded: DRC, Guatemala. |
| Special factor: natural forest. | Excluded: Chile, Vietnam. |
| Net inclusion (one secondary and one tertiary criterion, and no special factor exclusion). | Included: Ghana, Lao PDR, México, Nepal, Perú (plus Madagascar as a complementary megadiversity African LDC and an early starter in FCPF terms). |

3.4 Conclusion on Country Selection

The tier to which a country is allocated has important implications for the kind and intensity of research effort to be directed in each case. Thus, as indicated in Table 10, Tier 1 countries are to be covered by an on-line survey and a review of country data sheets, Tier 2 countries are to receive the same coverage as Tier 1 but with the addition of remote interviews, while in Tier 3 countries remote interviews are to be replaced by field visits and face-to-face interviews and group discussions.



Table 10 Data Collection Processes in the REDD+ Country Participants

| | On-line survey of key informants (National REDD+ Focal Point and others), plus review of country data sheets. | Detailed study through analysis of R-PPs and ER-PINs and remote interviews with key informants. | Country visits of 5-10 days each to allow face-to-face interviews, group discussions and direct observations. |
|--|--|--|--|
| Tier 1: all REDD+ Country Participants | All 47 countries. | | |
| Tier 2: countries with an ER-PIN and/or a Preparation Grant agreed in 2011-2013, plus one country from each region that has not progressed after its Preparation Grant proposal was reviewed, minus Tier 3 countries. | | 17 countries: APAC: 4 countries. LAC: 6 countries. Africa: 7 countries. | |
| Tier 3: countries that are likely to be most informative with regard to evaluation questions, and other selection criteria as described. | | | 6 countries: Ghana, Lao PDR, Madagascar, México, Nepal, Perú. |
| Rationale. Provides evidence for answering key EQs on: | Overall progress, and major implementation issues and trends. | Comparative roles and relationships between participants. | Ground-truthed design, performance and implementation details. |



4. DATA COLLECTION METHODS

4.1 Overview

The evaluation will draw on primary and secondary sources of information using mixed methods to respond to the EQs. Proposed data collection methods are based upon:

- an in-depth desk review and database development process
- a stakeholder consultation and engagement process
- several country visits.

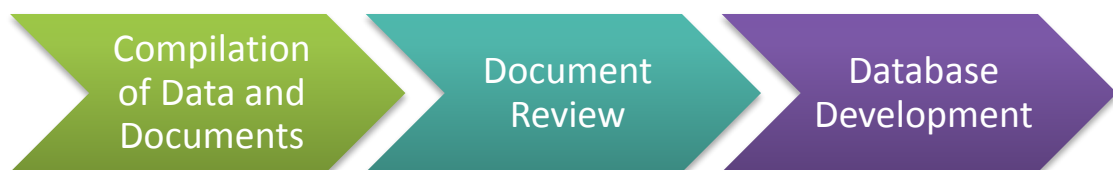
4.2 The Desk Review and Database Development Process

4.2.1 Compilation of Data and Documents

This is the first of three steps in the desk review and database development process (Figure 4.1), in which documents and data will be obtained from a diverse set of sources including documents on the FCPF website, UN-REDD, Governments, CSOs, and entities involved in the implementation of the FCPF at global and country levels. The initial compilation will include data and documents from the following list:

- **FCPF Governance and Charter Documents:** FCPF Charter, Rules of Procedure, Design process documents, FMT resolutions, FMT notes and Carbon Fund FMT notes, Annual Reports;
- **FCPF Country Reports:** R-PP submissions;
- **Readiness Fund Documents:** Portfolio (dashboard), meeting summaries, guidelines and templates;
- **Carbon Fund Documents:** Meeting documents, fund and program management, budget proposals, dashboard, ER-PINS, guidelines, templates and presentations on technical issues; and
- **FCPF Monitoring and Evaluation:** FCPF M&E Framework, FCPF country-level M&E reports, the First FCPF Program Evaluation and the World Bank Management Response to it, and relevant templates.

Figure 4.1 Steps in the Desk Review and Database Development Process



4.2.2 Document Review

As relevant documents are identified and compiled, the document facilitator (i.e. an Indufor researcher) will conduct an initial review of the documents and determine their relevance in relation to specific evaluation questions. The document review will focus on documents of the FCPF and its activities, as well as from related institutions and standard evaluation protocols. Protocols of the GEF Evaluation Office and Independent Evaluation Group (IEG) of the World Bank, among others, will be considered essential sources of information. Appropriate documents will then be distributed within the evaluation team and cited as appropriate. The document review will also provide important input into the evidence building for the triangulation of results.



4.2.3 Database Development

A database will be developed early in the evaluation process to keep track of the documents reviewed, how they relate to the key questions, and to allow for a systematic presentation of evidence to triangulate results. The database will consist of information coded from documents, which will be based on a simple coding protocol. The dataset will be developed in Excel, and will include easy look up using the 'pivot' feature.

4.3 The Stakeholder Consultation and Engagement Process

4.3.1 Interviews

Semi-structured interviews, whether face-to-face or remote, will be conducted according to the protocol described in Annex 2. In all cases notes and wherever possible recordings will be taken, and detailed notes will be written up as soon as possible afterwards. Most names and roles of individuals for potential interview at the country level are contained in the R-PP sections on Contact Information and Development Team, and the ER-PIN sections 1 and 2 on responsible entity, partner institutions and authorization. Additional potential interviewees among FCPF actors include country, donor and Carbon Fund participants, observers, delivery partners, FMT (including officials responsible for liaison with other delivery partners cooperation with other REDD+ platforms), Ad Hoc Technical Advisory Panel and current Participants Committee Members and Observers³. Additional targets will be sought amongst partner international organizations and other relevant groups not otherwise included. Circumstances might dictate substitutions among targeted individuals, additional interviewees becoming available, and opportunities arising to undertake interviews that cannot be predicted in advance. Annex 3 defines the overall and specific categories of stakeholders and knowledge holders who will be targeted for interview, and states the intended number of interviews to be conducted. A running total of the actual number of interviewees will be recorded in each category and country, allowing short-falls and systematic biases to be identified and if possible corrected. A total of 16-24 interviewees are intended for each Tier 3 country, spread across all the specific categories, but 2-5 of these will be targeted for remote interviews in each Tier 2 country; as indicated in Annex 3, these latter will include the FMT Contact Point (or FCPF Focal Point) and the FCPF Delivery Partner in each case, with the balance made up of informants selected according to national circumstance, recommendation, and opportunity.

