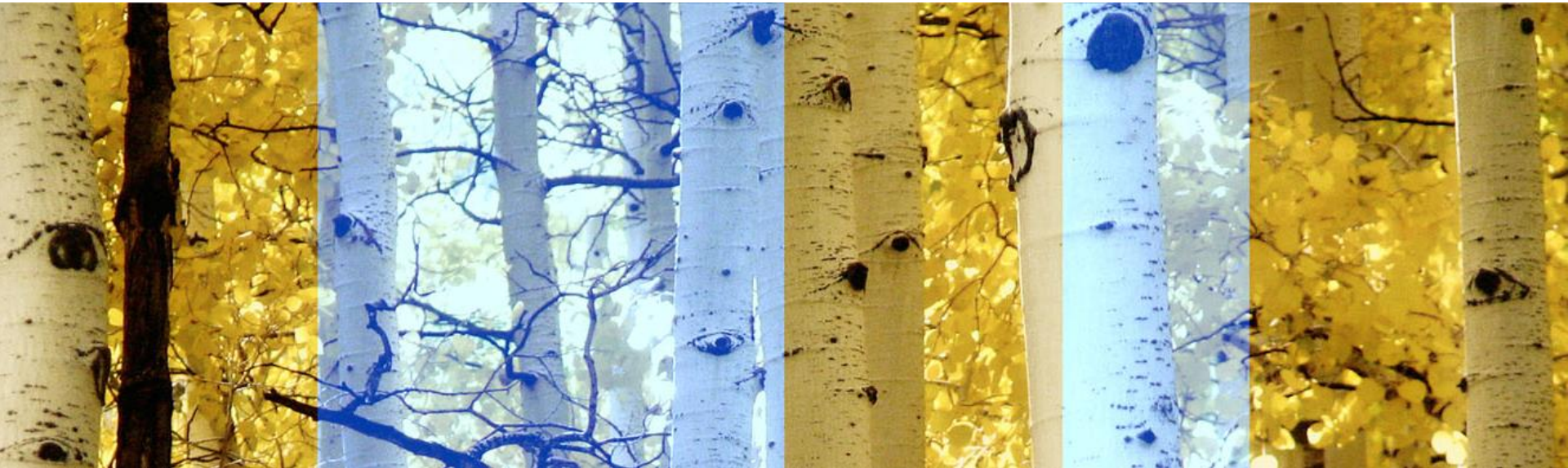


# Second Program Evaluation of the Forest Carbon Partnership Facility

## Key Findings

21<sup>st</sup> Meeting of the Participants Committee

3rd May 2016



Majella Clarke, Petra Mikkolainen, Marisa Camargo, Brent Matthies and Nagmeldin Elhassan



**Indufor** ...forest intelligence

# Overview of Presentation

- Evaluation Purpose and Oversight
- The Evaluation Process
- Data Collection and Methods
- Analysis and Key Findings
- Conclusions and Recommendations



# Evaluation Purpose and Objectives

- Ascertain results and lessons learned from the program
- Assess relevance, and effectiveness, and specific aspects of efficiency of the program, taking into account complexity of REDD+



