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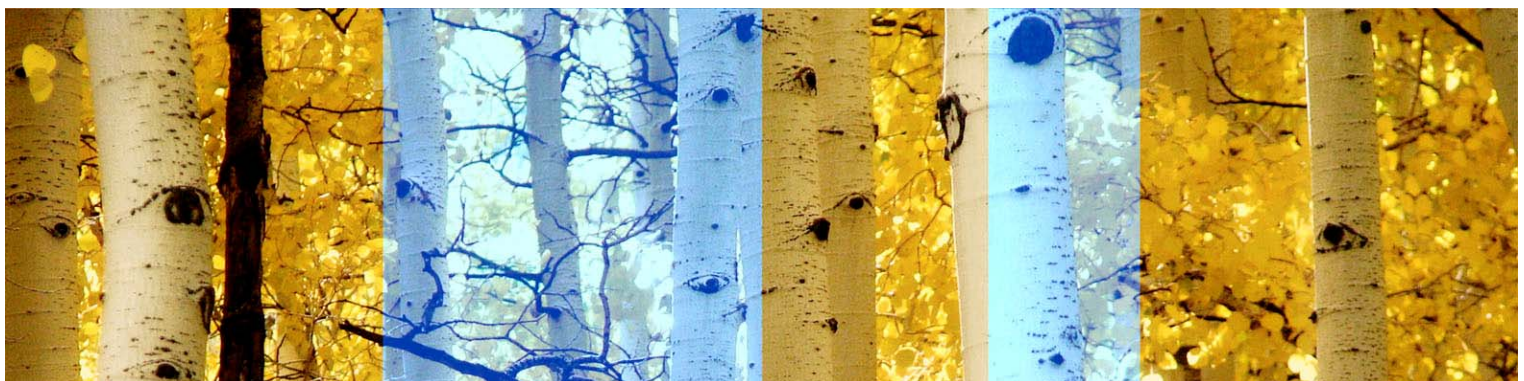
The World Bank

## **Second Evaluation of the Forest Carbon Partnership Facility**

*Final Report - ANNEXES*

Helsinki, Finland  
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Annex 1

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## **Terms of Reference and Evaluation Tools**

# Forest Carbon Partnership Facility (FCPF)

## Second Program Evaluation

### Terms of Reference

April 23, 2015

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## Evaluation Context:

1. **Origin of the FCPF:** The Forest Carbon Partnership Facility (FCPF) was set up in response to the demand from the global community to demonstrate the role of emission reductions from deforestation and forest degradation as a potential option for global greenhouse gas mitigation, which was being deliberated at the international climate change negotiations under the UNFCCC<sup>1</sup> at that time. The FCPF became operational in June 2008, and is a global partnership (Financial contributors, REDD Countries, and Observers from civil society, Indigenous Peoples, Private Sector, International Organizations, UNFCCC, UN-REDD Programme, and Delivery Partners) focused on the reduction of emissions from deforestation and forest degradation, and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries (REDD+). The FCPF contributes to demonstrating how REDD+ can be applied at the country level.

2. **FCPF Objectives:** The FCPF has the dual objectives of building capacity for REDD+ in developing countries in tropical and subtropical regions, and testing a program of performance-based incentive payments in some pilot countries, on a relatively small scale, in order to set the stage for a much larger system of positive incentives and financing flows in the future. The objectives of the FCPF, as stated in the FCPF charter, are:

- To assist eligible REDD Countries' efforts to achieve Emission Reductions from deforestation and/or forest degradation by providing them with financial and technical assistance in building their capacity to benefit from possible future systems of positive incentives for REDD;
- To pilot a performance-based payment system for Emission Reductions generated from REDD activities, with a view to ensuing equitable sharing and promoting future large scale positive incentives for REDD;
- Within the approach to REDD, to test ways to sustain or enhance livelihoods of local communities and to conserve biodiversity; and
- To disseminate broadly the knowledge gained in the development of the Facility and implementation of Readiness Plans (now known as Readiness Preparation Proposals) and Emission Reduction Programs.

3. **FCPF Financing Mechanisms:** Two separate mechanisms support these objectives:

- (a) **Readiness Fund:** The FCPF's initial activities relate to technical assistance and capacity building for REDD+ in IBRD and IDA member countries in the tropics across Africa, East Asia and Pacific, Latin America and the Caribbean and South Asia. Specifically, the FCPF is helping countries arrive at a credible estimate of their national forest carbon stocks and sources of forest emissions, work out their national reference scenarios for emissions from deforestation and forest degradation, calculate opportunity costs of possible REDD+ interventions, adopt and complement national strategies for stemming deforestation and forest degradation, and design national monitoring, reporting and verification systems for REDD+. These activities are referred to as 'REDD+ Readiness' and supported by the Readiness Fund of the FCPF. These activities create a framework for future REDD+ investments or performance-based payments. At a reasonable point in time countries are expected to present a snapshot of their REDD+ readiness, in the form of a Readiness Package, for which guidelines were adopted by the Participants Committee (PC) at its fourteenth meeting (PC14)  
(<http://www.forestcarbonpartnership.org/sites/fcp/files/2013/July2013/FCPC%20framework%20text%207-25-13%20ENG%20web.pdf>).

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<sup>1</sup> UNFCCC: United Nations Framework Convention on Climate Change

(b) **Carbon Fund:** It is currently expected that up to nine countries that make significant progress towards REDD+ readiness, and submit an Readiness Package (R-Package) to the PC, will participate in and receive financing from the Carbon Fund, through which the Facility will pilot performance based incentive programs for REDD+. The selected countries, having demonstrated ownership on REDD+, progress in the design of an adequate monitoring framework, and preparation of credible reference scenarios and options for reducing emissions, will benefit from performance-based payments for having verifiably reduced emissions from deforestation and/or forest degradation through their Emission Reduction Programs. Carbon Fund payments will only be made to countries that achieve measurable and verifiable emission reductions. By October 2014, 11 REDD Participant Countries have been accepted or provisionally accepted into the Carbon Fund pipeline based on the submission of the early Emission Reduction Program Ideas Notes (ER-PIN), up to nine of which will eventually be accepted into the Carbon Fund portfolio and receive performance-based payments from the Carbon Fund.

4. The activities that the FCPF has carried out to support achievement of results at the country level are broadly categorized as follows:

- Financial support in the form of Readiness Grants to REDD countries which is used by REDD countries to source expertise/ consultancies for building national REDD readiness capacities nationally such as for preparation of REDD Strategy, establishing deforestation and degradation baselines, monitoring of emissions reductions, and REDD implementation framework (registry benefit sharing mechanisms. The Delivery Partners work closely with respective countries to establish the priority activities that the Readiness Grant will support which results in signing of Grant agreements.
- Technical support through centrally funded activities managed by the FMT has facilitated the Readiness process at national levels by developing standards and guidance that countries can apply to make progress and assure quality at every stage of REDD readiness and piloting . Some examples include guidance for Stakeholder engagement, Grievance Redress Mechanisms, Methodological Framework to guide the design of Emission Reductions Programs, preparation and application of decision support tools for establishing Reference Scenarios, Governance diagnostics, calculating opportunity costs of possible REDD+ interventions, R-Package Assessment Framework, preparation of monitoring and reporting frameworks, and General Conditions for the ERPA. FMT also facilitates regional knowledge exchanges and as needs are identified such as for SESA application, and procurement capacity.
- World Bank supervision and technical missions that include thematic experts (to meet specific country request) to REDD countries are undertaken to guide the operational work for ensuring progress and timeliness of deliverables.
- The detailed activities and outputs are included in the M&E Framework

5. **Piloting nature of the FCPF:** Together, the Readiness and Carbon Fund seek to learn lessons from first-of-a-kind operations and develop a realistic, cost-effective instrument for tackling deforestation, to help safeguard the earth's climate, reduce poverty, manage freshwater resources, and protect biodiversity. However, it is important to note that the Facility itself is not a panacea to "save the world's forests." Rather, lessons generated from the FCPF's methodological framework, pilot implementation and carbon finance experience will provide insights and knowledge for all entities interested in REDD+. The FCPF thus seeks to create an enabling environment and garner a body of

knowledge and experiences that can facilitate development of a much larger global program of incentives for REDD+ over the medium term.

6. **Program growth over time:** Since its inception, based on requests for expressions of interest, the number of REDD countries participating in REDD+ Readiness under the FCPF has increased to 47, including 11 new countries in 2014. In parallel the financial contribution to the FCPF has also increased and currently stands at 385 million in the Readiness Fund and 465 million in the Carbon Fund. The selection of the countries in the Carbon Fund pipeline has also demonstrated increased interest from REDD Country Participants in piloting incentive mechanisms for reducing emissions from deforestation and forest degradation. Unlike general development assistance, receipt of carbon finance, beyond funds for REDD+ readiness, is contingent on credibly demonstrating the ability of a country or entity to achieve results in the form of emission reductions. The focus with respect to activities being undertaken has also shifted from standard setting for REDD+ and operational modalities (2008-2011) to Readiness implementation (2011 onwards) and advancing to site-specific emission reduction program preparation (2014) and moving to ER Program implementation (2016 onwards).

7. **Expected Outcomes and Impacts of the FCPF per Monitoring and Evaluation (M&E) Framework<sup>2</sup>:** In line with the objectives stated in the FCPF Charter, the 4 key outcomes that the FCPF is jointly accountable for with its partners and participant countries are:

- (i) Efforts successfully undertaken by countries with FCPF support to achieve emissions reductions and benefit from possible systems of positive incentives for REDD+. At the end of each readiness process, the progress of the readiness package of participating countries will be provided to the Participants Committee (PC) based on an assessment framework;
- (ii) Piloting performance-based payment systems for emission reductions generated from REDD+ activities relates to the Carbon Fund. The ambition level is mindful and limited at the moment to up to nine countries entering the CF portfolio by 2015, who will test performance based payment system by 2020;
- (iii) Enhancing livelihoods and conserving biodiversity is designed to test models that help sustain or enhance livelihoods of local forest communities and simultaneously conserve biodiversity. This is an integral part of the REDD+ standards and a crosscutting issue for any REDD+ strategy and ER-program. In addition, a specific budget line under the RF called Indigenous Peoples, Civil Society and Local Community (IP, CSO, and LC) Program supports capacity building of IP, CSO and LC groups that also may strengthen active involvement of these important stakeholders in the national readiness processes; and
- (iv) Disseminating broadly the knowledge gained in the development of the Facility and piloting is transversal to the previous outcomes and knowledge management activities grouped under this outcome, underlining the “learning-by-doing” character of the FCPF. It draws from the experience under the other outcomes and reinforces them.

Some of the outcomes are related to operational aspects whilst others are process oriented.

8. Five impact (intermediate) level results directly attributable to the FCPF are identified in the M&E Framework as follows: (i) The FCPF has contributed to the design of a global regime under or outside UNFCCC that provides incentives for REDD+ (ii) Reduced emissions from deforestation and

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<sup>2</sup> In accordance with one of the recommendations of the first evaluation of the Facility, PC11 mandated the preparation of a full M&E Framework for the FCPF. The final M&E Framework was adopted by the PC in March 2013. The Facility Management Team is responsible for monitoring FCPF operations and undertaking regular assessment of the progress achieved in relation to established outputs and outcomes, to identify reasons for divergence from the targets, and to take necessary actions to improve performance.<sup>2</sup> In addition, the M&E Framework envisages independent evaluations of the FCPF in 2015, 2017 and 2020.

forest degradation from FCPF, especially CF portfolio countries (iii) FCPF has catalyzed the creation of recognized global standards for REDD+ (iv) FCPF has catalyzed investment in REDD+ (CF, and grants) and (v) The FCPF has generated momentum to address governance and transparency issues and policy reforms related to sustainable forest resource management and REDD+ .

9. Performance indicators are designed to monitor whether progress on activities (Paragraph 4) is actually making a difference in progressing towards the expected results (outcomes).). The FCPF intervention logic is reflected in the logical framework ([http://www.forestcarbonpartnership.org/sites/fcp/files/2013/june2013/Final%20Draft%20ME%20framework\\_June%202013\\_FMT%20Note%202012-11%20rev%202\\_English.pdf](http://www.forestcarbonpartnership.org/sites/fcp/files/2013/june2013/Final%20Draft%20ME%20framework_June%202013_FMT%20Note%202012-11%20rev%202_English.pdf)).

10. The FCPF annual report presents the progress against the performance indicators, risks and assumptions (FY14 annual Report available at <http://www.forestcarbonpartnership.org/sites/fcp/files/2014/october/FCPF%20Annual%20Report%20014.pdf>). The annual report consolidates country level information received from REDD Country Participants with signed Readiness Grants (country reports can be accessed at <http://www.forestcarbonpartnership.org/redd-countries-1>).

### **Purpose and Objectives of FCPF Evaluation**

11. **Purpose:** The purpose of the second FCPF evaluation is (a) to contribute to improving program effectiveness and delivery towards 2020 by feeding real time learning from REDD+ implementation back into the program, and (b) to contribute 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 M&E framework mandates the second evaluation for 2015 (6 years since FCPF became operational in 2008) to allow for adjustments for towards achieving the results by 2020. The evaluation recommendations are intended to inform the FCPF Participants Committee (the governing body), the FCPF Facility Management Team, World Bank Management and Delivery Partners for follow-up actions required to further strengthen FCPF performance. The evaluation is also of interest to the FCPF Participants Assembly, Observers, and the broader REDD+ community with respect to lessons learnt from operations of the Facility.

12. **Objectives:** The objective of the First Program Evaluation undertaken in 2011, two years after the FCPF was set up, was to assess the effectiveness of the governance structure of the FCPF and the operational effectiveness of the Readiness Fund, and suggest ways of enhancing FCPF support to REDD Country Participants. The scope of the first evaluation was limited to activities relevant to the Readiness Fund, as activities under the Carbon Fund were not yet operational, with focus on appropriateness of program design, the relevance and clarity of the objectives, sources and use of funds the functioning of governance and management arrangements, and key constraints in achieving the FCPF objective of supporting REDD+ Readiness in REDD country participants. Recommendations were made related to real-time monitoring of the program, enhancing stakeholder engagement, speeding up signing of readiness grants and disbursements, fostering coordination and harmonization of funding sources, and cooperation among relevant REDD+ initiatives, and knowledge exchange with stakeholders and the broader REDD+ community (See FMT Note 2011-9, Annex 4: Extract of Action plan to address the recommendations of the First FCPF Program Evaluation).

13. As the FCPF is now well established, with a transparent and effective governance structure, and readiness being implemented by several countries, the second evaluation will focus on complete assessment of operations of the Readiness Fund, especially implementation at country level, and early operations of the Carbon Fund. The specific objectives of the second FCPF evaluation are:

- i. to ascertain the results (outcomes and early impacts, intended and unintended) and lessons learned from the program.



- ii. 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 IEG<sup>3</sup>.
- iii. to provide findings, conclusions and recommendations with focus on the following:
  - 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;
  - the FCPF's position in relation to other REDD+ initiatives (for example the Forest Investment Programme, UN-REDD Programme and Global Environment Facility), and the role and contribution of the FCPF at the country level and within the global REDD+ architecture;
  - 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;
  - FCPF actions taken for knowledge sharing at country, regional and global level for all aspects related to the readiness process.

### Scope of the Evaluation

14. Evaluation Period: The Second Program Evaluation will cover FCPF operations from July 2011 to December 2014.

15. Intervention logic being evaluated: The M&E Framework of the FCPF details the intervention logic and results chain for the FCPF. It disaggregates the FCPF objectives (paragraph 2) into key results and discerns the outputs, outcomes and impacts that will be realized during the lifetime of the Facility. The 12 outputs refer to the various building blocks, or shorter term results under the FCPF work agenda that together are seen as necessary to lead to 4 outcomes (Annex 1). As the FCPF is principally focusing on laying the ground for future REDD+ activities and piloting performance-based payment systems, one must be realistic in terms of the magnitude of impact to be expected under the Facility by 2020. Therefore, the Result Chain of the M&E Framework (Annex 1) distinguishes between intermediate impact of the FCPF that can still be attributed to the FCPF and longer-term global impact to which FCPF indirectly contributes via successful interventions, including its catalytic effects on other REDD+ initiatives. Global impacts consist of emission reductions (beyond those achieved by emission reduction

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<sup>3</sup> The Independent Evaluation Group (IEG) of the World Bank annually reviews a number of global and regional partnership programs (GRPPs) in which the Bank is a partner, in accordance with a mandate from the Bank's Executive Board in September 2004. IEG reviewed the FCPF in 2012 in accordance with the objectives of the Global Program reviews which are to help improve the relevance and effectiveness of the programs being reviewed, (b) to identify and disseminate lessons of broader application to other programs, and (c) to contribute to the development of standards, guidelines, and good practices for evaluating Global and Regional Partnership Programs

programs supported by the FCPF Carbon Fund), the enhancement of livelihoods of forest-dependent communities and biodiversity conservation; but they are beyond what can be measured by an FCPF Monitoring and Evaluation framework, and most likely to materialize only after 2020<sup>4</sup>.