4.3.2 Group Discussions

The purpose of the group discussions is to harvest a range of observations by inviting a group of people to talk about the FCPF in front of the convener and each other. They will be conducted according to the protocol described in Annex 4. Notes and wherever possible recordings will be taken, detailed notes will be written up as soon as possible afterwards, and a list of participants annexed to the notes. Relative to one-on-one interviews, this approach has the advantage of faster access to a wider range of points of view in conditions that favor network accountability, with all participants witnessing all statements and having the opportunity to challenge or expand upon them. The intention is to organize at least one and hopefully up to three group discussions in each Tier 3 country. They will be conducted in person and will include groups of people chosen to represent CSOs, indigenous peoples and women's groups involved with or affected by the FCPF⁴.

The group discussion process will be guided by the UNREDD-FCPF *Guidelines on stakeholder engagement in REDD+ Readiness with a Focus on the Participation of Indigenous Peoples and other Forest Dependent Communities*. These guidelines are designed to support effective stakeholder engagement in the context of REDD+ readiness specifically for the FCPF

³ See: www.forestcarbonpartnership.org/participants-page

⁴ See: <http://www.odi.org/publications/5695-focus-group-discussion>



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(and UN-REDD). They contain: (a) policies on indigenous peoples and other forest-dependent communities; (b) principles and guidance for effective stakeholder engagement; and (c) practical 'how-to' steps on planning and implementing effective consultations. In addition, the UNEG Guidance on integrating human rights and gender into evaluation will also be used. The evaluation team will ensure that ethical standards are upheld and that data collection is conducted with free and informed consent, and in a consistent manner.

4.3.3 On-line Surveys

The National REDD+ Focal Point in all REDD+ Country Participants will be sent a link to an on-line questionnaire (Annex 1) and requested to complete it with input from others as they consider appropriate within the national REDD+ community of interest. The purpose of the on-line survey is to ensure that all countries have an opportunity to have their say, and may yield some interesting points, but for methodological reasons no attempt will be made to use the data other than descriptively. The survey will be administered using a readily-available, low-cost application (such as SurveyMonkey or Google Survey), and its questions comprise a mix of: neutral questions on overall opinions, expectations, benefits of participation and issues arising; multiple-choice/rating options, allowing people to choose from a range of opinions; and requests for explanation, encouraging people to explain their answers. In the latter case, the responses will be reviewed manually or by using a text-analysis tool (such as SurveyMonkey's Open Ended Question Analysis Tool).

4.3.4 Participation in International Meetings

Where possible, in order to maximize the cost-effectiveness of data acquisition, the evaluation team will attend selected international meetings with a view to seeking input from participants through semi-structured interviews or focus group meetings. This will be done in consultation with the client.



5. DATA ANALYSIS METHODS

5.1 Overview

The evaluation team will use multiple methods of analysis to build a chain of evidence and identify key findings, using key references such as Robson (1993), Ritchie *et al.*, (2003, 2014) and Rogers (2008) as methodological resources. The evaluation will start an iterative process with hypothesis testing and building. Triangulation of results, through the application of a triangulation matrix (Annex 6), will be strengthened by portfolio analysis, timeline creation, the quantitative and qualitative analysis of stakeholders consultations and survey information, and most importantly for the validity of results, feedback analysis.

5.2 Hypothesis Building and Testing

Throughout the evaluation process, the team will engage in an iterative process of building and testing hypotheses. Working hypotheses may be developed through interview feedback or desk review, and then tested through additional evidence collection, including follow up interviews and document review. In addition, initial database development, document review and consultations may suggest issues or new evaluation sub-questions that need to be looked at or suggest a working hypothesis that can be tested during the evaluation. This iterative process will continue through the data collection, consultation and analytical phases of the evaluation, where specific evaluation methods, such as triangulation, will support the finalization of conclusions.

5.3 Portfolio Analysis

The purpose of doing a portfolio analysis is to obtain a full overview of the status of the FCPF, which would be presented as an early chapter of the Final Report (see Section 6.6). The portfolio analysis will confirm and where necessary up-date the information presented in the most recent version of the 'dashboards' of the FCPF and Carbon Fund. It will also present the current status of country progress on the main themes using the Readiness Assessment Framework (RAF), and country progress since the RAF became operational in 2013. The themes of the RAF are:

- Component 1: Readiness Organization and Consultation
 - Sub-component 1a: National REDD+ Management Arrangements
 - Sub-component 1b: Consultation, Participation and Outreach
- Component 2: REDD+ Strategy Preparation
 - Sub-component 2a: Assessment of Land-Use, Land Use Drivers, Forest Law, Policy and Governance
 - Sub-component 2b: REDD+ Strategy Options
 - Sub-component 2c: Implementation framework
 - Sub-component 2d: Social and Environment Impacts
- Component 3: Reference Emission Level/Reference Levels
- Component 4: Monitoring Systems for Forests, and Safeguards
 - Sub-component 4a: National Forest Monitoring System
 - Sub-component 4b: information system for multiple benefits, other impacts, governance and safeguards.

5.4 Analysis of ER-PINs

The ER-PINs are crucial milestones in the FCPF-supported REDD+ readiness process, as they are the key documents explaining what each country intends to do to deliver emission reductions, based on consultation, study and planning over several years. They are designs that contain sufficient detail for their quality to be judged:



- against the requirements that they should be relevant to policy priorities, coherent with the aims and activities of other actors, their connectedness to external factors and influences factored into design, and their logic clearly articulated;
- against the expectations that their performance will be tolerably efficient, and effective in relation to their specified goals; and
- against the implicit claims that they are likely to have a significant degree of impact, replicability and sustainability.