# Evaluation Purpose and Objectives

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

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

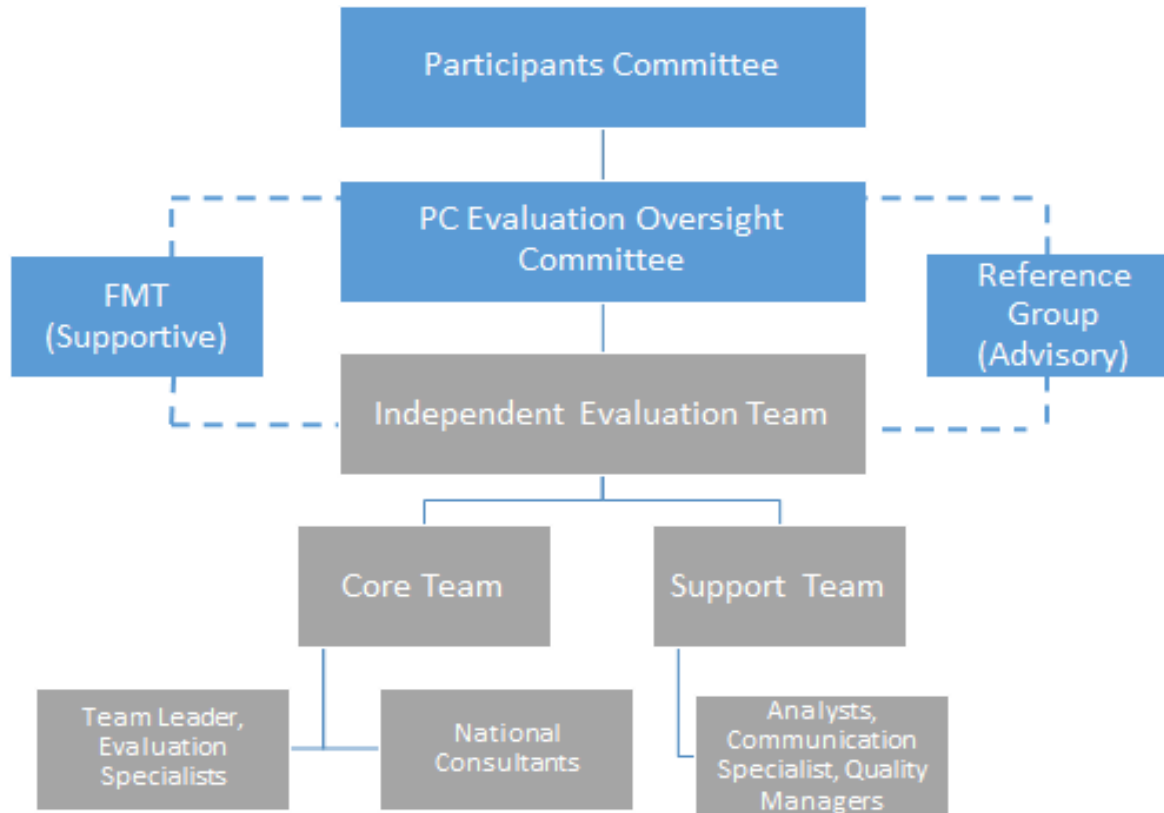


# Evaluation Scope

- What a portfolio evaluation can and cannot do
- Temporal Scope
  - July 2011 to December 2014
  - How to account for developments in 2015/16?
- Evaluation criteria
- Evaluation matrix: Key questions and approach



# Evaluation Oversight and the Independent Evaluation Team



# Evaluation Process

## Inception

Evaluation Matrix Design

Design of Surveys

Selection of Field Visit  
Countries

Inception Report

## Data Collection and Methodology

Document Review

Stakeholder Consultations  
and Field Visits

Stratification of Data

Evaluation Matrix  
Questions

## Analysis and Findings

Relevance

Effectiveness

Impact, Sustainability and  
Efficiency



# Data Collection and Methodology



Mangrove Forest  
Photo: en.wikipedia.org





# Document Review

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# Document Review

- Guidance: GRPPs Sourcebook, OECD DAC guidance, FCPF/UNREDD Stakeholder engagement
- Previous evaluations: First FCPF evaluation, IEG Review
- Key primary documentation
  - Program Level: Annual Reports, Financial Reports
  - Country Level: R-PPs, ER-PINs, Grant Agreements
  - Delivery Partner: Country Partnership Strategies
- Key Secondary documentation
  - CIF/FIP Evaluation, NICFI evaluation
  - Country Development plans



# Stakeholder Consultations

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# Statistics: General Stakeholders

Stakeholder Group	Tier 2 & 3 Stakeholders	General Stakeholders	Sub-Total
Multilaterals, Delivery Partners, UN & Other International Organizations	50	54	104
Financial Contributors	0	30	30
NGOs, Other CSOs & Key Informants	49	18	67
Forest Dependent Indigenous Peoples / Forest Dwellers	32	8	40
Private Sector	8	24	32
Government	82	1	83
<b>TOTAL RESPONSES</b>	<b>221</b>	<b>135</b>	<b>356</b>

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



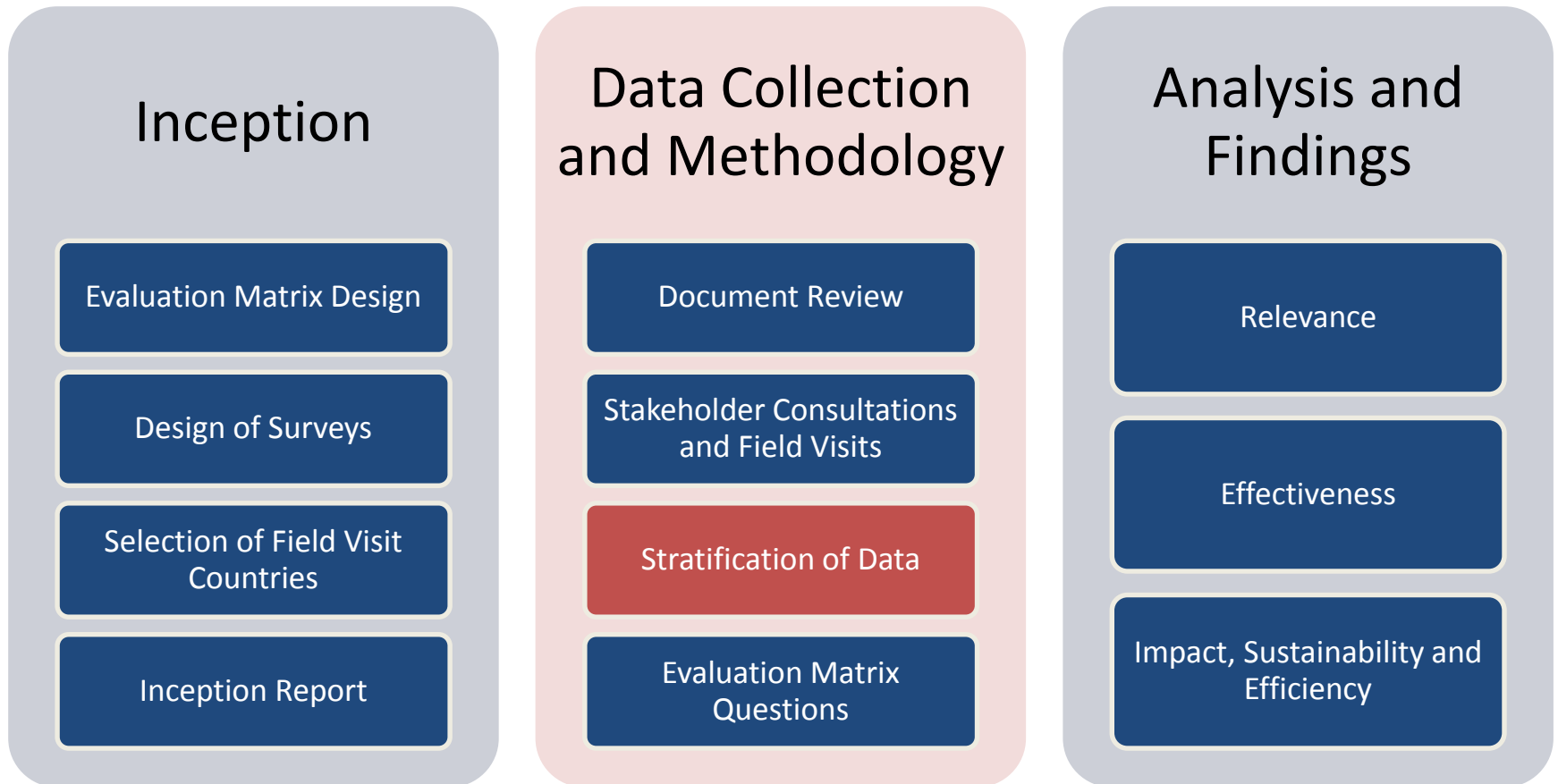
# Stakeholder Consultations: Online survey for REDD