16. Since the completion of the first evaluation in 2011, the implementation of REDD+ readiness supported by FCPF readiness preparation grants has advanced. A few REDD countries are nearing completion of implementation of their \$3.8 million readiness preparation grants, and some others have submitted mid-term progress reports and have requested additional funding of up to \$5 million to continue readiness preparation. In addition, the Carbon Fund (CF) has become operational, standards to govern the design of Emission Reduction Programs have been adopted, and selection of early emission reduction program ideas into the CF pipeline has been completed.

17. In line with the intervention logic and the proposed Evaluation Objectives the evaluation will focus on assessment of Outcome 1 (readiness support) and Outcome 4 (knowledge sharing) with partial assessment of outcomes 2 (engagement for sustainable livelihoods of forest communities) and 3 (emissions reduction performance based payment systems effectively demonstrated) and associated indicators at the output level. Assessment of Outcomes 1 and 4 is timely as readiness implementation has advanced sufficiently. Partial assessment only of outcomes 2 and 3 is envisaged as the Emission Reduction Programs have not yet been implemented (see paragraph 6). Likewise the evaluation scope will include assessment to the extent possible of all (intended) early impacts except the impact associated with emission reductions to be achieved through the pilots supported by the Carbon Fund (paragraph 7). This does not however exclude strategy level assessment relevant to this impact and assessment of other unintended impacts and outcomes of the FCPF. Questions to be considered are whether targets are being met, operations functioning as designed, REDD Country participant capacities being strengthened to enable participation in REDD+, and in view of all of the above, whether the FCPF's strategic direction is correct and on course and whether there is need for growth and further outreach to new donors/partners.

18. The evaluation is global in its geographic scope. The FCPF readiness portfolio includes countries in Africa, Latin America and the Caribbean, and Asia, with regional differences in institutional arrangements and relevance of forests in national economies and development. Countries are also at different stages of REDD+ (established, advanced, and in early phases) and diversity is expected in experience with readiness and piloting of REDD+, and benefits envisaged from REDD+. Furthermore, a subset of countries have been selected into the Carbon Fund pipeline. It is important that the evaluation reflects adequately summarizes the experiences, lessons and perspectives across the range of countries.

#### **Timeline:**

19. It is expected that the Second Program Evaluation will be completed by December 2015, with draft results to be available in time for the PA8 meeting in October/November 2015.

#### **Evaluation Oversight and Management:**

20. As provided in the FCPF Charter, evaluation is the responsibility of the governing body, in this case the PC on behalf of the Participants Assembly (PA).<sup>5</sup> Accordingly the First Program Evaluation for

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<sup>4</sup> Extension of the Carbon Fund lifetime beyond 2020 is under consideration.

<sup>5</sup> The Sourcebook for Evaluating Global and Regional Partnership Programs: Indicative Principles and Standards, IEG-World Bank, Washington, D.C. 2007, recommends that evaluation is the responsibility of the governing body or other unit separate from management. In most of these programs, evaluations are commissioned by part-time governing bodies and conducted by independent teams of consultants or independent experts. In either case, the body commissioning the evaluation takes responsibility for the quality of the final report and for disseminating the findings and recommendations, in different formats for different audiences, as appropriate.

the FCPF was completed in 2011 under the oversight of the PC, and supported by the FMT, as requested by the PC.

21. The M&E Framework recommends that, for future evaluations, the PC constitute a Committee to provide oversight to the evaluation with the FMT in a supportive role. The Global Program Review of the FCPF conducted by the Independent Evaluation Group (IEG) in 2012 also recommended that the evaluation oversight of global programs be carried out by the program's governing body or a subcommittee constituted for this purpose.

22. At PC18 in Arusha, Tanzania in November 2014, the PC agreed to set up an oversight Committee with the following composition:

- 3 REDD Country Participants (Latin America and the Caribbean, Africa and Asia)
- 3 Financial Contributors
- 3 Observers (1 from CSOs, 1 from Indigenous Peoples, and 1 from private sector/International Organizations/UN-REDD/UNFCCC Secretariat)
- 1 Delivery Partner.

23. In addition and in accordance with good practice for independent evaluations a Reference Group (RG) consisting of an independent evaluation expert and a REDD+ expert has been set up. The Reference Group will have an advisory role and will assist the Oversight Committee at various stages of the evaluation for quality assurance of the evaluation.

24. A brief description of the roles of Oversight Committee, Reference Group, Facility Management Team and the World Bank Management in Evaluation Management is provided in Annex 5.

### **Key Questions for the Second Program Evaluation**

25. The evaluation questions are based on the standard OECD/DAC Results Based Management, Monitoring and Evaluation Framework (RBM MEF) consisting of inputs, outputs and outcomes, using the evaluation objective and scope of each of the evaluations as agreed in the FCPF M&E Framework as the basis for framing additional questions. This section presents the key questions in four clusters. Whilst the focus of the evaluation will be on effectiveness and relevance, efficiency and early impacts will be assessed with focus on lessons learnt from implementation. The evaluation team may incorporate specific sub questions as relevant, to supplement and strengthen the evaluation.

26. **Cluster One (Effectiveness of FCPF Role in REDD+):** This cluster of questions will look at key aspects of FCPF effectiveness whilst focusing on implementation and lessons learnt at country level.<sup>6</sup> Sub-questions to be addressed include the following and draw upon directly from the recommendations of the first evaluation as relevant.

- (a) Has the FCPF added value to the REDD+ processes undertaken by REDD Country Participants, and capacity development at the country level?
- (b) How effectively are readiness activities being implemented at country level?
  - a. Is overall readiness implementation aligned to the guidance provided by the R-Package Assessment Framework?
  - b. How are non-forestry/environment sector actors (such as private sector, ministries of planning, agriculture and finance) being involved in the institutional arrangements?

- c. To what extent has the FCPF helped countries leverage additional funding sources? Are the bilateral and multilateral funding sources being used synergistically?
  - d. Are the national institutional arrangements effectively leading coordination at country level? If not, why and what are the drivers of coordination that would need to be addressed?
  - e. To what extent are REDD+ countries able to adopt and apply the instruments developed by the FCPF such as the SESA, ESMF, Readiness Package Assessment Framework and the Methodological Framework? If not, why? What are lessons learnt in this regard and adaptation of instruments required, if any?
- (c) As a consequence of the first evaluation a dedicated program for enhancing engagement of CSOs and Indigenous Peoples was endorsed by the PC to further bolster the support through the ongoing Indigenous Peoples Capacity Building Program. Has the FCPF through the capacity building program, and application of SESA and the Common Approach been able to foster stakeholder engagement in REDD+ at the national level? This will include synthesis of lessons learnt from piloting the Common Approach and the Indigenous Peoples Capacity Building Program.
- (d) How, and to what extent have lessons learnt from the readiness process been integrated into operations of the FCPF, including (i) in operationalizing the Carbon Fund (given that REDD+ readiness forms the basis for future Emission Reductions Payment Agreements under the Carbon Fund), and (ii) to ensure consistency between readiness and the Carbon Fund<sup>7</sup>.
- (e) Given the emphasis on the need for enhancing the dissemination of lessons learnt, facilitating knowledge and South-South exchange in the first evaluation, to what extent has FCPF been effective in implementing its communication strategy? Who have been the key beneficiaries? How can further improvements be made?
- (f) What lessons can be drawn from ER-PINs preparation process to further strengthen ER Program design? In light of the objectives and targets that countries have set to achieve is the timeframe of delivery of ER Programs realistic<sup>8</sup>?
- (g) To what extent has the FCPF addressed and implemented recommendations from the first evaluation, including on program monitoring and reporting?

27. **Cluster Two (Relevance of FCPF):** The questions in this cluster are meant to assess the relevance of the (i) FCPF program design to its objectives (ii) FCPF support to the REDD countries and comparative advantage of the FCPF vis a vis other sources of support at the national level and (iii) FCPF role in delivery of global public goods and evolving REDD+ architecture at global levels.

28. The assessment to the above question should be guided by the following sub-questions:

- (a) Have FCPF design and activities evolved since the first evaluation? If so, how and to what extent have they evolved and what considerations, including guidance from international conventions and recommendations from the first FCPF evaluation, have driven this evolution? Evolution of the program with respect to available financing, portfolio size and

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<sup>7</sup> The first evaluation recommended the need for consistency between the due diligence in the Carbon Fund Phase with the ongoing due diligence requirements of the Readiness Phase.

support to countries should be considered and assessed against relevance of the FCPF to its objectives, added value of the FCPF at national level in comparison to other forms of support, and in informing the REDD+ agenda globally.

- (b) Is FCPF support aligned to countries' emerging strategic priorities and capacities?
- (c) Are the current FCPF objectives (and targets envisaged in the M&E Framework) realistic in relation to the capacity of REDD Country Participants, 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?.
- (d) How do participating countries perceive the costs and benefits of the FCPF Readiness Mechanism, including timeliness and magnitude of resources, the contribution to national ownership, and the contribution to national capacity through mobilization of expertise (external consultants, and use of national experts) to conduct analytical work and trainings relevant to REDD+? Are REDD countries fostering the REDD agenda, and demonstrating ownership of REDD+ nationally, to ensure that FCPF support remains relevant and contributes to national efforts?
- (e) To what extent could readiness grant financing be further tailored to country needs, i.e. to enable countries to make meaningful advances on most pressing issues related to forests and help meet needs identified prior to the availability of REDD+ readiness funding (e.g., need to improve governance or regular monitoring of forests)?

29. **Cluster Three (Efficiency of the FCPF):** The second evaluation will assess the FCPF efficiency in a context of capacities of various partners to deliver on FCPF objectives and disbursements to countries only. The first evaluation recognized that disbursements of Readiness Grants was slow and there were gaps in countries' capacities to meet the World Bank procurement guidelines for efficient disbursements of readiness grants. The assessment of efficiency will be guided by the following key questions:

- (a) How efficiently and timely has the FCPF disbursed the proceeds of the Readiness Fund in particular, and Carbon Fund to REDD Country Participants, taking into account Bank Operational Policies and Procedures, and complexity of the project?
- (b) Has efficiency in disbursements at country and portfolio level changed since the first evaluation? If not, why? and what measures can be taken to improve the disbursements?
- (c) Is the FCPF well positioned in relation to governance structure, REDD Country Participants capacities, Delivery Partner capacities, FMT Capacity and resources available, to manage and meet the FCPF objectives, and deliverables of Readiness and Carbon Fund operations in a timely manner as envisaged in the M&E Framework?

30. **Cluster 4 (Impacts and Sustainability):** Recognizing that it is early to evaluate the impacts of the FCPF, the evaluation of Intermediate impacts identified in the M&E Framework will be undertaken with a focus on the FCPF contribution to early impacts only and documenting lessons learnt that can help improve and adapt the FCPF support in the future:

- (a) What catalytic impacts has the FCPF had (through Readiness activities and design of early ER Program ideas at the national & sub-national levels) in shaping the REDD+ policy and institutional framework in countries that could determine longer term sustainability of national/subnational efforts on REDD+?

- (b) To what extent has the FCPF contributed to fostering stakeholder engagement in REDD+ at the national and international levels?
- (c) What contribution, if any, has the FCPF made in generating additional investments (public and private sector) for REDD+ readiness, and pilot programs in REDD Participant Countries?
- (d) To what extent and how have REDD Country Participants made use of FCPF instruments such as Readiness Preparation Proposals, M&E Systems, mid-term progress reports and preparation of R-Packages to strengthen national ownership, inter-sectoral and multi-stakeholder coordination as well as coordination of various financial sources?

The above assessment questions should be seen in their context, i.e., factors that may have contributed to the successes or constrained optimal achievements. The findings of Clusters should be cross-referenced to each other, to conclude on overall early impacts and added value of the FCPF.

### **Methodological Approach**

31. The methodological approach for evaluation will be determined by the evaluation team. The M&E Framework provides the intervention logic and assumptions under which FCPF objectives can be achieved, and the causal links between FCPF interventions and outcomes. Verifying the intervention logic itself is not primary purpose of the evaluation. As the contextual factors, outside the control of the program, have dynamic and changing effects on the activities and the outputs, the methodology proposed should for the purpose of learning and accountability therefore evaluate the activities, and the extent to which these activities and the outputs they produce generate intended results (outcomes) as well as other unintended effects. The evaluation team may review some of the underlying assumptions on which the program was built and suggest/ integrate approaches that allow for evaluation of a global program of this complexity. Triangulation of data with a variety of sources, types of information and types of analysis to verify and substantiate an assessment, will be used to overcome bias. The evaluation will cover ongoing as well as completed activities identified as key building blocks of readiness, comprising desk studies, questionnaires, interviews and fieldwork in REDD Countries, including those countries that have been accepted in the Carbon Fund Pipeline and will be developing ER-Programs for submission for potential selection into the Carbon Fund portfolio by early 2016.

32. In collecting and analyzing data and drawing conclusions and recommendations, the evaluation methodology will use methods to ensure that the evaluation will result in a valid, credible and legitimate report. Several key questions will be underpinned by literature reviews. The evaluation team will follow an approach to ensure that questions are properly understood and presented, underlying assumptions have been analyzed, and the resulting data gathering and analysis deliver aggregate and synthetic qualitative and quantitative judgments on the basis of diverse materials (from desk studies, interviews, surveys, portfolio analysis, field visits and verification through stakeholder consultations). Methodology will include criteria for selection of sample number of representative FCPF countries as case studies for field visits for verification of results.

33. The consultant evaluation team will develop a methodology to gather, analyze and synthesize data, including an approach for determining the quality and relevance of evidence for answering the evaluation questions. The use of an evaluation matrix that depicts indicators associated with key program activities and outcomes, sources of information, and methodology to be used for assessing key evaluation questions is recommended. This methodology so developed will be included, and agreed upon with the Oversight Committee, as part of the inception report presented by the evaluation team.

34. **Gender aspects**, including identification of unintended impacts and outcomes for gender groups will be taken into account where appropriate and relevant. This will especially be the case when developing a methodology for the country, agency and field visits and the stakeholder consultations, but gender aspects may be incorporated elsewhere as well.
35. The **terminology** to be used in the evaluation will be defined in a consistent manner and relate to international usage of the terms concerned.
36. **Document reviews** will be undertaken, focusing on documents of the FCPF and its activities, as well as from related institutions as well as standard evaluation protocols. Protocols of the GEF Evaluation Office and Independent Evaluation Group of the World Bank, among others, will be considered essential sources of information.
37. **Stakeholder consultations.** Independent stakeholder consultations will be instituted to ensure that stakeholder opinions are gathered on all aspects of the FCPF. Relevant stakeholders should include governments, civil society, non-governmental organizations, Indigenous Peoples and the private sector. Those responsible for deforestation and forest degradation, and those affected by it, should also be consulted. Credible surveys already conducted for gathering stakeholder views may be used as appropriate.
38. **Semi-structured interviews.** These will be undertaken on specific questions with specific stakeholders, and the governments of recipient and donor countries. Special care will be taken to analyze the qualitative data using proper tools and techniques.
39. **Country and field visits.** To ensure a representative sample of recipient countries, interventions, and geographical regions, at least three countries will be visited during the Second Program Evaluation. Evaluative evidence from more FCPF countries will be included. Visits to representative FCPF countries will serve to gather data, verify available reports and documents, and interview beneficiaries and local stakeholders, including local government, communities and representatives from civil society. Country case studies in some of these countries will be undertaken to draw and verify results.
40. **Participation in international meetings.** Where possible, in order to limit costs, the evaluation team will request feedback from Participants present at international meetings, either through the stakeholder consultation process, semi-structured interviews or focus group meetings.
41. **Complementarities with the other evaluations:** The evaluation team will seek to develop complementarities with the evaluation of other institutions/organizations, including Norway's International Climate and Forest Initiative undertaken by the Evaluation Department of NORAD.