These eight criteria add those of connectedness, coherence and replicability to relevance, efficiency, effectiveness, impact and sustainability as defined by OECD/DAC (1991, 2010). They are points of view with which to judge the performance, and by extension to anticipate performance and judge design, of any project, and can often usefully be presented as scores. Typically a four-level scoring system is used, where a score of 'a' means *very good* (i.e. no real need for improvement was detected); 'b' means *good* (i.e. a few points required improvement, but the activity was otherwise sound); 'c' means *some problems* (i.e. significant improvement should have been required); and 'd' means *serious deficiencies* (i.e. the action should have been re-thought or should not have been supported). Since with intermediates ('a/b', 'b/c' and 'c/d') this system creates seven possible scores, they can be transformed for analytical purposes into numerical equivalents (d = 1, c/d = 2, c = 3, ... a = 7), allowing aggregate performance statements to be made and scores compared objectively among numerous interventions, highlighting patterns of performance so that reasons for these patterns can then be explored (see: Caldecott *et al.*, 2010, 2014; Caldecott, Hawkes *et al.*, 2012; Caldecott, Sluijs *et al.*, 2012; Caldecott, Valjas *et al.*, 2012).

When evaluating projects that are underway or just completed, evidence of a direct or indirect, qualitative or quantitative nature is required to support judgments on performance. An assessment of design, however, is limited to the content and quality of the project documents and the process by which they were developed, including evidence that similar activities elsewhere or previously have had known and relevant results. Table 11 explains how each ER-PIN is to be reviewed from the points of view of the eight criteria, along with an assessment of the general quality of project design based on evidence, reasoning, participation and clarity. In each case, this is preceded by a detailed summary of the ER-PIN in which key information is captured and organized, and observations that shed light on the expectation of different aspects of performance are highlighted.

Table 11 Scoring Sheet for Emission Reduction Program Idea Notes (ER-PINs)

| | |
|-------------------------|--|
| Country | |
| Name of ERP | |
| Responsibilities | Managing entity: Government partners: Civil society partners: Private-sector partners: Donors and technical partners: |
| Sources | |
| Context | A description of the country, focal area(s) of the ERP, and forest sector processes. |
| Summary | A summary of what the designers of the ERP are trying to achieve, and by what means. |
| Issues | A critical analysis of the ER-PIN document, proposals, strategic assumptions and logic. |
| Reviewer | |
| Criterion/score | Reasons to anticipate performance considering each criterion |
| Relevance Score: | A high score is given if a design responds to the needs of the beneficiaries in their political, economic and ecological contexts, and where it is aligned |



| | |
|--|--|
| | with the overall policy environment through a convincing theory of change. |
| Efficiency Score: | A high score is given if a design contains measures that through elegance and accountability promote sound management and value for money, yielding confidence through counterfactual ('what if not') analysis that the same or better results are unlikely to be achieved through different means or with lower overall expenditure or with different rates of expenditure. |
| Effectiveness Score: | A high score is given if a design is specific in explaining how results to be obtained will contribute to achieving the project's purpose, usually specified in terms of the project itself but which may include contributions to broader crosscutting objectives and other policy goals. |
| Impact Score: | A high score is given if a design is specific in explaining how and why the project is likely to have effects that are wider and longer-term than its results. |
| Sustainability Score: | A high score is given if a design is specific in explaining how and why the project is likely to have effects that will continue because of induced irreversible change in laws, institutions, relationships, public opinion, etc. |
| Connectedness Score: | A high score is given if a design is specific in explaining how and why the project is vulnerable to external factors and influences over which it has little or no control, and how these influences are to be mitigated. |
| Coherence Score: | A high score is given if a design is specific in describing how the project will maximize opportunities for synergy with, and mitigate interference from, the plans and actions of other actors. Factors include: <i>compatibility</i> (i.e. how well the goals of all participants are taken into account and where necessary reconciled); <i>coordination</i> (i.e. the existence and likely use of forums to sustain dialogue among stakeholders); and <i>complementarity</i> (i.e. how well participants' policies, plans, actions and choices support one another, and the degree of harmony among partners in achieving desired outcomes). |
| Replicability Score: | A high score is given if a design is explicit in explaining the potential for the project to yield lessons that can be used to improve actions in the future or elsewhere. |
| | Quality of project design |
| Evidence & reasoning Score: | A high score is given if a design provides a convincing analysis of the context, problems, needs and risks upon which it is founded, and presents sufficient evidence that its approach can deliver useful results and sustainable impacts. |
| Clarity of explanation Score: | A high score is given if a design conveys a complete sense of how and why the project should be implemented. |
| Participation in design Score: | A high score is given if it is clear that all key stakeholder groups have been consulted in the design process, and have influenced it enough that their support can plausibly be expected. |

5.5 Timeline Creation

Timeline creation will involve the development of a coherent, time-ordered sequence of FCPF actions at the program and country level. The information will be gathered from desk reviews and interviews with FCPF and Country Participant knowledge holders. The timeline will focus on efforts between July 2011 and December 2014, and will be done for the FCPF as a whole and for individual REDD+ Country Participants. The timelines will show disbursements from the readiness and carbon funds, thus helping to detect and visualize irregularities and changes that require explanation as an input to discussing efficiency issues. The timelines will support the triangulation of results and contribute to conclusions on whether the FCPF is well positioned, in relation to governance structure, REDD+ Country Participant capacities, Delivery Partner capacities, FMT capacity and resources available, to manage and meet the FCPF objectives as envisaged in the M&E framework.