## Country focal points and Field Visits

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



# Stratification of Data



# Stratification of Data Collected from Stakeholders

Tier 3: Country visit: face-to-face interviews, focal group discussions and field visits

Tier 2: Remote in-depth interviews (FCPF focal point and WB representative)

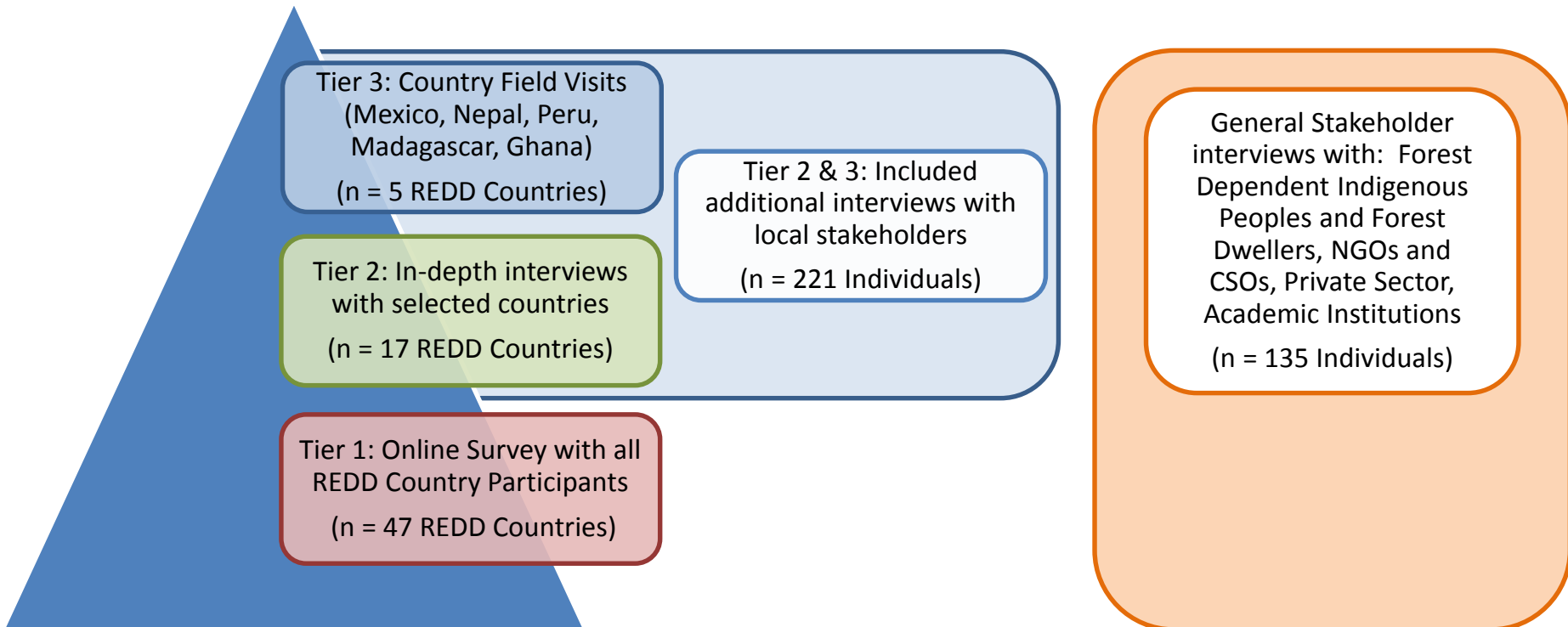
Tier 1: Online survey sent to FCPF focal points and portfolio analysis