#### **Deliverables/ Specific Outputs expected from Consultant**

42. It is expected that the Consultants will:
- Finalize the methodology, the key criteria and indicators for each cluster of evaluation questions included in terms of reference;
  - Prepare the inception report; The inception report including the evaluation methodology, and communication plan, evaluation report format will be reviewed by the oversight committee and external advisory panel, and agreed by the Oversight Committee; Further discussions at the inception report stage on how preliminary findings for some aspects might be shared early (for example lessons learned from the ER-PINs and how this might helpfully shape consideration of the ERPD business process) are expected.
  - Implement and independently undertake the necessary evaluative work for each cluster of questions following the agreed methodology;

- Evaluate relevant sources of information through desk reviews and literature studies;
- Prepare criteria for selection of in depth evaluation in sample set of FCPF countries and participate in a sample of representative FCPF countries and field visits;
- Report on these visits and findings for evaluation purposes;
- Interact with representatives of FCPF member countries, FMT, CSOs and stakeholder groups (representative list in Annex 2);
- Prepare draft reports for each sub-component, including evaluative findings, conclusions and emerging recommendations and lessons learnt for wider dissemination. Results will be presented in a way that highlights the factors that have influenced success or failure in a variety of conditions.
- Incorporate feedback from the external advisory/reference group into the draft evaluation report. Share the findings at PA8/PC19 (November 2015);
- Receive and incorporate feedback from stakeholders before finalizing the report;
- Prepare the final report for the Second Program Evaluation in English, submit it to the FMT and present it to the PC. The report will also be made available in French and Spanish.

43. **Delivery Schedule:** The milestones and timeline for conduct of Second Program Evaluation from inception to conclusion of the evaluation by October 2015 will be provided by the Evaluation team.

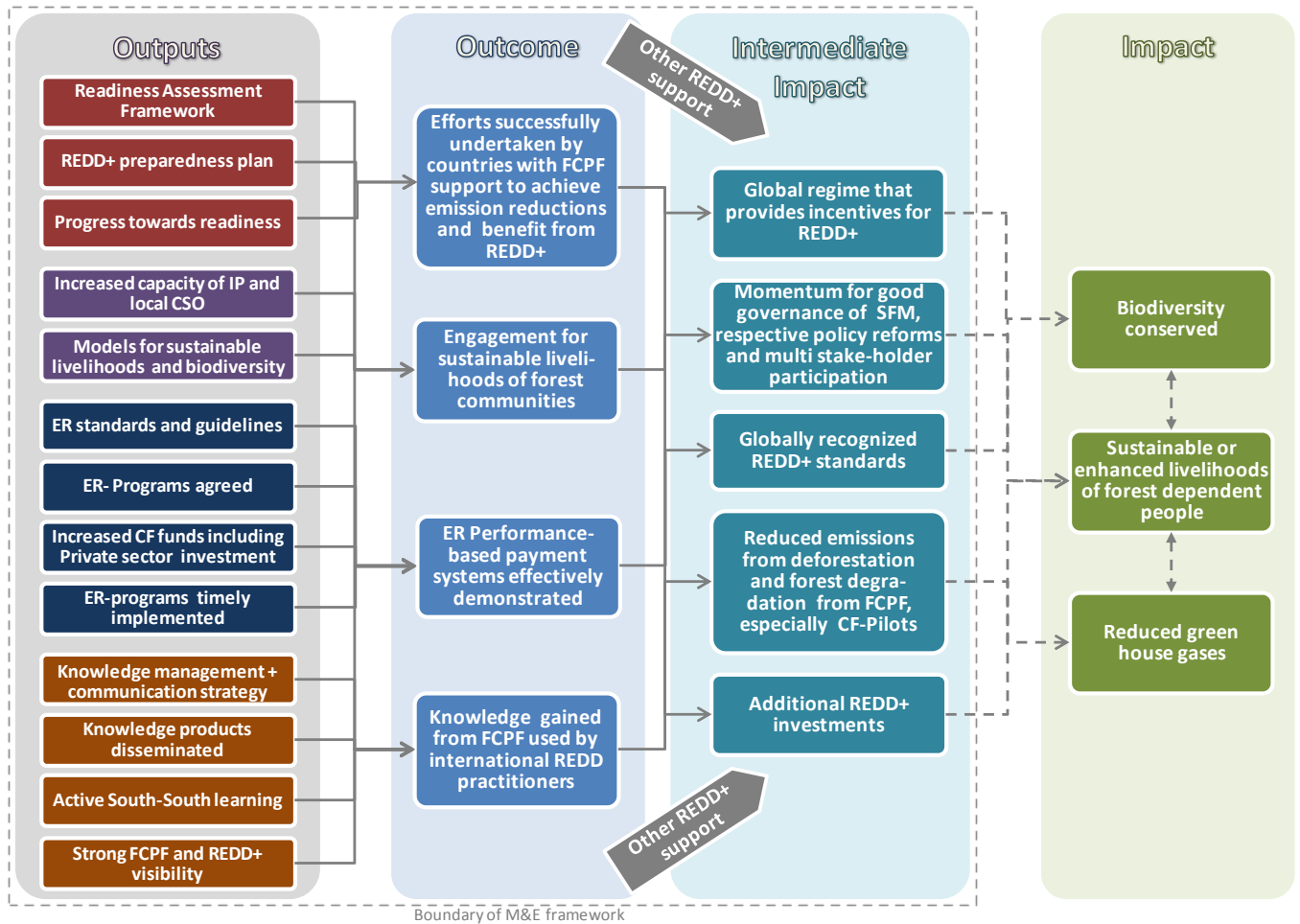
44. **Acceptance Criteria for Deliverables:** The Evaluation methodology and report shall be prepared in accordance with international good practice for evaluations, clearly written and presented, with appropriate level of detail and in accordance with the Terms of Reference, keeping in view the audience. Soft copies of the report shall be presented in English, Spanish and French. Specific criteria shall be developed and mutually agreed with the consultant before the contract is signed.

45. **Specific inputs to be provided by the Client:** The Consultant shall undertake the evaluation in an independent manner. The FMT will facilitate the country field visits. Publication of the report shall be the responsibility of the FMT.

46. **Budget:** Budget shall be proposed by the consultant based on the team composition, personnel requirements and the expected travel and subsistence expenses for travel to at least three representative FCPF countries.



**Annex 1**  
**FCPF M&E Framework: Results Chain**



## **Annex 2**

### **List of Potential Interviewers for Evaluation**

The stakeholders/beneficiaries whose perspectives would need to be reflected in FCPF evaluation include:

- REDD Country Participants, including REDD plus focal ministries, members of the REDD working groups or equivalent;
- Stakeholders in REDD Country Participants — various ministries and departments with impacts on deforestation (agriculture, mining etc.), forest ministries or equivalents, land tenure authorities, Ministry of finance, political bodies concerned with legislation, policy and national planning, private sector representatives, indigenous and forest-dependent people’s representatives, civil society representatives;
- National research organizations working on forest surveys, monitoring, remote sensing, mapping units, national strategies;
- Donor Participants;
- Carbon Fund Participants;
- Observers (NGOs, indigenous and forest-dependent peoples; UNFCCC Secretariat, UN-REDD Programme, private sector);
- Private sector organizations in the REDD countries who are REDD+ stakeholders and likely to have an interest in the design of REDD+ strategy options;
- FMT;
- Ad Hoc Technical Advisory Panel (TAP) members;
- International organizations engaged in REDD+ issues, e.g., organizations working on methodological, policy and social and other related aspects of REDD+;
- Other evaluation bodies, e.g., those involved in the evaluation of Norway’s International Climate and Forest Initiative; and
- World Bank units concerned with the design, management and activities of the FCPF.

**Annex 3**  
**Extract of Action Plan to Address Recommendations of the First FCPF Program Evaluation**  
**(FMT Note 2011-9)**

Amongst the key recommendations of the first evaluation of the FCPF the following were identified as key areas where PC action was mandated:

- a. Need to speed up the signing of Readiness grants agreements and disbursements under the Readiness Fund of the FCPF
- b. Enhancing stakeholder (CSOs and IPs, and private sector) engagement in REDD+
- c. Need for flexibility in the Readiness Fund (moving away from flat rate of readiness grants, and plans for reopening the Readiness Fund to new countries)
- d. Further improvements related to learning, S-S exchange and capacity building (strengthening key sectoral and non sectoral ministries in REDD+, learning from previous experiences in forest management, learning from SESA, and support to regional measures for S-S exchange and leaning)
- e. Fostering coordination and harmonization of funding sources (cooperation of bilateral and multilateral partners at the national level, identifying Multiple Delivery Partners outside the World Bank, strengthening coordination with UN-REDD Programme)
- f. Development of Readiness Package and links to operationalization of Carbon Fund of the FCPF (minimum readiness requirements for countries to access the Carbon Fund, ensuring that operationalization of Carbon Fund builds on lessons of Readiness Phase, in operationalizing the recommendations related to R-Package and country capacity building needs not to prejudge but ensure alignment with the ongoing UNFCCC process)
- g. Prepare an M&E Framework for the FCPF to guide the monitoring and future evaluations of the FCPF

**Annex 4**  
**List of Available Information/Data sources**

The following information/ reports will be made available to the consultant team available for review:

- FCPF M&E Framework
- FCPF: background information, FCPF annual reports
- FCPF Dashboard on FCPF website
- FCPF First Evaluation
- FCPF Global Program Review by IEG
- Country progress reports submitted to the FCPF by countries on FCPF country pages
- Evaluation reports of other relevant initiatives: NICFI, UN-REDD Programme
- Other relevant background information on the FCPF is available in the Information Memorandum and the FCPF Charter on the FCPF website at [www.forestcarbonpartnership.org](http://www.forestcarbonpartnership.org).
- Country level evaluations commissioned by REDD Countries/ Partners in REDD countries.

**Annex 5**  
**Role of Evaluation Oversight Committee, Reference Group, Facility Management Team and World Bank in second FCPF Evaluation**

**Role of Evaluation Oversight Committee**

On behalf of the Participants Committee, the Evaluation Oversight Committee will be responsible for managing and supervising the evaluation to ensure quality and timely conduct of evaluation, and dissemination of findings. Key responsibilities include the following:

- Lead evaluation planning with consideration of the following:
  - Purpose of Evaluation-What does this evaluation strive to achieve?
  - Key stakeholders, and their role in the evaluation
  - Resource and logistical aspects (availability of funds, staff requirements etc.)
  - Utility of Evaluation-How will the findings and recommendations be communicated, and used?
  
- Lead preparation of the Terms of Reference (ToRs) for the evaluation (with support of Facility Management Team (FMT))
- Determine key parameters of the evaluation work plan (key milestones, timelines etc.). (Detailed work plan for evaluation implementation will be prepared by the Evaluation team)
- Establish evaluation Reference Group
  - Meet with the evaluation team, discuss and clarify questions on ToRs, and approve the inception report
- With support of FMT, manage stakeholder relations, and communications as relevant
- Report and update the PC on evaluation progress, as appropriate
- Ensure quality of evaluation, and with support of the Reference Group review the relevance and accuracy of reports and its compliance with the ToRs whilst safeguarding the independent view of the evaluation team
- Endorse the final report and organize a presentation of evaluation findings for stakeholders
- Prepare an action plan for implementation of evaluation recommendations

### **Role of Facility Management Team**

The Facility Management will overall be in a supportive role to the Oversight Sight and be responsible for maintaining flow of communication with Oversight Committee, Evaluation Team, Reference Group and World Management, recruiting and selection of evaluation team, and providing the logistical support for evaluation. Specific responsibilities include the following:

- Support the Oversight Committee and the Reference Group in discharge of their functions
- Provide relevant data, records and logistical support to the evaluation team
- Facilitate country field visits by the evaluation team, coordinate correspondence for targeted respondents
  - Manage key documents records, and data and make them available to Oversight Committee, Evaluation Team, and Reference Group
- Manage communications with the evaluation team, and the oversight committee,
- Communicate with key stakeholders, as needed on behalf of Oversight Committee, and post information on FCPF website such as:
  - Making stakeholders aware that the evaluation is being undertaken
  - Drafting and sending general information about the evaluation to PC/ World Bank Management at the start describing the evaluation and introducing the team
- Disseminate evaluation findings, such as sharing a summary of findings and notifying stakeholders where they can access the evaluation report or learn about follow-up activities

### **Role of Reference Group**

Reference Group will be in an advisory role to the Oversight Committee assure overall quality assurance of evaluation. Key responsibilities will include the following:

- Liaise with and support the Oversight Committee to assure the technical and ethical quality of the evaluation during planning and preparation of terms of reference such as relevance of methodology, consistency with evaluation protocols and other relevant technical aspects. (Pl. note evaluation purpose and key questions for the evaluation will be determined by the Oversight Committee)
- Review and provide feedback to the evaluation team on the inception report, draft and final evaluation report for quality assurance (technical, ethical and procedural) such as clarity of analysis, relevance of methodology, clarity of findings, appropriate presentation of report and key gaps overall, appropriateness of recommendations ie. Whether these are cost effective and actionable.

### **Role of World Bank Management**

The World Bank Management is responsible for taking actions on evaluation recommendation and findings. Specific responsibilities will include the following:

- Review the Draft Evaluation Report, and provide feedback to the Oversight Committee. Discuss agreements and disagreements with the Oversight Committee and Evaluation Team, as relevant.
- Provide Management response to the report findings (to be included in the final report)
- Provide feedback on final report

- Take action on relevant findings and recommendations of the evaluation after the evaluation report has been approved

## Annex 1 Evaluation Tools

- 1 Content of the On-line Survey
  - 2 Protocol for Interviews
  - 3 Targets for Potential Interview
  - 4 Topics for Group Discussions
  - 5 Example of Triangulation Matrix
  - 6 Format for Field Visit Reporting
- 

### **1 Content of the On-line Survey**

A link to the on-line survey was sent to the FCPF focal points for all 47 Country Participants. Each focal point was asked to canvass opinion within their own group of colleagues, so that any reply reaching the core Evaluation Team was assumed to represent a collective view. Each informant was assured that honest answers were being sought and that anonymity would be respected. It had the appearance and functionality similar to the following:

<b>1. Overall opinion of the FCPF</b>			
Is your overall opinion of the FCPF ...	<b>Negative?</b>	<b>Neutral?</b>	<b>Positive?</b>
Please explain your answer.			

<b>2. Expectations of the FCPF</b>			
Have your expectations of the FCPF been ...	<b>Unmet?</b>	<b>Partly met?</b>	<b>Met?</b>
Please explain your answer.			



### 3. Baseline question

If FCPF had not been established, do you think the development of REDD+ in your country would have been different, in terms of how much progress has been made and in which direction?

Please explain your answer.

### 4. Benefits from the FCPF

Describe the extent of benefits received from participating in the FCPF	Many benefits	Some benefits	No benefits

List the benefits of participating in the FCPF. If you think there are no benefits, please explain your answer.

### 5. Significant Contributions of the FCPF to the Development of REDD+ in your Country

What do you think FCPF's most significant contribution(s) has been to the development of REDD+ in your country? Please try to be as specific as possible.

Please explain your answer.

### 6. Challenges from the FCPF

Describe the extent of challenges as a result of participating in the FCPF:	Many challenges	Some challenges	No challenges

Please explain your answer, and list the main challenges associated with participating in the FCPF.

### 7. Changes in the Management of Forests Attributable to the FCPF

Has following FCPF guidance tended to ...

Have FCPF activities and programs led to any specific changes (actual or anticipated) in your country's approach to tropical forest conservation and management and/or policies towards GHG emissions from forest lands. If yes, please try to describe these as specifically as possible.

8. Cooperation on REDD+		
Has following FCPF guidance tended to...	<b>Make cooperation on REDD+ in your country harder?</b>	<b>Make cooperation on REDD+ in your country easier?</b>
Please explain your answer.		

9. Knowledge Sharing on REDD+		
Has following FCPF guidance tended to ...	<b>Make solving REDD+ problems in your country easier?</b>	<b>Make solving REDD+ problems in your country easier?</b>
Please explain your answer.		