5.6 Analysis of Information from Informants

Data on the stakeholder consultation and engagement process will be entered into an Excel spreadsheet (the consultation database), which will include key stakeholder identification data, such as the name of the stakeholder, the stakeholder group represented, and region. The pivot feature will be used for easy look-up and statistical analysis of results, to support identification of trends and issues. Survey results will also be entered into the spreadsheet and will allow for descriptive statistics of the survey sample. When assessing the survey results, a number of factors will need to be considered for both qualitative and quantitative analysis, including sample size, response rate, and the consistency of findings with those obtained through other evaluation methods such as timeline creation and portfolio analysis. Such factors will be considered when interpreting the validity of the results. The emphasis of the online survey will be to employ qualitative analysis and descriptive statistics, and results will be used in combination with other evidence in the triangulation process.

5.7 Triangulation of Findings

Triangulation is a useful way to detect real phenomena and to safeguard findings against excessive bias (Annex 6). It involves testing observations and interpretations by reference to the following:

- **multiple data sources**, including primary and secondary documentary evidence, and data collected from observations, key informants and stakeholders;
- **multiple methods of data collection**, including document review, field observations, and interviews across an evaluation question; and
- **multiple evaluators**, relying on the fact that a special effort has been made in this evaluation to form a team, which possesses a mix of evaluative skills and thematic knowledge.

Triangulation is among the later steps in the analysis process, and will overlay evidence from multiple data sources and analytical methods to arrive at conclusions. Each team member will present preliminary findings for each evaluation question based on the evidence that they have collected. Key findings will then be identified for each evaluation question by looking at which findings are confirmed by more than one method, and considering the relative strength of evidence in each case. A triangulation matrix will then be constructed to arrive at evidence-based conclusions. Conclusions for each evaluation question will normally need at least two data sources, with two methods of data collection from more than one evaluator to be valid. To further strengthen the triangulation of data, portfolio analysis and timeline creation methods will be used and noted within the matrix.

5.8 Validation of Findings

Upon the completion of field visits, the evaluation team will write up the report from each field visit and have the findings validated by the relevant authority. In addition, a debriefing session will be held at the end of each field visit with the relevant stakeholders to validate the field visit findings. Consistent with best practice, upon the conclusion of each interview, a team member will confirm the main points of discussion with the interviewee.



6. OUTPUTS

6.1 Communication Plan

A communication plan is integral to the evaluation, and comprises: dialogue with the Oversight Committee and Reference Group at inception stage; presentation of methods at the Participants Committee meeting in November 2015; bi-weekly progress reports and field visit reports; presentation of findings to the Oversight Committee and other stakeholders in early 2016; dissemination of and feedback on the draft Final Report; and dissemination of the Final Report in English, Spanish and French at the discretion of the Oversight Committee.

6.2 Inception Report

The purpose of this Inception Report is to propose the rationale, research strategy, methods and work plan of the evaluation for review, discussion and modification if necessary. The ToR note that the inception report should include the evaluation methodology and a communication plan, and that it will be reviewed by the Oversight Committee and Reference Group, and endorsed by the Oversight Committee.

6.3 Progress Reports

The Progress Reports are intended to provide the client with assurance that progress is in line with expectations, that any problems that have arisen have been identified, analyzed, discussed and are being appropriately addressed, and that plans for the immediate future are rational and likely to yield further progress towards the evaluation goals. Progress reports will be in the form of a bi-weekly update to the FMT Evaluation Focal Point from the Team Leader or Project Coordinator from Indufor.

6.4 Field Visit Reports

Brief reports will be prepared following each visit to a Tier 3 country and shared by e-mail with the relevant National REDD+ Focal Point and FMT Evaluation Focal Point. The format of the report is given in Annex 7. A list of stakeholders interviewed during the mission will be annexed, although the Chatham House Rule will apply so comments will not be attributed to named informants.

6.5 Core Team Workshop

A core team workshop is proposed over several days in Europe, probably in Bath (UK), Helsinki (Finland) or Zürich (Switzerland). This will occur prior to drafting the Final Report.



6.6 Final Report

The Final Report will be drafted in March-April 2016 and submitted to the Oversight Committee in digital form and in the English language. It will be finalized in light of comments, and will be made available in Spanish and French as well as English within 30 working days of its formal acceptance. An indicative contents list of the Final Report follows. This will be finalized in such a way as to ensure that all EQs are answered in detail.

Preface

Evaluation team and oversight arrangements

Acknowledgments

Acronyms and Abbreviations

Overview of the Forest Carbon Partnership Facility

Executive Summary

1. Introduction

1.1 Purpose and scope of the evaluation

1.2 Methods

1.3 Key concepts and definitions

1.4 Roadmap for the evaluation

2. Relevance of the FCPF

2.1 The Role of FCPF in the evolving global REDD+ architecture

2.2 Evolution of the FCPF

2.3 The current FCPF portfolio

2.4 Alignment of the FCPF with Country Participant strategic priorities

2.5 Contribution of the FCPF to REDD+ readiness among Country Participants

2.6 Relevance of the current M&E Framework to Country Participant needs

3. Effectiveness of the FCPF at Country Level

3.1 Added value at the country level

3.2 The FCPF management structure

3.3 Coordination at the country level

3.4 The FCPF's ability to leverage resources

3.5 Conclusions on the effectiveness of the FCPF

4. Lessons on Effectiveness

4.1 Integration of lessons learned from REDD+ Readiness into the Carbon Fund

4.2 Piloting the Common Approach and Indigenous Peoples Capacity Building Program

4.3 Integration of lessons learnt from the first evaluation

4.4 Lessons from the ER-PIN preparation process

5. Efficiency of the FCPF

5.1 Efficiency of disbursements

5.2 Conduciveness of the governance structure

5.3 Coordination at country level

6. Lessons on Impact and Sustainability

6.1 Catalytic impacts and the extent of influence of the FCPF

6.2 Lessons for shaping stakeholder engagement processes

6.3 Contribution of the FCPF to incremental REDD+ investments

6.4 Monitoring and reporting under the FCPF

6.5 Cross-cutting issues

7. Conclusions and Recommendations

Bibliography

Annexes: (a) field visit reports; (b) ER-PIN analyses; (c) triangulation matrices (and digests of on-line survey, interview and group discussion notes as necessary); (d) a discussion of potential limitations to the approach used in the evaluation, details of all data collection methods (including survey instruments and sampling methods), analysis methods, triangulation approach, and country selection processes; and (e) the ToR and qualifications of the evaluation core team.