Tier 2 & 3: Included additional interviews with local stakeholders

General Stakeholder interviews with: Forest Dependent Indigenous Peoples and Forest Dwellers, NGOs and CSOs, Private Sector, Academic Institutions



# Stakeholders Contacted for each Strata





# Evaluation Matrix Questions

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# Evaluation Questions agreed in the Inception Report

- Q1. For what reason did countries decide to join the FCPF in the first place, and to continue the engagement thereafter?
  - Q2. To what extent and in what ways has the FCPF responded to countries' strategic priorities?
  - Q3. To what extent and in what ways has the FCPF supported countries in preparing to undertake REDD+?
  - Q4. To what extent and in what ways have the various instruments developed by the FCPF been helpful to countries in preparing to undertake REDD+?
  - Q5. To what extent and in what ways has the FCPF supported countries' efforts to achieve high levels of stakeholder engagement?
  - Q6. To what extent and in what ways has the FCPF supported efforts to involve multi-sectoral actors in countries' institutional arrangements and national dialogues?
  - Q7. To what extent and in what ways has the FCPF promoted the sharing of knowledge among stakeholders at national, regional and global level?
  - Q8. To what extent and in what ways has the FCPF responded to the recommendations of earlier evaluations?
  - Q9. To what extent and in what ways has the FCPF contributed to broad and long-term change beyond its short-term effects?
  - Q10. How efficiently and effectively have the FCPF superstructure groups performed the roles expected of them?
- 



# Analysis and Key Findings

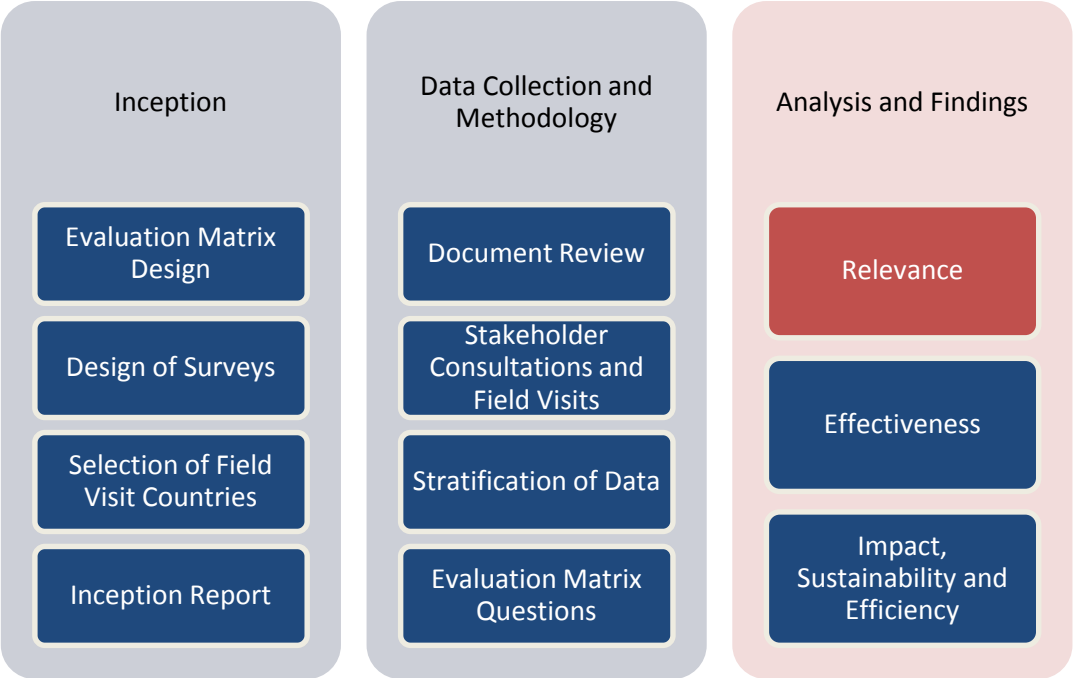


World's largest underwater forest (Ghana)

[www.thehigherlearning.com](http://www.thehigherlearning.com)



# Relevance



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



## Q 1: For what reason did countries decide to join the FCPF in the first place, and to continue the engagement thereafter?

- The FCPF has demonstrated relevance to REDD Countries and Financial Contributors
- The Readiness Fund is relevant to REDD+ Readiness (Phase 1) under the UNFCCC.
- The Carbon Fund is yet to disburse Results Based Payments.
- Increased contributions and demand from REDD Countries for Carbon Fund, but it is yet to demonstrate its relevance.

Indicator	2011	2014	Change
Portfolio Size (countries)	37	47	+10
Readiness Fund Net Cash Receipts (Cumulative) (USD '000)	101,939	369,503	267,564
Carbon Fund Net Cash Receipts (Cumulative) (USD '000)	183,165	333,543	150,378



# Q 1: For what reason did countries decide to join the FCPF in the first place, and to continue the engagement thereafter?