10a. Changes in the FCPF			
Since 2012, how has the FCPF changed and responded to needs?	<b>Many challenges</b>	<b>Some challenges</b>	<b>No challenges</b>
Please list the main changes within the FCPF that you have encountered since 2012:			

10b. Changes in the FCPF			
Are changes in the FCPF best described as:	<b>Many challenges</b>	<b>Some challenges</b>	<b>No challenges</b>
Please explain your answer			

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

## **2 Protocol for Interviews**

### **INTRODUCTION** [*This was 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:**

<b>Date</b>	<b>Name &amp; position</b>	<b>Institution (stakeholder category)</b>	<b>Contact details (email/phone)</b>

#### **Familiarity of the interviewee with national REDD+ context:**

<b>REDD+ Readiness Process</b>	<b>Familiarity (YES/NO)</b>	<b>Level of Engagement (e.g. implementation, consultations, coordination, observer, etc.)</b>
FCPF R-PP		
FCPF Carbon Fund		
Forest Investment Program		
UN-REDD		

Norway's Climate & Forest Initiative		
UNFCCC submissions on REDD+		
EU REDD Facility		
<b>Other details on the background and experience of the interviewee</b>		

### 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 were 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]

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

### 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	

#### **4 Topics for Group Discussions**

*[Group discussions were organized by the core team member concerned along with the local consultant in each country, who also acted as the facilitator. The discussion was 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 were 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.

## **5 Example of Triangulation Matrix**

A triangulation matrix is a means of organizing 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.

<b>(Example) Evaluation Question 3. To what extent and in what ways has the FCPF supported countries in preparing to undertake REDD+?</b>	
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)	





**Indufor** ...forest intelligence

Annex 2

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## **Stakeholder Lists**

## Annex 2 Stakeholder Lists

The following tables catalog the consultations that have taken place within the second FCPF evaluation. For ease of reference, the tables have been disaggregated based on Stakeholder category aligning with the stakeholder database set up for the evaluation. This Annex lists the consultations associated with the field visits (Tier 3), in-depth interviews (Tier 2) and focal group discussions conducted at the Participants Meeting in Costa Rica.

The time of consultation is not indicated as most of the consultations were conducted across multiple time zones.

### Consultations with Multilaterals: Delivery Partner Institutions, UN Organizations and other International Organizations

Date	Stakeholder Consulted
5 <sup>th</sup> November, 2015	Haddy Sey, Senior Social Development Specialist, Climate Policy and Finance Department, World Bank
5 <sup>th</sup> November	Kennan Rapp, Facility Management Team, World Bank
5 <sup>th</sup> November	Martin Fodor, Task Team Leader (Ghana), World Bank
20 <sup>th</sup> November	Berta Pesti, Technical Specialist REDD Finance, UN-REDD Programme
20 <sup>th</sup> November	Steve Swan Safeguards Coordinator, UN-REDD Programme
20 <sup>th</sup> November	Mario Boccucci, Head of Secretariat, UN-REDD Programme
20 <sup>th</sup> November	Reem Ismail, Research Assistant, UN-REDD Programme
20 <sup>th</sup> November	Mike Speirs, Senior Technical Adviser, UN-REDD Programme
20 <sup>th</sup> November	Tim Clairs, Principal Policy and Technical Advisor REDD, UNDP
18 <sup>th</sup> December	Bruno Cammaert, Forestry Officer, EU FAO FLEGT Programme, FAO
24 <sup>th</sup> February 2016	Werner Kornexl, Environment Coordinator Indonesia, World Bank
24 <sup>th</sup> February	Aparicio Alcazar and Luis Miguel, Inter-American Development Bank
25 <sup>th</sup> February	Werner Kornexl, Environment Coordinator Indonesia, World Bank
25 <sup>th</sup> February	Alexander Lotsch, Facility Management Team, World Bank
26 <sup>th</sup> February	Maurice Rawlins, Natural Resource Management Specialist, World Bank
29 <sup>th</sup> February	Simon Whitehouse, Fund Manager, World Bank
2 <sup>nd</sup> March	Haddy Sey, Senior Social Development Specialist, Climate Policy and Finance Department, World Bank
3 <sup>rd</sup> March	Nina Doetinchem, Carbon Finance Specialist, Carbon Finance Unit, World Bank
3 <sup>rd</sup> March	Jennifer Laughlin, Technical Specialist, Safeguards and Grievance Mechanisms, UNDP/UN-REDD Programme
7 <sup>th</sup> March	Peter Jipp, Task Team Leader, World Bank
7 <sup>th</sup> March	Neeta Hooda, Facility Management Team, World Bank
8 <sup>th</sup> March	Leonel Iglesias, GCCFL Forests and Landscapes Climate Finance, World Bank
9 <sup>th</sup> March	Benoît Bosquet, Practice Manager for Environment and Natural Resources, World Bank
9 <sup>th</sup> March	Simon Whitehouse, Fund Manager, World Bank
9 <sup>th</sup> March	Aparicio Alcazar, Luis Miguel, Inter-American Development Bank
9 <sup>th</sup> March	Gerard Alleng, Inter-American Development Bank
9 <sup>th</sup> March	Clea Paz, Regional Technical Advisor-REDD, UNDP
11 <sup>th</sup> March	Kennan Rapp, Facility Management Team, World Bank
14 <sup>th</sup> March	Jorge Omar Samaoya, Especialista en Cambio Climático, División de Cambio Climático y Sostenibilidad, Inter-American Development Bank (Guatemala)
18 <sup>th</sup> March	Joel Scriven, Regional Technical Specialist, UNDP

21 <sup>st</sup> March	Carole Megevand, Forest Lead, World Bank
22 <sup>nd</sup> March	Kennan Rapp, Facility Management Team, World Bank
22 <sup>nd</sup> March	Benoît Bosquet, Practice Manager for Environment and Natural Resources, World Bank
22 <sup>nd</sup> March	Werner Kornexl, Environment Coordinator Indonesia, World Bank
24 <sup>th</sup> March	Adam Gerrard, Forest Officer UN-REDD Asia Office
25 <sup>th</sup> March	Tracy Lee Johns, World Bank
31 <sup>st</sup> March	Geeta Sethi, FCPF Manager, World Bank
31 <sup>st</sup> March	Ellysar Baroudi, Facility Management Team, World Bank
31 <sup>st</sup> March	Laurent Valiergue, Task Team Leader, World Bank
29 <sup>th</sup> March	Nina Doetinchem, Carbon Finance Specialist, Carbon Finance Unit, World Bank
29 <sup>th</sup> March	Breen Byrnes, Communications Officer, World Bank
29 <sup>th</sup> March	Catherine Sear, Knowledge Management and Information Specialist, World Bank
4 <sup>th</sup> April	Andre Aquino, Forest Investment Program
5 <sup>th</sup> April	Laurent Valiergue, Task Team Leader, World Bank
8 <sup>th</sup> April	Gerhard Dieterle, Forest Investment Program
8 <sup>th</sup> April	Alexander Lotsch, Facility Management Team, World Bank
12 <sup>th</sup> April	Marco Van Der Linden, Carbon Finance Specialist, World Bank
4 <sup>th</sup> March	Christophe Van Oshoven, REDD Expert, EU REDD Facility
4 <sup>th</sup> March	Valerie Merckx, REDD Team Leader, EU REDD Facility
23 <sup>rd</sup> March	Jussi Viitanen, Head of FLEGT and REDD Unit, European Forest Institute
30 <sup>th</sup> March	Markku Kanninen, Former Director/Director, CIFOR/Viikki Tropical Resources Institute (VITRI)
31 <sup>st</sup> March	Patrick Wylie, Senior REDD Advisor / Climate Change Mitigation Officer, International Union for Conservation of Nature
29 <sup>th</sup> March	Wojciech Galinski, Programme Officer, UNFCCC Secretariat
6 <sup>th</sup> April	Ma Hwan Ok, Projects Manager, International Tropical Timber Organisation
4 <sup>th</sup> May	Andres Espejo, Methodology Specialist-Forests and Landscapes Climate Finance, World Bank
4 <sup>th</sup> May	Gerhard Dieterle, Program Manager for the FIP, World Bank
4 <sup>th</sup> May	Ken Green, International Technical Expert on SESA, Fraser Institute
4 <sup>th</sup> May	James Close, Director in Climate Change Group, World Bank
19 <sup>th</sup> September	Graham Watkins, Inter-American Development Bank
19 <sup>th</sup> September	Gerard Alleng, Inter-American Development Bank

### Consultations with Financial Contributors

Date	Stakeholder Consulted
6 <sup>th</sup> November, 2015	John Verdieck, Foreign Affairs Officer, Office of Global Change, US Department of State
6 <sup>th</sup> November	Duncan Marsh, International Climate Policy Director, The Nature Conservancy
6 <sup>th</sup> November	Tore Langhelle Adviser, Department for Climate, Energy & Environment, Norwegian Agency for Development Cooperation
6 <sup>th</sup> November	Morten Nordskog, Multilateral affairs coordinator, Norwegian Government's International Forest and Climate Initiative
6 <sup>th</sup> November	Beth Nelson, Delivery Manager, Forests and Land Use, International Climate Fund, UK Department for Energy & Climate Change

6 <sup>th</sup> November	Frédérique Willard, Agriculture, Rural Development, Biodiversity, Sustainable Development Department, Agence Française de Développement,
6 <sup>th</sup> November	Simon Stumpf, Deputy Head of Division, Environment and sustainable use of natural resources, marine conservation and biodiversity, Federal Ministry of Economic Cooperation and Development (BMZ) for Germany
6 <sup>th</sup> November	Evy von Pfeil, Head, REDD Programme for Early Movers, Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ)
6 <sup>th</sup> November	Nicolas Duval-Mace, Policy Advisor, Natural Resources Canada
6 <sup>th</sup> November	Michael Bucki, Climate Finance and Deforestation, DG CLIMA, European Commission
8 <sup>th</sup> November	Frédérique Willard, Agriculture, Rural Development, Biodiversity, Sustainable Development Department, Agence Française de Développement
25 <sup>th</sup> February, 2016	Matti Kahra, Senior Officer, Ministry for Foreign Affairs of Finland
25 <sup>th</sup> February	Tore Langhelle Adviser, Department for Climate, Energy & Environment, Norwegian Agency for Development Cooperation
25 <sup>th</sup> February	Morten Nordskog, Multilateral affairs coordinator, Norwegian Government's International Forest and Climate Initiative
1 <sup>st</sup> March	Beth Nelson, Delivery Manager, Forests and Land Use, International Climate Fund
1 <sup>st</sup> March	Julia Raybould, Analysis Department, Department of Energy and Climate Change
1 <sup>st</sup> March	Sean Frisby, Head of Investments, Department of Energy and Climate Change, United Kingdom
2 <sup>nd</sup> March	Duncan Marsh, Duncan Marsh, International Climate Policy Director, The Nature Conservancy
2 <sup>nd</sup> March	Greg Fishbein, Managing Director for Forests and Climate, The Nature Conservancy
2 <sup>nd</sup> March	Chris Dragisic, Foreign Affairs Officer, U.S. State Department
3 <sup>rd</sup> March	Anthony Bennie, Director International Policy and Forest Monitoring Climate Change and Renewable Energy Division, Department of the Environment, Australia
4 <sup>th</sup> March	Michael Bucki, Climate Finance and Deforestation, DG CLIMA, European Commission
10 <sup>th</sup> March	Cristina Garcia Diaz, Senior Advisor, Spanish Climate Change Office
10 <sup>th</sup> March	Esther Gonzalez Sanz, Council Member, Global Environmental Facility
15 <sup>th</sup> March	Evy von Pfeil, Senior Forest Policy Advisor, Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ)
15 <sup>th</sup> March	Christiane Ehringhaus, Program Coordinator, REDD for Early Movers Program, KfW Development Bank
16 <sup>th</sup> March	George Darrah, Environmental Products Originator, BP Technology Ventures
30 <sup>th</sup> March	Morten Nordskog, Multilateral affairs coordinator, Norwegian Government's International Forest and Climate Initiative
30 <sup>th</sup> March	Tore Langhelle Adviser, Department for Climate, Energy & Environment, Norwegian Agency for Development Cooperation
31 <sup>st</sup> March	Inger Brodhal, CSO Department, Norwegian Agency for Development Cooperation

**Consultations with relevant Non-Governmental Organizations, other Civil Society Organizations and individual key informants<sup>1</sup>**

<b>Date</b>	<b>Stakeholder Consulted</b>
17 <sup>th</sup> December	Peter Stephen, LEAF Program, Forest Management and Climate Change Technical Advisor, LEAF Program, Winrock
17 <sup>th</sup> December	Brian Bean, Chief of Party, LEAF Program, Winrock
23 <sup>rd</sup> February, 2016	Mariano Cenamo, Senior Researcher, IDESAM
25 <sup>th</sup> February	Thierry Lusenge, Project Manager, World Wildlife Fund, DRC
23 <sup>rd</sup> November	Lawrence F. Connell, Director of Multilateral Relations, Conservation International
2 <sup>nd</sup> March	Joshua Lichtenstein, Director of Campaigns, Bank Information Centre
3 <sup>rd</sup> March	Allie Goldstein, Senior Associate, Forest Trends
4 <sup>th</sup> March	Chris Meyer, Senior Manager, Amazon Forest Policy Environmental Defence Fund
7 <sup>th</sup> March	Dil Raj Khanal, National Policy Facilitator, Federation of Community Forestry Users Nepal (FECOFUN)
7 <sup>th</sup> March	Augustine B. Njamnshi, Executive Secretary, Bioresources Development and Conservation Programme Cameroon & National Coordinator The Access Initiative Cameroon, Pan African Climate Justice Alliance
10 <sup>th</sup> March	Puspa L. Ghimire, Programs Director, Asia Network for Sustainable Agriculture and Bioresources
11 <sup>th</sup> March	Cécile Ndjebet, Associate – Cameroon, The African Women's Network for Community Management of Forests
25 <sup>th</sup> March	Federica Bietta, Deputy Director, Coalition for Rainforest Nations
25 <sup>th</sup> March	Paul Chung, Chief Operating Officer, Coalition for Rainforest Nations
29 <sup>th</sup> March	Gamble, Lloyd, Director of Forests and Climate, World Wildlife Fund US
24 <sup>th</sup> March	Arief Wijaya, Climate and Forests Associate, World Resources Institute Indonesia
31 <sup>st</sup> March	Fred Stolle, Senior Associate, World Resources Institute
4 <sup>th</sup> May	Mark Roberts, Policy Advisor, Environmental Investigation Agency, USA
4 <sup>th</sup> May	Susanne Breitkopf, Policy Coordinator, Forest Campaigns, USA
4 <sup>th</sup> May	Augustine B. Njamnshi, Executive Secretary, Bioresources Development and Conservation Programme Cameroon & National Coordinator The Access Initiative Cameroon, Pan African Climate Justice Alliance
4 <sup>th</sup> May	Gamble, Lloyd, Director of Forests and Climate, World Wildlife Fund US
4 <sup>th</sup> May	Dil Raj Khanal, National Policy Facilitator, Federation of Community Forestry Users Nepal (FECOFUN)

<sup>1</sup> As defined in the Charter: "Relevant Non-Governmental Organization" means a civil society organization or a non-governmental organization that has experience and expertise in REDD or represents interests that are likely to benefit from or be affected by REDD.