The reporting schedule is summarized in the work plan in Section 7.



7. WORK PLAN

| Activity | Month Week | Nov 2015 | | | | Dec 2015 | | | | Jan 2016 | | | | Feb 2016 | | | | Mar 2016 | | | | Apr 2016 | | | | May 2016 | | | | June |
|---|---------------|----------|---|---|---|----------|---|---|---|----------|---|---|---|----------|---|---|---|----------|---|---|---|----------|---|---|---|----------|---|---|---|------|
| | | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 | 1-4 |
| Revised Inception Report (*delivery) | | | | * | | | | | | | | | | | | | | | | | | | | | | | | | | |
| PC meeting (*presentation on methods) | | * | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Progress reports (*delivery) | | | | * | | * | | * | | * | | * | | * | | * | | * | | * | | | | | | | | | | |
| Pre-test Tier 1 online survey | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Send out Tier 1 online survey (*mail out) | | | | | | * | | | | | | | | | | | | | | | | | | | | | | | | |
| Country visits: Ghana | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Country visits: Lao PDR | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Country visits: Perú, México, Madagascar, Nepal | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Field visit reports (*delivery, 6 missions) | | | | | | * | | * | | * | | * | | * | * | * | | | | | | | | | | | | | | |
| Tier 2 country & other remote interviews | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Analysis of survey, discussion & interview data | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Core Team meeting (Internal) (*indicative) | | | | | | | | | | | | | | | | * | | | | | | | | | | | | | | |
| Prepare Draft Final Report (*quality assurance) | | | | | | | | | | | | | | | | | | | | * | | | | | | | | | | |
| Draft Final Report (*delivery) | | | | | | | | | | | | | | | | | | | | * | | | | | | | | | | |
| Client review of Draft Final Report (*comments) | | | | | | | | | | | | | | | | | | | | | * | | | | | | | | | |
| Meeting between Core Team and OC and RG | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Final Report preparation (*quality assurance) | | | | | | | | | | | | | | | | | | | | | | | | | | | * | | | |
| Final Report (*delivery) | | | | | | | | | | | | | | | | | | | | | | | | | | | * | | | |
| PC meeting, April/May TBC (*present findings) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Endorsement of Final Report | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | → |
| Action Plan for Recommendations | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | → |
| Translation of findings into Spanish and French | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | → |



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Annex 1

Content of the On-line Survey



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Annex 1 Content of the On-line Survey

A link to the on-line survey will be sent to the FCPF focal points in all 47 Country Participants. Each focal point will be asked to canvass opinion within their own group of colleagues, so that any reply reaching the core evaluation team will be assumed to represent a collective view. Each informant will be assured that honest answers are sought and that anonymity will be respected. It will have an appearance and functionality similar to the following:

| 1. Overall opinion of the FCPF. | | | |
|---|------------------|-----------------|------------------|
| Is your overall opinion of the FCPF ... | Negative? | Neutral? | Positive? |
| | | | |
| Please explain your answer. | | | |

| 2. Expectations of the FCPF. | | | |
|---|---------------|--------------------|-------------|
| Have your expectations of the FCPF been ... | Unmet? | Partly met? | Met? |
| | | | |
| Please explain your answer. | | | |

| 3. Benefits from the FCPF. | | | |
|--|--------------|--------------|--------------|
| Are benefits from the FCPF best described as ... | None? | Some? | Many? |
| | | | |
| Please explain your answer. | | | |

| 4. Problems from the FCPF. | | | |
|--|--------------|--------------|--------------|
| Are problems from the FCPF best described as ... | None? | Some? | Many? |
| | | | |
| Please explain your answer. | | | |



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5. Cooperation in sharing knowledge and solving problems.

| | | |
|---|---------------------------------|---------------------------------|
| Has following FCPF guidance tended to ... | Make cooperation harder? | Make cooperation easier? |
| | | |

Please explain your answer.

6. Changes in the FCPF.

| | | | |
|--|----------------------------|---------------------------------|------------------------------|
| Can the FCPF since 2012 best be described as ... | Not having changed? | Having changed a little? | having changed a lot? |
| | | | |

| | | | |
|---|------------------|-----------------|------------------|
| Are changes in the FCPF best described as ... | Negative? | Neutral? | Positive? |
| | | | |

Please explain your answers.

7. Other issues for the evaluation.

Please draw attention to any other issues that are important for the evaluation to consider.



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Annex 2

Protocol for Interviews



Annex 2 Protocol for Interviews

INTRODUCTION [*This can be shortened or altered to fit the audience*]

About the FCPF. The Forest Carbon Partnership Facility assists developing countries in their efforts to reduce emissions from deforestation and forest degradation and foster conservation, sustainable management of forests, and enhancement of forest carbon stocks (all activities commonly referred to as ‘REDD+’) by providing value to standing forests.

Who we are. The FCPF Evaluation Team comprises Dr Julian Caldecott (Team Leader), Majella Clarke (REDD+ Expert) and Dr Carmenza Robledo (Social and Institutional Issues Expert). Indufor is a Finnish consulting company providing independent advice and services to the forest sector for both public and private sector clients.