- Each REDD Country has unique national circumstances that have shaped their experience with the FCPF
- Main reasons for joining and staying in the FCPF:
  - Financial and technical support for REDD+ readiness
  - The FCPF provided structure and a common framework in the absence of a Global agreement on REDD+
  - Fear of missing out or not keeping up with major global changes in forest policy
  - The Common Approach facilitated continuation for countries without the World Bank as a Delivery Partner
  - FCPF has created an international platform that continuously provided guidance and information on REDD+



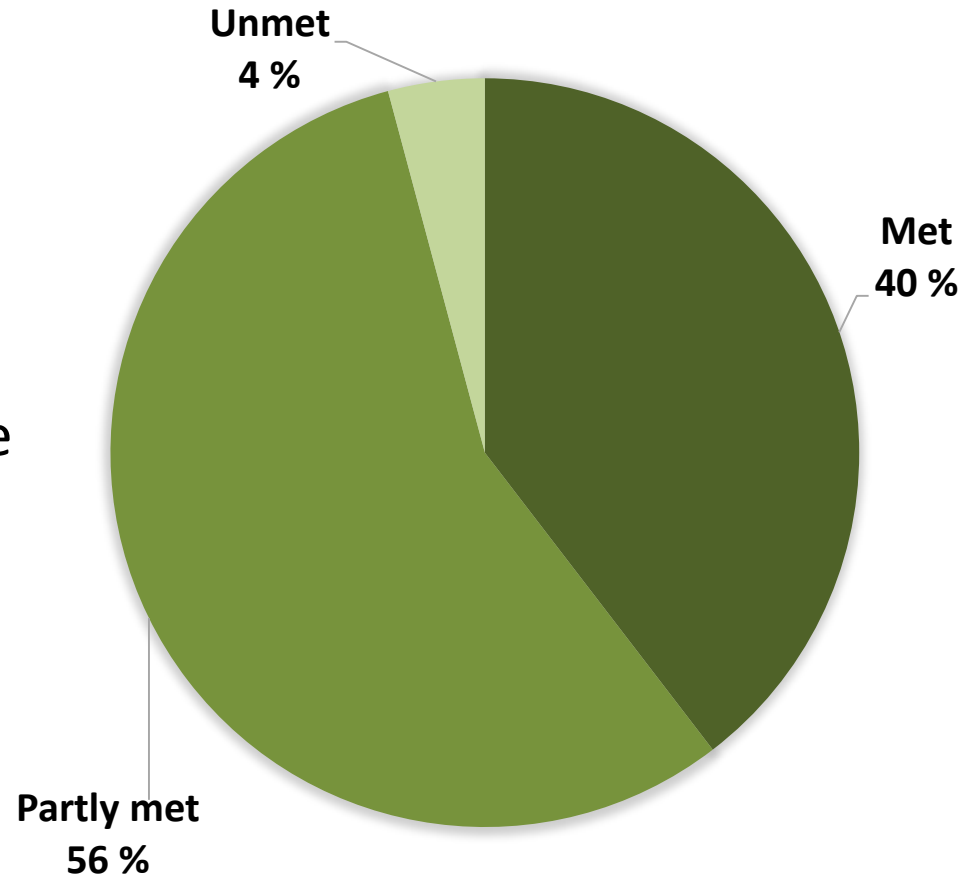
## Q2: To what extent and in what ways has the FCPF responded to countries' strategic priorities?

- What do we mean by a Country's strategic priority?
  - REDD Country national priorities: Food security, economic growth, economic stability, rural development, expanding primary industries, controlling inflation, controlling the debt burden.
  - REDD Country climate change priorities: Adaptation (Africa), Joint Mitigation and Adaptation, REDD+
  - Finding #1: In-depth interviews and field visits found that the FCPF kick starts the REDD+ national strategy process in many REDD countries
  - Finding #2: In-depth interviews and field visits found that joining the FCPF has led to a stronger awareness of the strategic importance of REDD+ in many REDD countries
  - Finding #3: Variations in integrating the REDD+ agenda into Delivery Partner Country Strategies (field visits)
- 