## Consultations with Forest-dependent Indigenous Peoples and Forest Dwellers<sup>2</sup>

Date	Stakeholder Consulted
25 <sup>th</sup> February, 2016	Dennis Mairena, National Coordinator, CADPI Centro para la autonomía y desarrollo de los pueblos indígenas
26 <sup>th</sup> February	Wilma Calderon Gostas, Representative, Gerencia y Desarrollo Social GYDES
4 <sup>th</sup> March	Dan Sapit, Africa's IPs Observer to the FCPF, Community Resources and Development Center / Mainyoito Pastoralists Integrated Development Organization
10 <sup>th</sup> March	Grace Balawag, Representative, Tebtebba
11 <sup>th</sup> March	Ramiro Batzin, Executive Director, Sotz'il
15 <sup>th</sup> March	Peter Persaud, Director, The Amerindian Action Movement of Guyana
31 <sup>st</sup> March	Pasang Dolma Sherpa, National Coordinator, Nepal Federation of Indigenous Nationalities
4 <sup>th</sup> May	Tunga Bhadra Rai, National Coordinator, Nepal Federation of Indigenous Nationalities (NEFIN)
4 <sup>th</sup> May	Gustavo Sánchez Valle, Presidente, Red MOCAF
4 <sup>th</sup> May	Ramiro Robledo Márquez, Unión Nacional de Organizaciones de Forestería Comunal (UNOFOC)
4 <sup>th</sup> May	Dan Sapit, Africa's IPs Observer to the FCPF, Community Resources and Development Center / Mainyoito Pastoralists Integrated Development Organization

## Consultations with the Private Sector

Date	Stakeholder Consulted
25 <sup>th</sup> February, 2016	Ignacio Gavilan, Director of Sustainability, Consumers Good Forum
1 <sup>st</sup> March	Samuel Nnah, Saber/Freelance consultant
1 <sup>st</sup> March	Scott Poynton, Founder, and Claire Adams, Communications Manager, The Forest Trust
8 <sup>th</sup> March	Paulo Bello, Technical Director, 33 Forest Capital
9 <sup>th</sup> March	Andrew Hedges, Consultant, Nortonrose
9 <sup>th</sup> March	Jason Patrick, Managing Director, Biocarbon Group
10 <sup>th</sup> March	Michael Wolosin, Consultant (former Climate Advisers)
15 <sup>th</sup> March	Marta Brignone, FLEGT Facilitator, IDL group
15 <sup>th</sup> March	Philippe Mortier, Consultant, FRM
16 <sup>th</sup> March	George Darrah, Environmental Products Originator, BP Technology Ventures
16 <sup>th</sup> March	Jean-Robert B. Bwangoy-Bankanza, Wildlife Works, DRC
18 <sup>th</sup> March	Chris Webb, Director, PricewaterhouseCoopers
18 <sup>th</sup> March	Christina Elvers, Manager, PricewaterhouseCoopers
18 <sup>th</sup> March	Charlotte Streck, Director, Climate Focus
21 <sup>st</sup> March	Gabriel Mola, President, Wood Industries Federation DRC
21 <sup>st</sup> March	Camille Rebelo, Co-founder, EcoPlanet Bamboo
21 <sup>st</sup> March	Brodie Ferguson, Co-founder, Anthrotec
22 <sup>nd</sup> March	Chris Brown, General Manager for Environmental Sustainability, OLAM Ghana
23 <sup>rd</sup> March	Alain Lafontaine, Baastel

<sup>2</sup> As defined in the Charter: "Indigenous Peoples and local communities living in forests and depending on forest resources for their livelihoods".

31 <sup>st</sup> March	Florian Reimer, Sustainability, Shared Value, Social Benefits, Supply Chains, South Pole
1 <sup>st</sup> April	Timm Tennigkeit, Managing Director, UNIQUE
1 <sup>st</sup> April	Richard Folland, Lead Energy and Environment Consultant, Climate Markets and Investment Association
5 <sup>th</sup> April	Mike Korchinsky, CEO, Wildlife Works
4 <sup>th</sup> May	Carole Walter, Freelance interpreter for FCPF
4 <sup>th</sup> May	Karin Ruckhaus, Freelance interpreter for FCPF
4 <sup>th</sup> May	Stella Covre, Freelance interpreter for FCPF
4 <sup>th</sup> May	Rita Boren, Freelance interpreter for FCPF
4 <sup>th</sup> May	Christopher Webb, Chair of REDD working group, Climate Markets and Investment Association (CMIA)

### Consultations with Government Representatives

Date	Stakeholder Consulted
29 <sup>th</sup> March	Masanobu Shimada, Principal Researcher, Japan Aerospace eXploration Agency

### Tier 2 Stakeholder Consultations: Selected In-depth Interviews

Tier 2 stakeholder consultations were conducted to get in-depth views of a broader range of the FCPF portfolio that were not in the six countries of the field visit. As a minimum, a representative from the FCPF Delivery Partner and Country Participant focal point for each Tier 2 country was identified. In addition, circumstances allowed for the Tier 2 interview protocol to be applied in two further countries.

Country	Interviewee
Belize	David Pererra, Engineer in Environmental Management, Belize Forest Department
Cambodia	Erick Fernandes, Task Team Lead, World Bank
	Chea Sam Ang, Deputy Director, Forestry Administration of Cambodia
	Joel Scriven, Regional Technical Specialist, UNDP
Chile	Tracy Lee Johns, the World Bank
	Angelo Sartori, Chief Technical Officer, Forest Management CONAF
	Peter Jipp, the World Bank
	Leonel Iglesias, World Bank
Congo Republic	Julian Lee, Task Team Leader, World Bank
	Tim Rayden, Technical Advisor Forestry and Climate Change, Wildlife Conservation Society Congo
Costa Rica	Erick Fernandes, Task Team Leader, World Bank
	Stavros Papageorgiou, Environmental specialist, World Bank
	Juan Martinez, Senior Social Development Specialist, World Bank
	Leonel Iglesias, Facility Management Team, Focal Point, World Bank
	Maria Elena Herrera Ugalde, Department of Development of Proposals and REDD strategy, National Forestry Financing Fund (FONAFIFO)
DRC	Victor Kabengele, REDD National Coordinator, National REDD Coordination Committee
	Guy Kajemba, Expert JNR Program, le Groupe de Travail Climat REDD
	Keddy Bosulu, Secretaire General, Reseau des Populations Autochtones et Locales pour Gestion Durable des Ecosystemes Forestiers de la RDC

	Rigobert Mola Elembe, Technical Advisor, Réseau des Populations Autochtones et Locales pour Gestion Durable des Ecosystèmes Forestiers de la RDC
	Daniela Goehler, Co-Task Team Leader, World Bank
	Laurent Valiergue, Senior Forestry Specialist, World Bank
Ethiopia	Stephen Danyo, Senior NRM Specialist and Task Team Leader, World Bank
	Dr Yitebitu Moges, National REDD Coordinator, Ministry of Environment, Forest and Climate Change
Gabon	n.a.
Guatemala	Carlos Bonilla, REDD coordinator, Ministry of Environment and Natural Resources
	Omar Samayoa, Task Team Leader, Inter-American Development Bank
	Oscar Rojas, Director, Rainforest Alliance Guatemala
Indonesia	Zahrul Muttaqin, Senior Researcher, Forest Research and Development Agency
	Tri Wahyudiyati, Forest Research and Development Agency
	Novia Widyaningtyas, Head of Climate Change Division, Ministry of Environment and Forestry
	Werner Kornexl, Former Task Team Leader, World Bank
	Gunter Prabowo, former World Bank employee
Liberia	Saah David, National REDD Coordinator, Forest Development Authority
	Peter Mulbah, Environmental Policy Director/ Focal Point, Conservation International/ Environmental Protection Agency
	Khamsene Ounekham, Planning Division, Department of Forestry, Ministry of Agriculture and Forestry
	Peter Jipp, former Task Team Leader, World Bank
Nicaragua	Augusto Garcia, Task Team Leader, World Bank
	Javier Gutierrez Ramirez, Focal Point, Ministry of Environment
	Ronald Blandon, General Manager, Nicaragua National Commission on Cattle
Papua New Guinea	Joe Pokana, Focal Point, Office of Climate Change and Development
Sudan	Sayed Khalil, National REDD Coordinator, Forests National Corporation
	Talaat D. Abdel Magid, Secretary, Sudanese Forestry Society
Uganda	Xavier Mugumya, Coordinator Climate Change and Alternate National Focal Point REDD
	Martin Fodor, Former Task Team Leader, World Bank
Vietnam	Chris Dickinson, REDD Advisor, SNV Vietnam
	Lan Thi Thu Nguyen, Task Team Leader, World Bank
	Nguyen Thi Thu Thuy, Director of Vietnam REDD Office, Project on Support for the REDD Readiness Preparation in Vietnam, Government of Vietnam
	Nguyen Van Ha, Deputy Director General, Vietnam Administration of Forestry
<b>Additional In-depth Interviews using Tier 2 Protocol</b>	
Sudan	see above
Pakistan	Aurangzeb Awan, Assistant Inspector General Forest at Cabinet Secretariat, Climate Change Division, Government Of Pakistan
Bhutan	Sigyel Delma, Focal Point, Senior Forestry Officer, Ministry of Agriculture and Forestry
	Lobzang Dorji, Chief Forestry Officer, Ministry of Agriculture and Forestry
	Arun Rai, Senior Forestry Officer, Ministry of Agriculture and Forestry
	Yonpen Phunishu, the Forest Service
	Rajesh Koirala, Focal Point, World Bank
	Aziz Lagnaoui, Task Team Leader, World Bank







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Annex 3

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**Country Field Visit Reports**

## **Second Evaluation of the Forest Carbon Partnership Facility (FCPF)**

### **Field Visit Report**

#### **Ghana – The road to building forest friendly cocoa**

**Authors: Julian Caldecott, Majella Clarke and Paul Ankrah**

### **Evaluation Objectives**

The aim of this report is to present field visit findings from the field visit to Ghana, which will be presented as an annex to the final report of the second evaluation of the FCPF. The specific objectives of the second FCPF evaluation are to:

1. Ascertain the results (outcomes and early impacts, intended and unintended) and lessons learned from the program.
2. 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 IEG3.
3. Provide findings, conclusions and recommendations with focus on the following:
  - 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;
  - the FCPF's position in relation to other REDD+ initiatives (for example the Forest Investment Programme, UN-REDD Programme and Global Environment Facility), and the role and contribution of the FCPF at the country level and within the global REDD+ architecture;
  - 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;
  - FCPF actions taken for knowledge sharing at country, regional and global level for all aspects related to the readiness process.

The evaluation covers the FCPF's engagement between July 2011 to December 2014, and includes ongoing and completed activities. The evaluation team uses the OECD/DAC Standard Evaluation Criteria of: relevance, effectiveness, and efficiency. The FCPF has now matured to a point where its relevance, effectiveness, efficiency and sustainability can be examined using evidence and examples. Thus, the scope of the evaluation includes progress made by the FCPF in directing resources to the activities that are most likely to contribute to REDD-plus in the future, and some lessons for future REDD-plus regimes.

At the country level, the evaluation assesses the formulation of Readiness Preparation Proposals (R-PPs) and the country context of the R-PPs (though not the R-PPs themselves), which include the structure, functions and processes of each country's forest-relevant system, the existing capacity and resources to formulate the R-PP. In addition, the country-level evaluation examines the Carbon Fund processes on-going, such as the development of the ER-PD. The evaluation aims to determine how the global processes have affected country capacity on the one hand, and how the country has contributed to international norms and standards on the other hand.

## **Purpose of the Field Visit to Ghana**

As part of this evaluation process and to inform the country level analysis described above, the Evaluation Team made field visits to five of the 47 REDD Country Participants. Field visits broadened their understanding and strengthened their analysis of the key determinants in implementing the FCPF program, and brought forward the strengths and weaknesses of the program with respect to country level and local circumstances and contexts. The country level evaluation looks into the limits of the Readiness Fund and Carbon Fund processes, and possible improvements and lessons learned. This also involved an analysis of Country Participants' institutional capacity and risks to successful and timely implementation of the REDD Readiness process, and the identification of strengths and weaknesses of existing governance arrangements.

This country report deliberately does not generate in-country recommendations – rather it is meant to inform and enrich the findings, conclusions and recommendations of the overall evaluation report. For ease of reading, and to enhance comparison and consistency between evaluations, this field report is closely aligned to the layout and methods applied in the field visit process to the first evaluation (see Baastel 2011).

## **Methodology for Field Visits**

The evaluation mission to Ghana was implemented over an 11-day period, from the 15<sup>th</sup> of November to the 25<sup>th</sup> of November 2015. The evaluation mission to Ghana was conducted by three consultants:

- Mr Paul Ankrah, National Forestry Consultant
- Dr Julian Caldecott, Team Leader
- Ms Majella Clarke, REDD+ expert and project manager

A total of 30 stakeholders were consulted and are presented in the stakeholder list attached to this report. A document review of Ghana's reports was done to identify key stakeholders prior to the field visit. The program included flexible time allocations to allow for follow-ups with referred stakeholders, and to broaden the stakeholder input to the evaluation process. Stakeholders included government staff, National House of Chiefs, which represent local communities in their chiefdoms, CSOs and International NGOs, private sector, research institutes, multilateral development banks, regulatory bodies and independent persons. A field trip was made to Kumasi and to Akim-Tafo to consult with timber association representatives (located in Kumasi) and national research institutions.

Before each consultation, an interview protocol was applied where a member of the Evaluation Team introduced members of the team and their consultation objectives. The team member presented a brief overview of the FCPF and the scope of the assignment. The Chatham House rule was explained and applied for all consultations. When time allowed, a member of the team concluded the consultation with a summary of the main points with the interviewee.

## **Report Structure**

The report structure follows the field visit report template presented in the inception report and is based on ten questions derived from the evaluation matrix. In addition, the report includes an introductory section based on material from Ghana's R-PP and ER-PIN, which provides orientation for the reader. The report concludes with a summary of the findings and presents the Evaluation Team's field visit conclusions.

## **Highlights of the Environmental, Institutional, Economic and Political Context**

### **Historical Deforestation and Forest Degradation**

Forest degradation leading to deforestation began with the expansion of cocoa and other tree crops across the Densu River in what is now Ghana's Eastern Region. At the time (1911), Ghana was the world's top producer of cocoa beans. By migrating, farmers adapted to a series of environmental, economic and social changes and disturbances, including localized land shortages, cocoa diseases, market fluctuations, declining yields, and an increased number of cocoa producers. These drove

farmers to travel to more remote forest areas to cultivate cocoa, and grow other tree and food crops. As timber harvesting increased, many migrant farmers followed logging roads that opened up in the Brong-Ahafo, Western regions and elsewhere. This allowed them to gain access to new forest lands that could be converted into cocoa production. By the early 1990s, agricultural expansion (driven by cocoa farming and the expansion of oil palm and rubber), logging, and to a lesser extent mining, had resulted in conversion or degradation of nearly all unprotected land areas known in Ghana as the 'off-reserve' landscape. The forest frontier was largely exhausted by 2000, with pressure on forest reserves and Protected Areas (PA) causing their degradation and in some cases total forest loss (e.g. the Manzan Forest Reserve, 306 sq. km).

### **Contemporary Deforestation and Forest Degradation and its Drivers**

As economic development increased, so has the demand for land and forest resources. Illegal gold mining has expanded considerably since 2011. Domestic demand for timber has also increased, and in 2011-2012 Ghana exceeded its annual allowable cut in the domestic market alone (Hansen et al. 2012). The key drivers of Deforestation and Degradation (DD) are:

- (a) uncontrolled agricultural expansion, mostly for cocoa;
- (b) over-harvesting and illegal harvesting of wood;
- (c) population and development pressure;
- (d) mining and mineral exploitation;
- (e) forest fires, particularly in the transition and savanna zone; and
- (f) fuelwood collection and charcoal production.

The underlying causes of DD are:

- (a) over-capacity in the forest industries;
- (b) policy and market failures;
- (c) population growth;
- (d) increasing demand for agriculture and wood products;
- (e) low-tech farming systems that continue to rely on 'slash and burn' farming methods; and
- (f) a burgeoning mining and (illegal mining) sector.

### **Trends in the Cocoa Sector**

Cocoa production had increased from 300,000 tonnes in the late 1980s to a record high of a million tonnes in 2011-2012. Extensive, and potentially expansive, cultivation of cocoa is the most widespread land use in the ERP area. To maintain or increase yields, farmers establish new farms at the expense of remnant forests outside the gazetted forest reserves, rather than investing in improved management or replanting of existing or old farms. In a few cases, farmers have encroached on and replaced forests with cocoa plantations.

There has also been a rapid transition from shaded cocoa cultivation to low/no shade cocoa cultivation, driven mainly by short-term profits, increasing competition for land and a rising demand for domestic timber. In terms of carbon storage, natural forests represent the highest storage capacity (80-225 t/ha) followed by shaded cocoa and cocoa fallow (41-100 t/ha), low-shade cocoa (14-40 t/ha), and food crops (1-15 t/ha).