Introduce the Evaluation. Since the idea of REDD+ is relatively new, and practical details have had to be worked out and tested in many places, much has been learned by FCPF managers and each Country Participant. The process needs to be evaluated from time to time, to identify strengths, weaknesses and lessons learned, and to suggest improvements. The first evaluation covered 2008-2010, and the second is covering 2011-2014. It will report in February 2016, and will answer four groups of questions:

- **on effectiveness** - the extent to which the objectives of the FCPF are being achieved, and the major factors influencing this
- **on relevance** - the relationship between the FCPF and (a) the priorities of participating and contributing countries, and (b) the global context provided by global treaties (such as the UNFCCC) and funding mechanisms (such as the Global Climate Fund)
- **on efficiency** - the cost-effectiveness, timeliness and added value of efforts to build partner capacity to deliver on FCPF objectives and associated disbursements and procurements
- **on impact and sustainability** - the anticipation and attribution of long-term GHG emission reductions caused or facilitated directly or indirectly by the FCPF.

Information about the interviewee:

| Date | Name & position | Institution (stakeholder category) | Contact details (email/phone) |
|------|-----------------|---------------------------------------|----------------------------------|
| | | | |

Familiarity of the interviewee with national REDD+ context:

| REDD+ Readiness Process | Familiarity (YES/NO) | Level of Engagement (e.g. implementation, consultations, coordination, observer, etc.) |
|---------------------------|-------------------------|---|
| FCPF R-PP | | |
| FCPF Carbon Fund | | |
| Forest Investment Program | | |
| UN-REDD | | |
| Norway's Climate & Forest | | |



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| | | |
|--|--|--|
| Initiative | | |
| UNFCCC submissions on REDD+ | | |
| EU REDD Facility | | |
| Other details on the background and experience of the interviewee | | |
| | | |

Overview of the REDD+ system and its current position:

We understand that the interviewee's country has completed the following steps in the FCPF participation process (please confirm or modify):

- Readiness Preparation Idea Note (R-PIN):
- Formulation grant:
- Preparation grant:
- Readiness Preparation Proposal (R-PP):
- Emission Reduction Programme Idea Note (ER-PIN):
- Readiness Package (R-package):
- Letter of Intent:
- Emission Reduction Payment Agreement (ERPA):

SPECIFIC TOPICS

[The following topics are to be discussed with individual stakeholders in the form of a semi-structured interview under the Chatham House Rule (i.e. information disclosed may be reported, but the source of that information may not be explicitly or implicitly identified)].

1. **Your expectations.** What the interviewee expected or hoped for by joining the FCPF. [This question is related to relevance, EQ1]
2. **Alignment with priorities.** The extent that the collaboration with the FCPF is in line with the interviewee's own priorities. [This question is related to relevance, EQ2]
3. **Usefulness of the FCPF.** The most useful services that the FCPF has provided. [This question is related to effectiveness, EQ4]
4. **Participation.** How the FCPF has influenced stakeholder participation. [This question is related to effectiveness, EQ5 & EQ6]
5. **Accomplishments.** What the interviewee has done to prepare for REDD+. [This question is related to effectiveness EQ5 and EQ6]
6. **Multi-sectoral dialogue.** Whether and how the FCPF has facilitated dialogue between sectors. [This question is related to effectiveness EQ7]
7. **REDD+ across scales.** Whether and how the FCPF has facilitated dialogue between different levels of society - local, provincial, national and international. [This question is related to effectiveness, EQ7]
8. **Changes noticed.** Any changes or trends that the interviewee has noticed in how they and the FCPF have worked together over time. [This question is related to effectiveness, EQ8]
9. **Impact.** Whether and how the FCPF has contributed to changing how forests are considered in policy or used in practice. [This question is related to impact, EQ9]
10. **Disappointments of the FCPF.** The least useful services that the FCPF has provided. [This question is related to efficiency, EQ10]



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11. **Improvements wanted.** Any improvements that the interviewee would like to see in the way in which they and the FCPF work together. [This question is related to efficiency, EQ10]
12. **Other contacts.** Details of anyone else that the interviewee feels should be contacted in this matter, and a brief explanation of why.

| Additional comments |
|---------------------|
| |



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Annex 3

Targets for Potential Interview



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Annex 3 Targets for Potential Interview

| Targets for potential interview | | Tier 3 countries | |
|--|---|------------------|--------|
| Overall category | Specific category | Intended | Actual |
| Targets within the government's FCPF-responsible entity. | Contact Point identified by FMT (Tier 2 and Tier 3 targets). | 1 | |
| | Informants recommended by Contact Point. | 1-2 | |
| Targets within other governmental organizations where there is a high degree of FCPF involvement. | Informants recommended by FMT, Contact Point and other informants. | 1-2 | |
| Technical advisors where there is a high degree of FCPF involvement in technical packages for the R-PP and/or the ER-PIN and related work (mapping, reference levels, etc.). | Informants identified from ER-PIN, R-PP and/or recommended by FMT, Contact Point and other informants, with a preference towards those involved in other REDD+ initiatives. | 2-3 | |
| Targets within the private sector where there is particular relevance to FCPF activities. | Companies involved in natural forest production management (e.g. concession holders, wood processing). | 1 | |
| | Companies involved in other forms of natural forest management (e.g. tourism, hunting, timber trade). | 1 | |
| | Companies involved in other activities affecting natural forests (infrastructure, plantations, ranching, mining, finance, etc.). | 1 | |
| Targets within civil society | Biodiversity-oriented conservation charities (international and/or local). | 1-2 | |
| | Indigenous/local-people-oriented development charities (international and/or local). | 1-2 | |
| | Sub-national (local/regional) development institutions/forums. | 1-2 | |
| Targets within donor agencies with programs active in the LULUCF sector. | FCPF Delivery Partner (Tier 2 and Tier 3 targets). | 1 | |
| | Others recommended by FCPF Delivery Partner, FMT, etc. | 2-3 | |
| Targets among other knowledge holders (resident/long-term consultants, politicians, etc.) | Targets of opportunity, interest and recommendation. | 2-3 | |
| All (Tier 3) | Total in each Tier 3 country | 16-24 | |
| All (Tier 2) | Total in each Tier 2 country | 2-5 | |



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Annex 4

Topics for Group Discussions



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Annex 4 Topics for Group Discussions

[Group discussions will be organised by the core team member concerned along with the local consultant in each country, who will also act as facilitator. The discussion will be held under the Chatham House Rule (i.e. information disclosed may be reported, but the source of that information may not be explicitly or implicitly identified). Following an introduction on the FCPF and the evaluation, the following two leading questions will be asked and notes taken on the resulting discussion].