# Online Survey Question: Have your expectations of the FCPF been met?

- 96% of country focal points' expectations have been partly or fully met





# Effectiveness

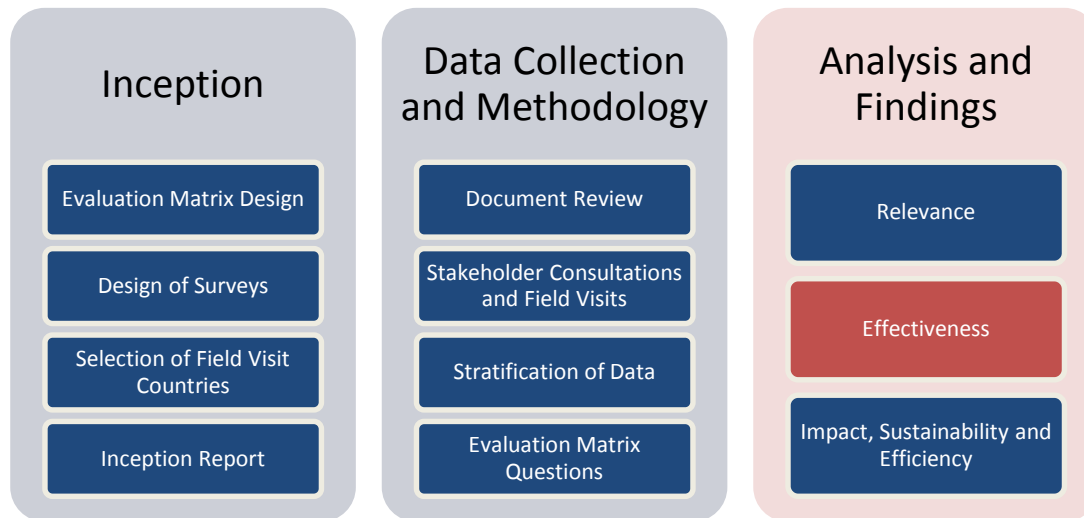


Photo: Spiny Forest in Madagascar



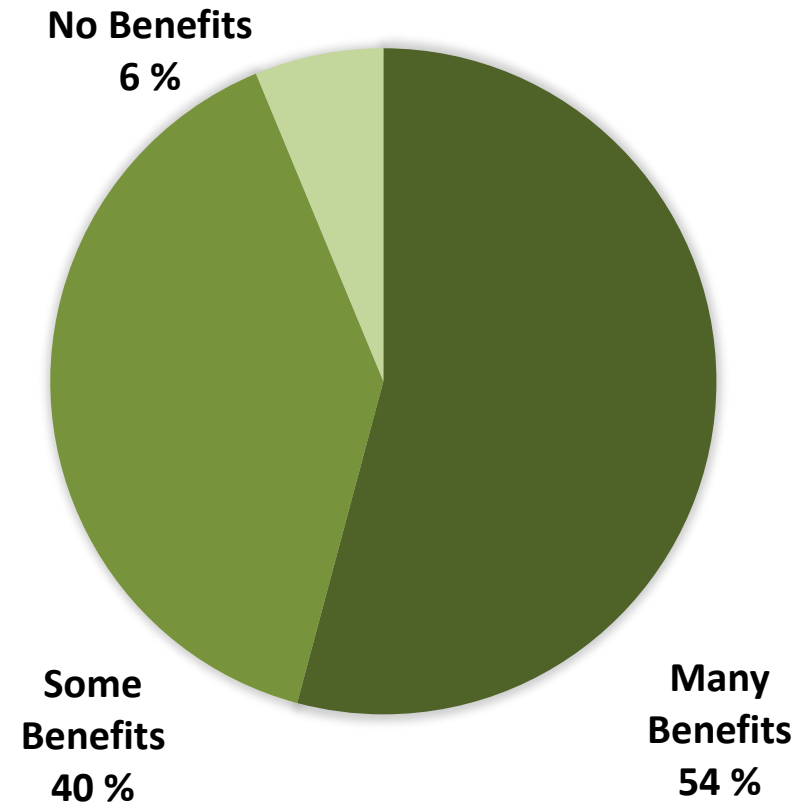
### Q 3: To what extent and in what ways has the FCPF supported countries in preparing to undertake REDD+?

Indicator	Targets for FY15	Status end of FY15
R-PPs endorsed	30+	45
Grant Agreements signed	30+	35
MTRs presented	20+	9
ER-PINs presented	10	14
ERPAs signed	At least 5	0
ER purchases following ERPA signature	10M USD	0
R-Packages and ER-Programs demonstrate livelihoods enhancement	100%	1
R-Packages and ER-Programs demonstrate biodiversity conservation	100%	1
R-Packages and ER-Programs demonstrate sustainability standards	10+	1



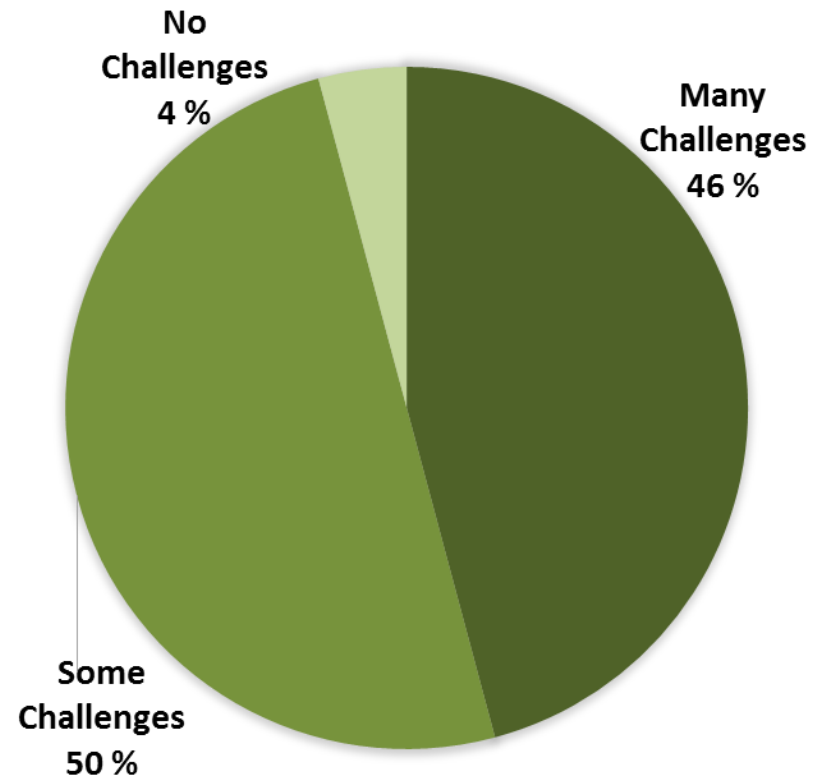
# Online Survey Responses: Extent of benefits received from participating in the FCPF