### **High-tech Cocoa**

In 2001, the Cocoa Board began a High Tech Cocoa and Cocoa Diseases and Pest Control (CODAPEC) program (HTP) to boost production using improved planting stock, reduced shade, and increased use of fertilizers and biocides. The target was an annual production of 1.0 Mt by 2012, and an average on-farm production of 1,000 kg/ha/yr. Adoption by farmers has been limited, as shade reduction was practiced excessively and other inputs were too expensive. The million tonne target was reached in 2011, but production then declined to 0.86 Mt in 2012, and average production remains at 350-400 kg/ha/yr. Meanwhile, conversion of intact forest has been accelerating from a rate of 2.8% per year between 1986 to 2000, to 6.1% during 2000-2011.

## Barriers to REDD+

The decisions of farmers and forest users to encroach on natural forests and plant cocoa are constrained by a lack of knowledge, and distorted by tenure regimes that do not encourage the retention of trees on cocoa farms. These barriers cannot be addressed at a project or singular institution level, which has been the practice to date. Rather, they require a large-scale integrated approach in order to foster changes in farming practices and land use decisions to reduce deforestation and degradation, and to encourage the growth of forests and trees in the off-reserve farming landscape. Meanwhile, “Overall, recognition is growing amongst cocoa sector stakeholders, including the private sector, that cocoa is a major driver of degradation and deforestation, and as such a source of GHG emissions. Concern is also growing that climate change presents a threat to the future of the sector. In 2012, for example, national yields declined substantially as a result of reduced rainfall during the dry season. However, to a large extent, questions remain amongst private sector players and within the Cocoa Board as to how best to facilitate mitigation and adaptation, while supporting the sustainable production of cocoa beans.” (ER-PIN, page 27). In general, there is broad consensus and understanding amongst key players within the Government and private sector, as well as CSOs, that climate change mitigation and adaptation measures need to be taken jointly to tackle the threat to cocoa production reliant ecosystems.

## Building REDD+ and its Future in Ghana

Taken together, the REDD Readiness process, under the FCPF, Forest Investment Partnership (FIP) and Carbon Fund processes, is building a pathway to contribute to Ghana’s contribution to mitigating and adapting to climate change. Ghana’s participation in complementary programs of the FIP and Carbon Fund of the FCPF together offer ways to support Ghana to implement and demonstrate REDD+ in the hope to achieve results-based remuneration for activities on critical landscapes within the program areas. These actions are focusing on: (a) investment in piloting; (b) nesting of REDD+ pilots and FIP pilots within the Carbon Fund area, enabling them to benefit from the FRL, MRV and benefit-sharing systems; (c) program integration; (d) ER purchases, with the Carbon Fund guaranteeing a ‘buyer’ for verified Emission Reductions (VERs); and (e) an unprecedented collaboration between the Forestry Commission and the Cocoa Board to jointly address challenges facing the forestry and cocoa sectors.

## Carbon Fund Activities

There are three ‘strands’ in the ERPD, focused on cocoa (and other crops), illegal logging and illegal mining. The **cocoa strand** comprises:

- **Policy reforms.** To promote tree tenure and benefit sharing reforms to incentivize farmers to retain and/or plant trees on farms or in the wider landscape, including the testing of Payments for ecosystem service (PES) schemes based on ecosystem services and performance indicators agreed by all stakeholders, and the coupling of community-based monitoring with law enforcement to reduce encroachment into protected areas.
- **Increasing yields.** To link and scale up extension work, use of fertilizers and biocides, farm credit and business training, with land-use planning and MRV/data management systems so as to reduce DD while improving farm yields and incomes, and exploring new private investments and the use of carbon finance.
- **Risk Management.** To explore the design of index-based crop-yield insurance products linked to participation in the ERP (and subsidized by carbon revenues), and credit facilities to help farmers invest in improved practices and technologies.
- **Landscape Planning and CREMAs.** To promote replication of the Community Resource Management Area (CREMA) mechanism for participatory land use planning at a landscape scale (i.e. the district or Traditional Authority level), to reduce cocoa farm expansion and encroachment into forests, and to stabilize farming in the off-reserve landscape.
- Data management and analysis for decision-support for policy makers, forest administrators, scientists etc.
- Fostering stronger institutional coordination towards greater synergy among REDD plus-related initiatives in the target area

The **illegal logging strand** comprises actions at:

- **National level.** To engage with the on-going VPA-FLEGT process to identify policy level and activity-based opportunities to collaborate. It will liaise with the Forestry Commission's Rapid Response Task Force, which intervenes against illegal logging and is supported by the 'prosecution wing' of the FC.
- **Program level.** To support policy reforms, and leverage existing programs, projects and initiatives in line with forest conservation aims.
- **District level.** To improve accountability through landscape planning, community-based monitoring, and PES-based payments for emissions reductions, through collaborating with key stakeholders (including the FIP and MLNR) to test policy reforms (tree tenure and benefit sharing arrangements) to reduce illegal logging in farms and keep trees growing in the farming system.
- **Community level.** To promote the use of the CREMA mechanism to open up dialogue, local decision making, sensitization and accountability measures (e.g. by-laws) on the issue of illegal logging, also piloting community-based forest monitoring systems and PES schemes that would 'pay' communities and leaders when DD is reduced in their CREMA or landscape area.

The **illegal mining strand** is less clearly articulated at present. Information on illegal (gold) mining is scarce, but it has increased due to high gold prices (which rose in real terms from US\$355/oz. in Feb 2001 to a peak of US\$1,800/oz. in Sep 2012, with the current price US\$1,100/oz.), and there is weak enforcement and accountability at all levels. Further studies are planned. Meanwhile, the ERP will provide a framework for facilitating the monitoring of land use change (through the forest monitoring and MRV system) in conjunction with inter-sectoral dialogue, and coordination and collaboration on the ground through the President's Special Task Force on Illegal Mining and engagement with the Minerals Commission, the National House of Chiefs and the Traditional Authorities, District Assemblies, and communities. The ERP will test the use of PES-based mechanisms to create economic incentives to reduce forest conversion by illegal mining.

### **Geographical Focus of the ERP**

The ERP will initially focus on 3-5 priority landscapes of 50-200,000 hectares each, where four steps would be taken: (a) identify DD hotspots using a combination of remote sensing analysis and proxy indicators based on expert knowledge of trends and activities on the ground; (b) verify the drivers, underlying causes and agents responsible for the deforestation or degradation in the area; (c) map institutions to determine where relevant private sector, civil society and government projects, programs and initiatives are taking place in order to understand where existing capacity and financial support could be leveraged to generate ERs; and (d) designate target landscapes based on areas with an overlap of DD at a significant but manageable scale and with institutional capacity and financial support. Thereafter the ERP will assess where and what interventions have been successful (and those that have not), adapt the strategy as needed, and expand into new landscapes with the relevant set of activities to address the drivers of emissions.

### **Institutional Oversight of the Emission Reduction Program (ERP) process in Ghana**

Three government institutions, namely, the Cocoa Board, the Ghana Forestry Commission (GFC) and the Ministry of Land and Natural Resources, (MLNR) intend to establish a Cocoa Forest REDD+ Program Steering Committee to be co-chaired by the Cocoa Board and GFC. The Steering Committee will be responsible for managing the design, investment, and implementation of the Cocoa Forest REDD+ Program. That committee will include individuals from key government institutions involved in the program, in addition to a representative from the National House of Chiefs, the private sector, and civil society, including farmer representatives. The Steering Committee will be advised by the Emission Reduction Program's Technical Coordination Team made up of key private sector representatives, as well as experts on cocoa agronomy, climate change mitigation, forestry, and other relevant fields who are knowledgeable of, or formally engaged with the program. It will also be informed by the ERP's Management and Implementation Unit, which will sit within the

REDD+ Secretariat at the GCF. The program recognizes that the Secretariat will require significant strengthening and expansion to be able to adequately manage all aspects of the program, including implementation.

At the national level, these bodies will liaise with the National REDD+ Steering Committee, the Technical Coordinating Committee-Plus (TCC+) of Natural Resource Environmental Governance program (NREG), Cocoa Board's Ghana Cocoa Platform, and the National Climate Change Coordination Committee. At the highest level, the Environment and Natural Resources Advisory Council (ENRAC) will provide oversight to the Steering Committee. The ENRAC serves as an umbrella body that ensures cross-sectorial coordination of all climate change initiatives in Ghana and is chaired by the Vice President.

## **Field Visit Findings**

### **1. For what reason did Ghana decide to join the FCPF in the first place, and to continue the engagement thereafter?**

Ghana was one of the first countries to join the FCPF. In 2008, Ghana, as a lower-middle income country, was not a priority recipient of Official Development Assistance (ODA). REDD+ provided an opportunity for Ghana to contribute to global climate change mitigation using its land use sector. Ghana's forest area amounted to 6.1 million ha (FAO Forest Resource Assessment 2005) and had an annual deforestation rate of 115,000 ha between 2000 and 2006. Ghana believes that it can therefore contribute significantly to emissions reductions, which could arise from deforestation in the future, and reverse the trend by sequestering carbon through restoring the landscape. The FCPF provided an opportunity to tap into available financial support to start Ghana's REDD Readiness processes. Ghana started its FCPF journey with the submission of its REDD Readiness Project idea Note (R-PIN) in 2008, followed by the R-PP formulation grant in 2009, and the REDD Readiness Preparation Plan in 2010. According to the Government of Ghana, the FCPF provided a responsive source of finance for Ghana, which kick started Ghana's participation in other REDD+ processes such as FIP under the Climate Investment Funds (CIF), the Carbon Fund and the Interim REDD+ Partnership.

Ghana entered into the FCPF at a time when the World Bank's Country Assistance Strategy (CAS) proposed to help Ghana sustain economic growth of at least 6% per year, surpassing the 2015 Millennium Development Goal of halving poverty, and start to reduce inequalities. Environment and natural resources were seen as important elements within wider national growth objectives in the CAS. In addition, the World Bank had developed a long-standing history of supporting the forest sector in Ghana since the early 1990s through the Forest Resources Management Project (FRMP) and its successor the Natural Resources Management Projects (NRMP). Given Ghana's historical relationship with the World Bank in the forest sector, it seemed organic and natural that Ghana would be considered as one of the first countries under the FCPF.

Each stakeholder had a different story on why and how they came to know and become involved with the FCPF process in Ghana. The key stakeholders under the FCPF process include the Ghana Forestry Commission (GFC), under the Ministry of Land and Natural Resources, the Ghana Cocoa Board (GCB), under the Ministry of Finance, and the Environment Protection Agency (EPA).

Earlier efforts to get buy-in for the evolving cocoa-forest REDD programme from the Ghana Cocoa Board met with little success, but the situation improved considerably after a key stakeholder from Cocobod participated in a REDD+ conference in Ethiopia, as part of a South-South cooperation process. This spurred the idea that Cocoa production could benefit from being integrated into the national REDD process and the GCB and GFC started to formulate cooperation, which has resulted in an MoU. The Cocoa Research Institute of Ghana (CRIG) saw a newspaper announcement in 2011 calling for REDD+ demonstration in the field. Responding to the newspaper advertisement, CRIG made a proposal to the Government of Ghana to test forest-friendly approaches, which can be applied in a REDD+ context, which were accepted, and CRIG became a proponent under the FCPF.



The general consensus across stakeholders interviewed is that Ghana's participation in the FCPF has resulted in some transformational relationships between different institutions (e.g. the GFC and the GCB) and developed generally positive experiences, skills and knowledge on international and national REDD+ processes that have warranted continued participation in the FCPF.

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

Ghana's socio-economic transformation agenda was set out in the President's Coordinated Program of Economic and Social Development Policy (CPESDP) for 2014-2020. To achieve the agenda, the foremost national strategic priority of Ghana should be economic growth and development. This was evident in policy frameworks and political manifestations such as:

- Ghana's Medium Term Development Policy Framework,
- Ghana Shared Growth and Development Agenda (GSGDA, 2010-2013);
- Food and Agriculture Sector Development Policy (FASDEP II) and the corresponding investment plan as detailed in the Medium-Term Agricultural Sector Investment Plan (METASIP)

In the medium-term, the strategic direction will be to lay the foundation for the structural transformation of the economy within the decade ending 2020. Industrialization will be based on modernized agriculture and sustainable exploitation of Ghana's natural resources, particularly minerals, oil and gas. In this regard, expenditure will be prioritized in favor of policies, programs and projects in the following areas:

1. Agriculture
2. Infrastructure (including transport, energy, housing, etc.)
3. Water and sanitation
4. Health
5. Education (including ICT, Science, Technology and Innovation).

The strategic priorities of Ghana are clearly economic growth and development, and to attain this, accelerated industrialized agriculture is one of the areas future investment has been planned, and for which deforestation has been a significant driver.

According to Ghana's Project Information Document (PID) from 2009, the proposed REDD Readiness Program under the FCPF was expected to assist Ghana in preparing itself for a future REDD+ mechanism. Readiness preparation has the potential to generate substantial financial flows to reward Ghana for improved management of its forest resources, and could thus ultimately contribute to Ghana's sustainable development.

Ghana has suffered from chronic deforestation driven primarily by cocoa production. The Carbon Fund, FIP and FCPF have prioritized measures to integrate cocoa production into REDD+. As a result, Ghana has become one of the few examples in the portfolio that has addressed one of the commodity-driven drivers of deforestation – cocoa plantations, and discovered an opportunity that can provide REDD benefits.

Among Ghana's priorities is the delivery of livelihood incomes to farmers while promoting sustainability, and it is hoped that REDD+ funding can be attracted and used to complement sustainable cocoa by providing an additional revenue stream for the additional carbon sequestration benefits that shade cocoa can yield. However, there are national priorities and actions that are not fully consistent with REDD+. To increase productivity and ensure market dominance, free distribution of agro-inputs (e.g. fertilizers and cocoa seedlings) are given to farmers. If forested areas that are used to expand production (unverifiable at the moment), then this could go against the interests of REDD, particularly from the sustainability perspective.

According to the Government of Ghana, the FCPF has provided Ghana with a forum to address deforestation and sustainable cultivation of cocoa, without trading off its national economic priorities.

Among the Cocoa Board's priorities is to introduce shade trees on cocoa farms to help sustain soil fertility and cocoa productivity, which matched the Forestry Commission's REDD+ interests, leading to shared interest in joint work on the R-PP and ER-PIN.

The REDD Readiness Program under the FCPF is expected to contribute to pillars 1 and 3 of the 2007 Country Assistance Strategy, respectively: i) Private sector competitiveness; and ii) Good governance and civic responsibility. While one of Ghana's priorities is to deliver significant emission reductions under its Intended Nationally Determined Contribution (INDC) through private sector investment and engagement, there are uncertainties to what extent REDD+ can play a role in this. Several stakeholders pointed out that the messaging used in the REDD+ program to date is said to have created unrealistic expectations by conflating farms, trees, carbon and money without yet delivering returns and other tangible benefits. Private sector actors saw potential for REDD+ to drive transformational changes and were following REDD+ closely, but were concerned about initial investment risks and being able to implement changes in practices on a profitable scale.

There was broad consensus among stakeholders that the FCPF has contributed significantly by responding to Ghana's strategic national priorities and interests. Firstly, Ghana's R-PP identified the extent and causes of deforestation in Ghana over the past century. Ghana's ER-PIN responded to those drivers by involving the very actors that have been historically responsible for deforestation, and bring them on board within the REDD+ process. Ghana's ER-PIN presents a programmatic approach to reducing emissions from deforestation by linking it to the Forest Investment Program (FIP), which provides additional resources to leverage for the ERP implementation and takes the program to scale.

According to the ER-PIN and early Forest Reference Emission Level (FREL) estimates, Ghana's FREL over the next 20 years (2016-2036) applies the deforestation rate over a 10-year period (2000-2010). The preliminary FREL estimates that Ghana's anticipated emission reductions up to 2036 could be around 255 MtCO<sub>2e</sub>, which demonstrates significance.

As an additional point on the strategic alignment of the FCPF, discussions with stakeholders working in the agriculture sector to prioritize the need for climate change adaptation over mitigation with specific reference to the issue of food security. However, to date the FCPF has not considered adaptation within its framework, and this could be a point to further explore in light of Article 5 of the Paris Agreement.

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

According to Ghana's Third Grant Agreement for Ghana's Readiness Preparation Proposal Readiness Fund of the FCPF (Grant No. TF018292), Ghana received USD 200,000 in 2009, for formulating its R-PP. A REDD Readiness preparation installment of USD 3.4 million was received in 2011. In 2014, the Participants Committee allocated Ghana USD 5 million to further continue its REDD Readiness, known as the additional grant, at the same time as approving an additional USD 200,000 for the design of Ghana's Grievance Redress Mechanism (GRM). In all, Ghana has been allocated USD 8.8 million under the FCPF to date.