1. **Positive experiences and lessons from participating in the FCPF.** Please discuss any positive experiences and lessons learned that you think should be carried over into the future work of the FCPF.
2. **Negative experiences and lessons from participating in the FCPF.** Please discuss any negative experiences and lessons learned from which you think the FCPF should learn from and adjust its future work accordingly.

Conclude the discussion with a summary of the points made, and confirm that these are valid take-home messages.



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Annex 5

Reference data for REDD+ Country Participants



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Annex 5 Reference data for REDD+ Country Participants

| Reference data for REDD+ Country Participants | | | | | | | | | | | | |
|---|-----------|------------------|----------------|-------------|----------------------|---------------------|----------|-----------------------|---|----------------------|-----------------------|--------------|
| Member country | 1 R-PP | 2 Prep. grant | 3 FIP pilot | 4 ER-PIN | 5 UN-REDD partner | 6 Mega-diversity | 7 LDC | 8 Delivery Partner | 9 Deforestation rate (2005-10 annual percent change & trend) | 10 Travel warning | 11 SIDS &/or AOSIS | 12 Region |
| Argentina | 2010-14 | 2015 | - | - | Yes | - | - | WB | High (-0.80), decreasing | - | - | LAC |
| Belize | 2013-15 | - | - | - | - | - | - | WB | High (-0.68), increasing | - | Yes | LAC |
| Bhutan | 2013-14 | 2015 | - | - | Yes | - | Yes | WB | Negative (+0.34), stable | - | - | APAC |
| Bolivia | - | - | - | - | - | Yes | - | WB | High (-0.53), increasing | - | - | LAC |
| Burkina Faso | 2012-13 | 2015 | Yes | - | - | - | - | WB | High (-1.03), increasing | Yes | - | Africa |
| Cambodia | 2011-13 | 2013 | - | - | Yes | - | Yes | UNDP | High (-1.22), decreasing | - | - | APAC |
| Cameroon | 2012-13 | 2013 | - | - | Yes | - | - | WB | High (-1.70), increasing | Yes | - | Africa |
| CA Republic | 2011-13 | - | - | - | Yes | - | Yes | - | Low (-0.13), stable | Yes | - | Africa |
| Chile | 2012-13 | 2014 | - | Yes | Yes | - | - | WB | Negative (+0.23), decreasing | - | - | LAC |
| Colombia | 2011-13 | 2015 | - | - | Yes | Yes | - | WB | Low (-0.17), increasing | - | - | LAC |
| Congo Rep. | 2010-11 | 2012 | Yes | Yes | Yes | - | - | WB | Low (-0.05), decreasing | - | - | Africa |
| Costa Rica | 2010-11 | 2012 | - | Yes | Yes | Yes | - | WB | Negative (+0.90), decreasing | - | - | LAC |
| Côte d'Ivoire | 2013-14 | 2014 | Yes | - | Yes | - | - | WB | Low (-0.15 in 2000-5), increasing | - | - | Africa |
| Dom. Rep. | 2013-14 | - | - | - | Yes | - | - | WB | None, stable | - | Yes | LAC |
| DRC* | 2010 | 2011 | Yes | Yes | Yes | Yes | Yes | WB | Low (-0.20), stable | Yes | - | Africa |
| El Salvador | 2012-13 | 2014 | - | - | Yes | - | - | WB | High (-1.47), increasing | - | - | LAC |
| Ethiopia | 2010-11 | 2012 | - | - | Yes | - | Yes | WB | High (-1.11), increasing | Yes | - | Africa |
| Fiji | 2013-14 | 2015 | - | - | - | - | - | WB | Negative (+0.34), stable | - | Yes | APAC |
| Gabon | Pending | - | - | - | - | - | - | WB | None, stable | - | - | Africa |
| Ghana | 2009-10 | 2011 | Yes | Yes | Yes | - | - | WB | High (-2.19), increasing | - | - | Africa |
| Guatemala | 2011-13 | 2014 | Yes | Yes | Yes | - | - | IDB | High (-1.47), increasing | Yes | - | LAC |
| Guyana | 2009-12 | 2014 | - | - | Yes | - | - | IDB | None, stable | - | Yes | LAC |
| Honduras | 2011-13 | 2014 | - | - | Yes | - | - | UNDP | High (-2.16), increasing | - | - | LAC |
| Indonesia | 2009 | 2011 | Yes | Yes | Yes | Yes | - | WB | High (-0.71), increasing | - | - | APAC |
| Kenya | 2010 | - | - | - | - | Yes | - | WB | Low (-0.31), decreasing | - | - | Africa |
| Lao PDR | 2010 | 2014 | Yes | Yes | - | - | Yes | WB | High (-0.49), increasing | - | - | APAC |
| Liberia | 2011-12 | 2012 | - | - | - | - | Yes | WB | High (-2.27), increasing | - | - | Africa |