- Examples of focal point responses:
  - Financial and technical support
  - Structured approach to REDD Readiness created (R-PP, RAF etc.)
  - Institutionalization of REDD+ and support for UNFCCC requirements at the national level
  - Building participatory processes and coordination among stakeholders
  - Capacity building and knowledge sharing



# Online Survey Responses: Extent of challenges as a result of participating in the FCPF

- Examples of focal point responses:
  - Slow disbursement at country level
  - Navigating delivery partner policies (procurement and reporting requirements)
  - Alignment with other Global efforts (GCF, FIP, UNFCCC, UNREDD)
  - Technically Challenging
  - Level of financing
  - Managing expectations



### Q 3: To what extent and in what ways has the FCPF supported countries in preparing to undertake REDD+?

- Finding#1: Extensive support in preparing for REDD+ readiness (R-PPs)
- Findings #2: Building readiness and a results-based framework was more complex than envisioned



## Q 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+?

Responses to the online survey, in-depth interviews, and field visits, and document reviews found that:

- Finding #1: While helpful, FCPF instruments have been complicated and challenging for many REDD Countries (e.g. SESA/ESMF).
- Finding #2: The Readiness Assessment Framework stood out as one of the most useful tools. It was practical and provided structure to readiness.
- Finding #3: FCPF templates and their guidance were well designed (R-PP, ER-PIN).
- Finding #4: Methodological Framework was seen as highly complicated across all stakeholder groups (Financial Contributors, REDD Countries, CSOs, International Organisations, REDD Technical Experts).
- Finding #5: Advanced REDD Countries could not use the REL Toolkit (2015) and some went back to redesign their FREL/FRL.



## Q 5: To what extent and in what ways has the FCPF supported countries' efforts to achieve high stakeholder engagement?

### *Global level*

- Finding #1: The role of the Forest-dependent Indigenous Peoples and Forest Dwellers, and CSOs has been strengthened in the FCPF Governance structure, but can be improved.
- Finding #2: The engagement with the private sector underperformed against the target set.
- Finding #3: Women's representation role has improved but shortcomings remain.



## Q 5: To what extent and in what ways has the FCPF supported countries' efforts to achieve high stakeholder engagement?

### *Global level (continued)*

- Finding #4: The Common Approach has harmonized Delivery Partner standards on social and environmental safeguards
- Finding #5: The reports indicate that the Common Approach is being implemented, but evidence to support this was limited
- Finding #6: The ambition of the FCPF to engage Forest-Dependent Indigenous Peoples and Forest Dwellers, and CSOs described in the Charter, exceeds what the Capacity Building Program has delivered.





## **Q 5: To what extent and in what ways has the FCPF supported countries' efforts to achieve high stakeholder engagement?**

### ***National level***

- Finding #7: Starting at the R-PP process, the FCPF has ensured and strengthened stakeholder engagement in readiness preparation. However, some stakeholder engagement processes are short term, established to meet document requirements.
- Finding #8: Limited evidence whether the application of SESA was able to foster stakeholder engagement – expectations are high.
- Finding #9: SESA Challenges exist with sequencing, alignment and synchronization of SESA/ESMF
- Finding #10: Private sector engagement in readiness has been limited, but significantly improved in some Emission Reduction Programs



## Q 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?

- First evaluation made two recommendations to improve cross-sectoral coordination at the country level:
  1. Strengthen participation of key ministries
  2. Capacity building on multi-sectoral engagement
- Finding #1: Documentation (R-PPs, ER-PINs) presented mechanisms for supporting multisectoral actors in institutional arrangements and dialogues.
- Finding # 2: Progress reports showed that not all countries continue to use the mechanisms for supporting multi-sector actors. Field visits and in-depth interviews found that many of the mechanisms in place are short-term.
- Finding #3: Field visits and document reviews found that there is limited evidence that REDD+ has influenced other sectors' policies beyond the forest sector.



# Q 7: To what extent and in what ways has the FCPF promoted the sharing of knowledge among stakeholders at national, regional and global level?

## Global

- Finding #1: There has been an increase in knowledge products generated since the last evaluation in 2011
- Finding #2: The draft communications strategy does not correspond to the scope and ambition of the FCPF as an international forerunner of REDD+

## Regional

- Finding #3: There has been an increase in the amount of knowledge sharing events since the last evaluation

## National

- Finding #4: Country Focal Points perceive the FCPF as a useful platform for knowledge sharing for REDD+ (90% of the respondents)
- Finding #5: The REDD Countries relate differently to the FCPF as a global platform, limited evidence on how the FCPF has implemented country-tailored technical support



## Q 8: To what extent and in what ways has the FCPF responded to the recommendations of earlier evaluations?

- The first evaluation (2011) made 22 recommendations that were dominated by improving efficiency and coordination in the FCPF.
  - World Bank Management Response: Agreed to 8 recommendations; Partially agreed to 2 recommendations; No response to 11 recommendations (*PC relevant recommendations*). 1 response merited further discussion. 1 response not addressed.
- Results from the IEG review (2012) showed that:
  - Achieved 5 recommendations; Partly achieved 8 recommendations; Did not achieve 8 recommendations and 1 recommendation not addressed.
- 2nd evaluation found that:
  - Many recommendations from the 1st evaluation that solicited “no response” from the World Bank management were taken up by the PC for follow up.
  - Private sector engagement remains a lost opportunity and a continuous challenge.