According to the Government of Ghana, FCPF grant support (2010-2014, extended to 2017) was provided for the National REDD Secretariat (hosted by the Climate Change Unit of the Forestry Commission), for the coordination of Ghana's REDD+ process under the guidance of National REDD+ Working Group and its sub-working groups. FCPF grant support was used to help fill the R-PP implementation funding gap between the contributions of the Gordon & Betty Moore Foundation, the 2011-2013 JICA Forest Preservation Programme (FPP), and commitments in cash and kind by the Government of Ghana also noting that other proposals for donor support (e.g. Swiss SECO) failed to yield funding for REDD+ in Ghana.

That said, questions from a diverse range of stakeholders during the field visit arose over the utility, quality and completeness of some FCPF-funded consultancies, notably: (a) the National REDD+ Strategy, which was largely considered as falling short of Ghanaian stakeholder expectations; and

(b) the establishment of, and the testing and training on the Standard Operating Procedures (SOPs) for REL/FREL/FRL<sup>1</sup>, which are seen by Ghanaian stakeholders as useful but not complete. According to the Government of Ghana, there are some lessons from Ghana's FREL development which on one hand illustrate that there were divergences in expectations with respect to the Terms of Reference (ToR). There was an expectation from the Government of Ghana that a FREL would be produced, and while a preliminary FREL was presented, there is a need to revise the FREL in the future to meet the needs of other REDD+ programs in Ghana (e.g. the FIP). This task has been contracted to a consultant and is expected to be ready by the end of 2016. The lesson that the Government of Ghana can share is that the ToR for the FREL need to be clear and precise, as well as relevant to future REDD+ programs. In addition, expectations need to be carefully managed and realistic.

FCPF grant support was used to develop country level communications, consultations and an outreach strategy that was guided by the R-PP, but implemented flexibly in line with a purpose-designed program (e.g. there was a media workshop leading to the launch of a REDD+ Roadshow with a gender component). The program involved strong investment in public communication, outreach and engagement with celebrities and high-level actors, and stakeholders expressed satisfaction with the results while acknowledging the need for continued and repeated efforts and the monitoring of impacts.

Progress on the objectives of the R-PP (page 96) were validated during the field visit:

- (a) *Use of satellite remote sensing data for the monitoring system, providing annual to biannual estimates of deforestation, forestation and forest degradation at the national and regional scales. **Done.***
- (b) *Reporting component that will synthesize the outcome of the monitoring system and compare against the reference scenario to provide annual accounting of deforestation, forestation and degradation emissions/removals for REDD+ reporting. **Done.***
- (c) *A system that will permanently and clearly document all procedures utilized in the monitoring and reporting components of the system, allowing complete transparency so as to be open for verification and peer review. **Done, in the form of SOPs, but more training is required for these to be useful.***
- (d) *An evaluation of tradeoffs for various options for monitoring, including tradeoffs between specificity (e.g., resolution of satellite data, time period, satellite data availability) relative to the approaches used for setting reference levels, current human and technical capacity, availability and resolution of data sources for carbon stocks/emission models and overall cost. **Not done.***
- (e) *Consideration of accuracy and uncertainties of both the deforestation, forestation and forest degradation products with the associated accuracy and uncertainties in carbon stocks and emission models with an understanding of the propagation of errors/uncertainties. **Done.***
- (f) *Recommendations on expected standards and methodologies for mapping rates of deforestation, forest degradation, and [re-af] forestation. **Done** although there are issues with satellite imagery (e.g. that detecting deforestation is easy but degradation is hard, there are changing definitions of open and closed forests, shifting patterns of land use, and difficulties in detecting differences between natural forest and plantations of rubber and cocoa under trees).*
- (g) *Recommendations on design and function of software toolkits for monitoring, reporting and verification of annual rates of deforestation and forest degradation. **Done** (first reporting completed).*
- (h) *A plan for documenting methodologies and procedures used for annual deforestation and forest degradation mapping and reporting. **Unclear** (the benchmark map under the Forest Preservation program leaves many issues to be resolved).*
- (i) *A methodology and strategy for accuracy assessment of satellite imagery derived estimates of annual deforestation and forest degradation. **Done.***

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<sup>1</sup> no consistency in usage among informants

*An assessment of opportunities for new satellite based methodologies for improved monitoring, reporting and verification of annual deforestation, forestation and forest degradation at the national to regional scales. Unclear.* There are issues with satellite imagery (see (f)).

According to the Government of Ghana, REDD+ and sustainable forest management is very important to Ghana's contribution to the mitigation of global GHGs.

Government stakeholders unanimously commented that the FCPF process prepared them for the submission for their INDC submitted to the UNFCCC for presentation at the 21<sup>st</sup> Conference of Parties (COP21). Ghana's INDC contains 5 activities in relation to the Agriculture, Forestry and Other Land Use Sector (AFOLU). Specific reference is given to the FCPF in Ghana's INDC as follows:

***AFOLU sector projections - BAU and emission scenarios were estimated based on IPCC AFOLU accounting rules using COMAP tool and the Forest Carbon Partnership Facility (FCPF) methodological framework***

In addition to providing the methodological framework for the INDC, Government stakeholders pointed to additional areas in which the FCPF has contributed and supported Ghana in preparing to undertake REDD+. These include:

- Enhanced capacity and resources
- Enhanced and strengthened inter-agency collaboration. The FCPF elevated and formalized interagency collaboration making the INDC process more effective and efficient;
- Enhanced awareness raising;
- Access to data.

According to the Government of Ghana, weaknesses in FCPF support include the lack of flexibility and willingness to adapt to changing circumstances (e.g. on the need for registries, the need for the roadmap to evolve) in the context of an evolving international agreement on REDD+, and the forthcoming programs that the FCPF is expected to link in with (e.g. the FIP). Strengths in FCPF support include strong country ownership of products and processes, and that the process has created a transformative change in the level of understanding and cooperation and built significant in-country capacity. The FCPF added to existing Forestry Commission resources to help elevate and formalize interagency collaboration.

The FCPF has catalyzed transformational change in the collaboration and institutions it has attracted into the REDD+ national discussion process. As a consequence of attracting and securing some of the country's most influential organizations, such as the GCB, National House of Chiefs, and private companies such as Olam and Touton, REDD+ has achieved high levels of political support, commitment and endorsement. This is reflected in Ghana's pace of implementation particularly during 2013 and 2014, in its R-package, as well as the broad support and commitment the FCPF has across a broad range of stakeholders.

#### **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+?**

According to the Government of Ghana, the tools developed by the FCPF have been very helpful in Ghana's preparation for undertaking REDD+. The tools have been flexible enough to allow for innovation.

Ghana used the following FCPF tools:

- The **Readiness Assessment Framework** and its progress reports prepared by the CCU, provided and made the Mid-Term Review preparation process efficient. The tool gave the process structure and boundaries, and the focal points were not required to waste time thinking about what they should write and how they should write it.
- **Progress reports** (2013 revised format aligned with M&E Framework) use of the traffic light indicators were easy to use for monitoring progress.

- The **R-PP template** was an important tool used early on. It gave the presentation and approach of Ghana's REDD Readiness program a structure, at the same time, it made the approach consistent across the portfolio, and clearly defined the REDD+ elements and components.
- The **ER-PIN Template**. Preparation of the ER-PIN was largely country-driven, but support from the World Bank was appreciated in the form of the format, technical explanation, and feedback during a two-week commenting period (deemed an adequate duration).

Other stakeholder comments mentioned that generally, the FCPF templates were challenging compared with doing simple production statistics, but the FCPF templates drove users to think in new ways (e.g. on the need for detailed information focused on real farm livelihoods).

With respect to the **Reference Emission Level (REL) toolkits**, the REL toolkits were provided in early 2015, too late to resolve difficulties that have arisen over the use of SOPs for REL determination. As a result, the Government of Ghana have contracted a company to develop their REL further, which is expected to be completed over a **1-year** period, and will use the FCPF REL toolkit.

Stakeholders involved in the Strategic Environmental and Social Assessment (SESA) benefited from FCPF-supported consultative and participatory networking. The SESA for REDD+ is in line with existing Ghanaian Strategic EIA (SEIA) guidelines, although there were questions about whether the SESA complied fully with all requirements on thematic governance, economic, environmental and social issues, and the pace and scope of consultation.

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

The Government of Ghana noted that the FLEGT-VPA, National REDD+ Working Group and FIP processes have all encouraged and enabled multi-sectoral engagement that is now seen as 'the new norm' in Ghana (in line with the 1992 Constitution). The FLEGT-VPA process provided important lessons for the FCPF stakeholder engagement in Ghana, and these lessons were referred to in the Annex of Ghana's R-PP.

Following from this, the FCPF has continued to build on these foundations and lessons. Ghana's approach to REDD+ has placed an emphasis on consultation and participation from the beginning, allocating a sizeable portion of its FCPF budget for activities such as communications and outreach, and stakeholder consultations and participation at national and local levels. Stakeholder engagement has taken the form of roadshows, forums, joint working groups, local level consultations with various groups (e.g. farmers), one-on-one interviews with key experts, the REDD website, and dialogues across ministries and between the public and private sectors.

According to the Government of Ghana, stakeholder engagement was at the heart of Ghana's R-PP process and subsequent REDD+ implementation efforts. In the R-PP, it stated that "the process of developing the REDD Readiness Plan will include the development of a Consultation and Participation Plan for the future REDD Implementation process". The R-PP proposed principles for consultation and participation, and presented methodologies on how information and communication with stakeholders would occur. The goal of the stakeholder consultation and participation process in Ghana was to "achieve collective ownership of the process to develop REDD strategies". Consultations during the field visit concur that the stakeholder engagement under the FCPF process has been extensive, and mostly consistent with the principles prescribed in Ghana's R-PP.

Traditional rulers insisted that they have had a high degree of authority over land use and must therefore be involved in all relevant decisions. The chiefs represent their local people's interests, and are very powerful in that context, as they determine what can take place on the land. One of the Chiefs felt that the World Bank did not follow the protocol of engagement, which would see the World Bank and the Government meet the National House of Chiefs first and get their consent and plan their participation and consultation process with them. However when this remark was validated, it

was apparent that the Chief was referring to a different World Bank program (the DGM under FIP), and not the FCPF process. According to the Government of Ghana, the Government of Ghana, it has gone to great lengths to respect the local rule of the land and the National House of Chiefs are part of the National REDD+ Working Group. In addition, they are also represented on the sub-working group for Consultation and Participation that facilitates outreach events under the FCPF. Finally, the GCB is currently involving the National House of Chiefs as advocates.

With respect to Ghana's Emissions Reductions Program, the Cocoa Platform was created in 2013 as a partnership with the UNDP, the Cocoa Board and 81 stakeholders in the cocoa supply chain, with committees covering environmental, social, and financial and technical (including surface mining) matters, and the aim of influencing policy through broad engagement. The Cocoa Platform is now a semi-autonomous entity under the Cocoa Board, and with FCPF support, participates in (and/or helped originate) the relationship between the Cocoa Board and the Forestry Commission (e.g. via a Cocoa Forum meeting in Istanbul).

To conclude, the FCPF gave Ghana the support it needed to build and maintain an extensive, broad and participatory consultation process on REDD+. As a result, new processes, institutional arrangements and partnerships have culminated, and a strong degree of national ownership of the REDD+ process is evident.

## **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?**

Ghana's emphasis on addressing the commodity based drivers of deforestation, specifically cocoa plantations, has resulted in a number of new and strengthened multi-sectoral institutional arrangements and national dialogues. The most important and new institutional arrangement made was between the Ghana Cocoa Board (GCB), which is under the Ministry of Finance, and the GFC and has culminated in open lines of communication and joint committee and drafting groups. Traditionally, the GCB would report to other sectors, such as Ministry of Trade and Industry, Ministry of Agriculture and the Ministry of Finance. The GCB's typical cross sector dialogues discussed issues such as global consumption and production trends, exchange rate movements and debt financing, before it commenced its participation in the FCPF. However, according to numerous stakeholders consulted, the FCPF resulted in a new institutional collaboration in Ghana culminating in an MoU between GCB and GFC. This institutional arrangement set the stage for the Carbon Fund Early Ideas, ER-PIN and subsequent documents for Ghana's participation in the Carbon Fund. The new institutional arrangement has resulted in dialogues and discussions on forest friendly cocoa and greening supply chains, as well as land tenure and biodiversity issues for small cocoa producers.

The FCPF has also, according to some stakeholders, resulted in a rather interesting institutional set up for the planning and implementation of the FCPF R-Package, Carbon Fund and the Forest Investment Program (FIP). The Ministry of Land and Natural Resources is responsible for forest policy setting, planning monitoring and supervision of activities within the sector, while the Forestry Commission is the agency of state responsible for forest and wildlife management in Ghana. It is also tasked with coordination of the REDD+ process, including the formulation and implementation of Ghana's REDD+ strategy, working in close collaboration with relevant stakeholders.

The reason for this arrangement originates from back in 2008 when Ghana developed its REDD Readiness Project Idea Note (R-PIN). In 2008, the FIP and the Carbon Fund were not in existence like the FCPF, and it was unclear to what extent, from whom, and how future support would be available for Ghana along its REDD+ journey. At the time, the Ghana Forestry Commission was identified as the agency of state with the requisite capacity to coordinate and facilitate the formulation of the R-PIN and subsequent FCPF documents.

As financing through the World Bank for REDD+ in Ghana has grown, so too has the interest from other Government bodies. The FCPF has remained under the GFC, while the complementary program FIP, which is actually of considerably larger financing (approximately USD 30 million), and

which has been largely based on supporting the implementation of the REDD+ strategy, has been placed under the Ministry of Land and Natural Resources.

This arrangement was seen as unusual by a few government stakeholders who cited that the REDD+ strategic process under the FCPF should be led at the Ministerial level, and that the FIP and other implementation arrangements of the REDD+ Strategy should be implemented through the oversight of the GFC. Another school of thought is that the focus at the Ministerial level should be the enactment of policy and legislation that is required for addressing pressing issues such as land and tree tenure which could jeopardize the success of REDD+ in Ghana, and support the GFC to continue in its role of coordinating REDD+ activities across the country.

The Government of Ghana felt that it has not been included in the FCPF process to the extent that it should be, (even though it is represented on the NRWG) citing that cocoa is not the only commodity-based driver of deforestation. There was an expectation in place, given the agro focus of the ER-PIN, that they would have a larger and more prominent role. However, they recognized that the MoU between the GFC and GCB was very important and would not have probably occurred if it was not for GFC leading the process.

The national dialogues that have resulted from the FCPF have been quite broad in stakeholder participation. During the time of the evaluation field mission, the team was able to witness a national high-level event: Ghana's National REDD+ Forum, which was attended by politicians, chiefs, representatives from many different ministries, CSOs, NGOs, Research Institutes and the private sector. In all, there were hundreds of participants in the National REDD+ Forum organized by the Ghana Forestry Commission. As discussed under point 5, a considerable amount of FCPF finance for Ghana has been directed into national dialogues, and as a result, there has been a broad and growing awareness and support for REDD+ in Ghana.

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

Ghanaian stakeholders were confident that they were one of the more advanced countries of the FCPF portfolio, with others looking to Ghana for examples on how to design an ERP and organize high-level support for it (which in Ghana was seen as being at least as necessary as grassroots understanding).

There were specific examples of Global level knowledge sharing promoted by the FCPF for which Ghana has either shared its knowledge, or participated in an event that facilitates knowledge sharing (see Table 1 below).