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| | | | | | | | | | | | | |
|------------|---------|------|-----|-----|-----|-----|-----|------|------------------------------|-----|-----|--------|
| Madagascar | 2010-14 | 2015 | - | - | Yes | Yes | Yes | WB | High (-0.45), increasing | - | - | Africa |
| México* | 2010-11 | 2014 | Yes | Yes | Yes | Yes | | WB | Low (-0.24), decreasing | - | - | LAC |
| Mozambique | 2011-13 | 2015 | Yes | - | - | - | Yes | WB | High (-0.53), decreasing | - | - | Africa |
| Nepal* | 2010 | 2011 | Yes | Yes | Yes | - | Yes | WB | None, potentially increasing | - | - | APAC |
| Nicaragua | 2011-13 | 2013 | - | - | - | - | - | WB | High (-2.11), increasing | - | - | LAC |
| Nigeria | 2013-14 | 2015 | - | - | - | - | - | WB | High (-4.00), increasing | Yes | - | Africa |
| Pakistan | 2013-14 | 2015 | - | - | Yes | - | - | WB | High (-2.37), increasing | Yes | - | APAC |
| Panamá | 2009-14 | 2014 | - | - | Yes | - | - | - | High (-0.36), increasing | - | - | LAC |
| PNG | 2012-13 | - | - | - | Yes | - | - | UNDP | High (-0.49), increasing | - | Yes | APAC |
| Paraguay | 2014-15 | - | - | - | Yes | - | - | - | High (-0.99), increasing | - | - | LAC |
| Perú | 2010-14 | 2014 | Yes | Yes | Yes | Yes | - | IDB | Low (-0.22), increasing | - | - | LAC |
| Sudan | 2013-14 | 2015 | - | - | Yes | - | Yes | WB | Low (-0.08), stable | Yes | - | Africa |
| Suriname | 2009-13 | 2014 | - | - | Yes | - | - | UNDP | Low (-0.01), increasing | - | Yes | LAC |
| Tanzania | 2010 | - | - | - | Yes | - | Yes | - | High (-1.16), increasing | - | - | Africa |
| Thailand | 2013 | - | - | - | - | - | - | WB | Negative (+0.08), increasing | - | - | APAC |
| Togo | 2013-14 | 2015 | - | - | - | - | Yes | WB | High (-5.75), increasing | - | - | Africa |
| Uganda | 2011-12 | 2013 | - | - | Yes | - | Yes | WB | High (-2.72), increasing | - | - | Africa |
| Uruguay | 2013-15 | - | - | - | - | - | - | WB | Negative (+2.79), increasing | - | - | LAC |
| Vanuatu | 2012-13 | 2015 | - | - | Yes | - | Yes | WB | None, stable | - | Yes | APAC |
| Vietnam | 2010-11 | 2012 | - | Yes | Yes | - | - | WB | Negative (+1.08), decreasing | - | - | APAC |

Notes: * Baseline case country for the 1st Evaluation of the FCPF. **Column sources:** **1, 2, 4, 8** (<https://www.forestcarbonpartnership.org/>, FCPF Dashboard 1 Oct 2015); **3** (http://www.climateinvestmentfunds.org/cif/Forest_Investment_Program); **5** (: http://www.un-redd.org/Partner_Countries/tabid/102663/Default.aspx); **6** (Megadiversity: Signatories to the Cancun Declaration of Like Minded Megadiverse Countries, at <http://pe.biosafetyclearinghouse.net/actividades/2009/group1mmc.pdf>); **7** (: http://www.un.org/en/development/desa/policy/cdp/ldc/ldc_list.pdf); **9** (FAO FRA 2010, Global Tables, Table N3. 3 Trends in extension of forest 1990-2010 at <http://www.fao.org/forestry/fra/fra2010/en/>); **10** (foreign ministries of Australia, Switzerland and the UK, combined information from <http://smartraveller.gov.au/>); **11** (<http://unctad.org/en/pages/aldc/Small%20Island%20Developing%20States/UNCTAD%C2%B4s-unofficial-list-of-SIDS.aspx>; <http://aosis.org/about/members/>).



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Annex 6

Example of Triangulation Matrix



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Annex 6 Example of Triangulation Matrix

A triangulation matrix is a means of organising data from multiple sources that shed light on a particular aspect of a subject of study, in this case an evaluation question. It therefore condenses primary evidence in various forms (e.g. verbal observations from interview and group discussion notes, and written observations from published and unpublished documents and correspondence), so they can be conveniently called upon to support the formulation of hypotheses and tentative conclusions in relation to the evaluation question concerned. A generic example is given in the table.

| (Example) Evaluation Question 3. To what extent and in what ways has the FCPF supported countries in preparing to undertake REDD+? | |
|---|---------------------------------------|
| Primary Documentary Evidence | Key Informants (by stakeholder group) |
| Secondary and supporting documentation for review | |
| Stakeholder comments (presented by stakeholder number to preserve Chatham House Rule) | |
| Observations on common emerging themes | |
| Key synergies between data sources | Key divergences between data sources |
| Independent Assessment Findings | |
| Conclusions | |
| Notes by evaluator (optional) | |



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Annex 7

Format for Field Visit Reporting



Annex 7 Format for Field Visit Reporting

| | |
|---|--|
| Country | |
| Personnel and itinerary | |
| Highlights of environmental, institutional, economic and political context | |
| | |
| Key evaluation question | Summary of stakeholder observations |
| 1. For what reason did countries decide to join the FCPF in the first place, and to continue the engagement thereafter? | |
| 2. To what extent and in what ways has the FCPF responded to countries' strategic priorities? | |
| 3. To what extent and in what ways has the FCPF supported countries in preparing to undertake REDD+? | |
| 4. To what extent and in what ways have the various instruments developed by the FCPF been helpful to countries in preparing to undertake REDD+? | |
| 5. To what extent and in what ways has the FCPF supported countries' efforts to achieve high levels of stakeholder engagement? | |
| 6. To what extent and in what ways has the FCPF supported efforts to involve multi-sectoral actors in countries' institutional arrangements and national dialogues? | |
| 7. To what extent and in what ways has the FCPF promoted the sharing of knowledge among stakeholders at national, regional and global level? | |
| 8. To what extent and in what ways has the FCPF responded to the recommendations of earlier evaluations? | |
| 9. To what extent and in what ways has the FCPF contributed to broad and long-term change beyond its short-term effects? | |
| 10. How efficiently and effectively have the FCPF superstructure groups performed the roles expected of them? | |
| Notes on divergences and convergences of stakeholder opinion | |
| | |
| Conclusions | |
| | |



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