# Impact, Sustainability and Efficiency



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# Q9: To what extent and in what ways has the FCPF contributed to broad and long-term change beyond its short-term effects?

- Intermediate Impacts in the Result Chain of FCPF interventions
- **Impact #1: Global Regime that provides incentives for REDD+**
  - Good portfolio size for building a global regime
  - The FCPF has been catalytic in designing a common path for REDD+ readiness
- **Impact #2: Momentum for good Governance of SFM, Multi stakeholder participation and respective policy reforms**
  - Instituting REDD+ at the national level in Government institutions has created the conditions for potential long-term change in national policies and processes.
  - But... REDD+ is yet to be intergated into policies and national development plans beyond the forest sector
- **Impact #3: Globally recognized REDD+ standards**
  - No evidence of globally recognised FCPF developed REDD+ standards being adopted beyond the FCPF (See impact #4).



# Q9: To what extent and in what ways has the FCPF contributed to broad and long-term change beyond its short-term effects?

## ● **Impact #4: Reducing Emissions from Deforestation and Degradation from FCPF – especially Carbon Fund Pilots**

- No ERPAs have been signed. It has taken much longer to design frameworks and implement REDD+ than expected. Some reasons include:
  - Technical Challenges of REDD+
  - Complexities of Developing Results-Based Payments Framework
  - Absence of an International Agreement prior to the Warsaw REDD+ Framework

## ● **Impact #5: Additional REDD+ Investments**

- Grant investments from donors have increased, but the private sector has yet to be engaged across the FCPF portfolio.
- Some early and promising examples of private sector engagement in Emission Reduction Programs.



## Q 10: How efficiently and effectively have the FCPF superstructure groups performed the roles expected of them?

- In-depth interviews and field visits found that the FMT and Delivery Partners provide important technical support to REDD Countries
- Improvements in the Readiness Fund efficiency, but it is still not meeting its efficiency target for disbursement rate in line with Grant Agreement.
  - REDD Country disbursements are challenged by dual procurement processes (IDB and World Bank Delivery Partners procurement processes are not always easily compatible with REDD Country procurement processes).
- The Carbon Fund has not disbursed according to expectations or target.
  - Designing the Results based framework for the Carbon Fund took much longer than expected.
- External factors affect efficiency at the REDD Country level.
- 13.4 months – average time between completeness check and signing Grant Agreement. No change since the first evaluation in 2011.





# Conclusions and Recommendations



First draft of the report to be circulated with the PC/PA for comments on May 19th 2016 will include conclusions and recommendations



# Evaluation Team

## Core Team

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- Ms. Carmenza Robledo
- Ms. Majella Clarke
- Ms. Petra Mikkolainen
- Ms. Marisa Camilher Camargo
- Mr. Brent D. Matthies
- Mr. Nagmeldin Goutbi Elhassan

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# Questions?



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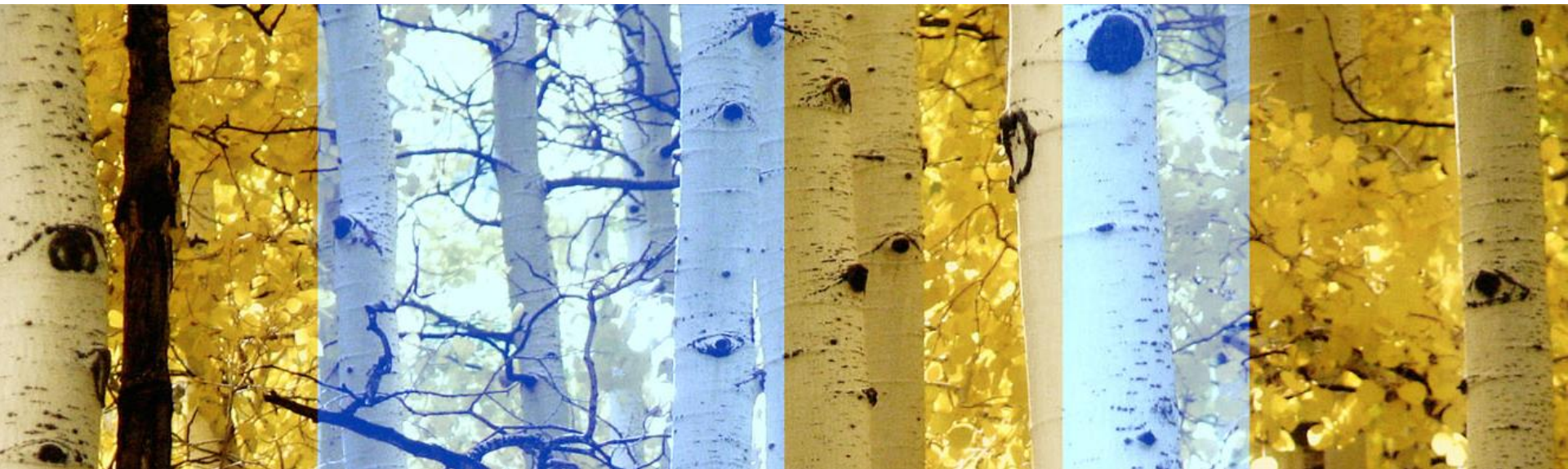
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