**Table 1 Global and Regional Level Knowledge Sharing Promoted by FCPF – Participation by Ghana**

Date	Country	Title of Workshop	Participation by Ghana
Oct 2012	Germany	Satellite data and monitoring systems for REDD+	TerraSarX – the German Tandem – insights from a PPP in Ghana, presentation by GCF
Nov 2011	USA	FCPF/Winrock Technical Workshop on National Reference Levels for REDD	Ghana – a country update on national reference level, presentation by GCF and CERSGIS
April/May 2013	Ethiopia	Linking Local REDD+ Projects to National REDD+ Strategies in Africa	4 participants from Ghana
July 2015	Mozambique	International Workshop on Jurisdictional Integrated Landscape Management Programs	Presentation of Ghana's Cocoa-Forest Mosaic Landscape REDD+ Programme by GFC

April 2012	Tanzania	Pan Africa dialogue with Indigenous Peoples	1 Participant from Ghana
Dec 2012	Kenya	SESA workshop (Africa)	7 Participants from Ghana
Oct 2015	Kenya/Ghana	South-South Cooperation Kenya-Ghana Knowledge Exchange	Ghana hosted a field trip to the Cocoa ecoregion (UNREDD/WB)

Source: Forest Carbon Partnership Facility

At the National level, there have been numerous activities and tailored capacity building that facilitated knowledge sharing among stakeholders at the country level. Some of the events are listed below:

- The FCPF-supported REDD+ Secretariat hosted training events (e.g. in Sep 2015 between the Cocoa Board and Forestry Commission staff).
- June 2014 MRV System Development Ghana - Roundtable discussion on Tier 2 calculation tools/databases (More than 20 persons attended the training)

The communication process has been implemented through information sharing in stakeholder consultations, participation and engagement through workshops, seminars and focus group discussions.

- As part of the communication efforts, the IUCN, a key partner in the Ghana REDD+ process, has developed information, communication and education materials on various aspects of REDD+ and distributed them to stakeholders. The IUCN has also created a platform that discusses pertinent REDD+ related issues including pro-poor and gender dimensions of the initiative.
- Communication material (REDD+ brochures and posters) have been prepared and circulated to all stakeholders by the GFC.
- Civil society platforms such as Forest Forums at national, regional and local levels, as existing structures for consultation that have been used for the dissemination of REDD+ information to grassroots forest communities and other stakeholders.
- The Climate Change Unit within the Forestry Commission developed a REDD+ web page on the organization's website to facilitate information dissemination on REDD+ activities.

In addition, according to Ghana's Progress Report for October 2013, the following activities have supported national level information sharing:

- Database for REDD+ actors updated for the purpose of networking and capacity building. Draft communication strategy under review.
- The REDD+ web page of the FC website regularly updated
- The Publication of the "REDD Digest" by the CCU and REDD+ related articles in the Forestry Commission's quarterly newsletter.

To conclude, the FCPF has provided significant resources for global and regional information sharing and Ghana has participated actively in these events. The South-South cooperation with Ethiopia, which had the participation from a member of the GCB, led to the GCB's increasingly important role in REDD+, FIP and the ERP in Ghana. The communication strategy has played a critical role in information sharing at the national level, and many stakeholders supported the process by writing briefs, updating their websites and attending meetings to share information with respect to the FCPF processes.



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

The first evaluation of the FCPF resulted in 22 recommendations (see Baastel 2011), not all of which were adopted and some recommendations were not relevant to Ghana. However, for the recommendations that were relevant and adopted, and for which evidence exists, the extent to which the FCPF has responded to the recommendations of the first evaluation is listed in the table below, alongside the relevant recommendation.

**Table 2 Examples of Response to Recommendations from the first Evaluation in Ghana**

Recommendations from the first evaluation	Examples of FCPF response to recommendations from the first evaluation in Ghana
Decentralize FMT staff; provide more in- country support.	Strong progress in Ghana during 2014-2015 was attributed to an effective World Bank task team leader who has a good relationship with committed government stakeholders. However, there was no “evidence” that there has been a decentralization of FMT staff. Stakeholders agreed that the TTL has provided significant in-country support.
Actively support learning and reflection around the Strategic Environmental and Social Assessment (SESA) process.	Regional information-sharing on SESA was attended by seven Ghanaian participants in 2012 (Kenya). In addition, the Participant Committee meetings have also provided an additional forum for learning about SESA processes since 2011. At the national level, those Ghanaian stakeholders involved in the SESA benefited from FCPF-supported consultative and participatory networking, and the SESA process has been in line with existing Ghanaian Strategic EIA (SEIA) guidelines.
Scale up technical and financial support to regional measures designed to foster South-South exchange and learning.	The FCPF has supported global and regional level dialogue and has provided opportunities for South-South knowledge exchange in cooperation with e.g. UN-REDD (see Table 1 above for which Ghana attended Ethiopia S-S Exchange, and hosted Kenyan UNREDD learning).
Move away from ‘flat rate’ commitments to Preparation and Readiness Grants to a system that provides differentially sized grants based on agreed, transparent, and universal criteria. Provide increased flexibility with respect to specific budget allocations under the Readiness grant.	Ghana has received additional finance.
While pursuing efforts to streamline the process of approval and disbursement of funds, continue to foster greater coordination with bilateral and multilateral partners at the country level.	The Readiness preparation grant for 2010-2014 was approved in 2010 but implementation started only in 2012. An extension was approved in 2015 for funding to 2017. The Forestry Commission considers that both it and the FCPF are jointly responsible for any delays. Multiple applications for funding to other donors (UN-REDD, Swiss SECO) have not yielded any positive results yet.
Strengthen move towards greater alignment and harmonization of FCPF funds with other multilateral and bilateral sources.	Ghana’s REDD+ process was highly harmonized and aligned with the World Bank country strategy and other finance such as the FIP. See above with respect to bilateral sources, i.e. Ghana would like additional bilateral support but has not attained it to date.
Develop and implement a communication and outreach strategy to disseminate and package FCPF outcomes more	Ghana developed a country level communications, consultation and outreach strategy. It was guided by the R-PP but implemented creatively and flexibly in line with a purpose-designed program (e.g. there was a media workshop leading to the launch of a REDD+

<p>widely at country level, within the World Bank and to external audiences.</p>	<p>Roadshow with a gender component). Ghana was unusual because of the amount of funds committed to public communications, and Ghanaian stakeholders expressed satisfaction with the results while acknowledging the need for continued and repeated efforts and the monitoring of impacts. The Ghana strategy has been notable for the involvement of celebrities and for the high-level engagement achieved.</p> <p>At the local level, Zonal meetings have been organized on REDD+ to consult segmented stakeholders and, where the Secretariat lacked capacity, it had involved capable CBOs who facilitated the engagement on REDD+ particularly at the local community level (see REDD+ Communication Strategy 2013). In addition, local communities are represented by their chiefs, who speak on behalf on the local communities they represent.</p>
<p>Consider, in close coordination with other REDD-related funding mechanisms, measures to strengthen participation of responsible private- sector players in REDD+ processes.</p>	<p>The FCPF was instrumental in supporting Ghana's strengthened participation of responsible private sector entities. The ERP under the Carbon Fund and the FIP are examples of such instruments, and the FCPF work has been closely coordinated with these efforts.</p>

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

The FCPF has contributed to supporting an unprecedented and irreversible process of institutional collaboration, particularly involving the lead agencies in the cocoa sector (giving credibility to the shade cocoa strand of the ERP) and the forestry and wildlife sectors (giving credibility to knowledge of carbon stocks and fluxes and hence the underpinnings of potential REDD+ transactions, and also to community jurisdiction-based resource management systems known as CREMAs, several of which are now on a sound financial footing due partly to the efforts of FCPF collaborators).

With respect to Ghana's ERP, several actors from the private sector have now been engaged and are committed to building forest-friendly supply chains with respect to commodities such as cocoa, historically a driver of deforestation in Ghana. According to the private sector, efforts to reform practices have been spurred by the New York Declaration on Forests that lists the names of Governments, NGOs and Companies which have committed to halting deforestation by 2030. The private sector was eager to get further involved in Ghana, but wanted investments in zero deforestation/forest-friendly commodities supported through innovative financial mechanisms that reduce the financial risk from their part. One private sector stakeholder suggested a matching grant mechanism, by which the FCPF could provide a grant to the Government of Ghana, who would use such a grant to support consultations and outreach, and the private sector would match this grant enabling a faster scale up and using its finance for capital costs. This point should be further explored in subsequent interviews and field visits.

**10. How efficiently and effectively have the FCPF superstructure groups performed the roles expected of them?**

Strong progress of FCPF in Ghana in 2014-2015 were attributed to an excellent World Bank task team leader and strong support provided by the FMT combined with a strong and effective Ghanaian team, yielding a relationship based on mutual respect.

There were early problems in Ghana's FCPF path that included timelines that were missed due to procurement and disbursement delays by both World Bank and Governmental of Ghana (Ministry of Finance, Forestry Commission) stakeholders. This would indicate that there are aspects of inefficiency within the procurement process.

As a consequence of less efficiency during what some stakeholders term a learning process, the weight of Ghana's progress was weighted towards the end of its Readiness grant. The Independent Mid-term Evaluation of REDD Readiness in Ghana (see Ghaham 2014) sums it up well, and is consistent with the field visit findings:

*While excellent progress was made early on in setting up national REDD+ management arrangements and producing a strong Readiness Preparedness Proposal (R-PP), Ghana's progress in REDD Readiness is heavily weighted to the end of the FCPF grant period. The expected logical progression from readiness phase to implementation or demonstration phase has become a situation of significant overlap, which is creating some confusion and occasionally requiring some presumption of the outcomes of the readiness phase. Administrative delays in 2013 have resulted in critical consultation processes being left to near the end of the grant term, increasing the risk of further delays and necessary stakeholder engagement. In recognition of this situation, the REDD+ Secretariat has engaged in extensive consultations with relevant actors, focusing initially on further progressing the various consultancies.*

Ghana's participation in the Carbon Fund took two years to culminate in a resolution to enter it into the Carbon Fund pipeline. Ghana presented its Early Idea in March 2012. By April 2014, Ghana presented its ER-PIN to the Carbon Fund Meeting and Resolution 3 of the meeting resulted in Ghana's adoption into the Carbon Fund pipeline. The timeline was quite long given the strong capacity within Ghana's Government, however it is important to note that Ghana was also implementing its R-Package during those two years. Therefore, the Government was largely focused on that process in addition to the challenges outlined above (e.g. administrative delays in 2013). The Carbon Fund meetings have been quite frequent, some three times a year, and therefore have created a fairly efficient process for arriving at decisions for inclusion.

### **Notes on Divergences and Convergences of Stakeholder Opinion**

There were differences of opinion among stakeholders and within and between institutions about whose financial, intellectual and other investments that led to opportunities across the whole REDD+ landscape. The overall impression, however, was of multiple partners collaborating strongly, if opportunistically, across the REDD+ landscape in 2012-2014 and to date.

Divergent strategic objectives. Stakeholders seemed to diverge in their strategic objectives, between:

- obtaining emission reduction benefits, and (secondarily) various co-benefits; and
- obtaining sustainable livelihoods, biodiversity and ecological service benefits, and (secondarily) emission reductions as co-benefits.

Divergent strategic approaches. A corresponding divergence of approach was noticed in how to obtain these objectives, among:

- broadly in line with the interests of the Cocoa Board and informed by global mitigation concepts, a focus on increasing carbon storage and sustainable cocoa production in cocoa landscapes by incentivizing the use of cocoa as an understory crop beneath shade ('economic' and 'timber') trees and the deployment of various inputs (e.g. improved seedlings, agrochemicals);
- broadly in line with the interests of the Ministry of Food and Agriculture and the Cocoa Board, and informed by global adaptation and joint mitigation/adaptation concepts, a focus on enhancing food security and climate change adaptation by providing support in areas such as weather information, early warning systems and crop insurance for farmers, crop and livestock diversification using adapted crop varieties and non-traditional species (e.g. bees, grass cutters, giant snails), and simple technologies for soil and water conservation and harvesting (while also noting a mitigation weakness in FCPF's focus on above-ground rather than soil carbon); and
- broadly in line with the interests of the Forestry Commission and House of Chiefs, and informed by successes in community-based renewable natural resource management in other African

countries (e.g. Botswana, Cameroon, Ethiopia, Namibia, Uganda, Tanzania, Zambia, and Zimbabwe). A focus on the CREMA strategy, in which landscapes were defined by social boundaries within which there was social cohesion and a basis for collective action, matched where possible to ecological boundaries, legally defined and authorized through devolved powers to manage all local natural resources in the interests of CREMA members, with revenues obtained and shared locally from their sustainable use (e.g. the harvest and sale of non-timber forest products such as oils and other seed extracts from *Allanblackia*, *Vitellaria* and *Griffonia* spp., ecotourism, and potential revenue streams from PES schemes - including water catchment, biodiversity and carbon storage functions).

## **Conclusions**

Ghana has historically suffered from deforestation driven by unsustainable timber extraction and demand for land to grow agro-commodities such as cocoa. The political will and external investment required to transform needed behavior is significant, and it is not clear whether these will materialize for Ghana. However, there are indications that there is a need to transform behaviors within the private sector and GCB to ensure and sustain the productivity of cocoa in Ghana. Ghana's readiness process catalyzed a vibrant and new cross-sectoral multi-stakeholder dialogue, which managed to bring together some major stakeholders for the first time. Ghana, as a pilot FIP country, has been able to demonstrate the benefits of applying a programmatic approach at the landscape level. The FIP is complementary to Ghana's ERP and provided an example to newcomer FIP countries on how to strategically align the FIP finance with the FCPF priorities and program. Ghana demonstrates that the FIP is an important part of the puzzle. Ghana's progress in the FCPF is considered as advanced, and it is expected to be one of the first tranche of countries to deliver an R-package.

The following highlights were confirmed by the field visit:

- There was a moderately strong match between Ghana's and the FCPF's mitigation and economic development priorities. At least half of the stakeholders interviewed felt that adaptation needs to be considered with mitigation measures to ensure sustainability, and according to some stakeholders, adaptation is a higher priority than mitigation in Ghana. Some traditional rulers expect REDD+ to cause contradictions in priorities for local land issues. The example given was that some traditional rulers are highly in favour of shade cocoa, while others place quick gains before long-term environmental (and monetary) benefits.
- FCPF readiness grant support was used effectively in promoting collaboration between the Forestry Commission (Ministry of Lands, Forestry and Mines) and the Cocoa Board (Ministry of Finance), in involving a large number of diverse and multi-sectoral stakeholders in various processes, working groups, forums and platforms, in public communication activities, and in meeting most (i.e. at least six) of the ten technical objectives of the R-PP, with at least some progress on three others (but there are questions over some of the FCPF-funded consultancies, the involvement of the National House of Chiefs and the Ministry of Food and Agriculture, and the role of the private sector in meeting INDC commitments).
- FCPF support contributed to strong country ownership of products and processes, a transformative change in the level of understanding and cooperation, and the building of significant in-country capacity for REDD+, thus having a potentially high degree of impact and sustainability, but weaknesses include a lack of flexibility in light of changing circumstances across the REDD+ landscape.
- The various FCPF instruments and formats were generally valued by Ghanaian stakeholders in providing structure and consistency, and opportunities for networking and learning.
- There were signs that the efficiency and effectiveness of the Ghana-FCPF partnership has increased over time, but there was no evidence that previous FCPF evaluations had had any specific impact in Ghana. The strong progress in Ghana is attributable largely to country commitment combined with the deployment of an effective World Bank task team leader, rather than to any systematic action by the FCPF superstructure institutions.

The following themes arose where Ghanaian stakeholders expressed the need for additional work and/or a change in FCPF priorities:

- Dialogue with private companies about their need to meet expectations in the global market for radically-enhanced climate-friendly supply chains.
- Dialogue and exchange visits between Ghana and other countries (which are known to include Costa Rica) where systems for managing PES schemes have already been established and are operating effectively after a long period of trial and error.
- Inclusion of the Ministry of Food and Agriculture in dialogue to help define a comprehensive joint mitigation and adaptation strategy for Ghana.
- Dialogue with traditional rulers and CREMA authorities to explore options to enhance integration of PES and REDD+ revenue streams within CREMA landscape-level arrangements, including sustainable and shade cocoa where appropriate.
- Further policy work on incentives for tree planting and maintenance within shade cocoa landscapes and on practical ways for REDD+ benefits to be delivered to farmers and land-owners.
- Inclusion of soil carbon alongside above-ground carbon in technical assessment and monitoring arrangements in the context of contributing to REDD+ and food security.

## List of National Stakeholders Consulted in Ghana

MDB = Multilateral Development Bank, G = Government, CSO = Civil Society Organisation, IP = Indigenous peoples/ local peoples' representation, PS = Private Sector.

Date	Code	Consultation
5 Nov 2015	MDB-1	+12:30-13:30 Martin Fodor, Task Team Leader (Ghana 2012-, Uganda 2008-2012), World Bank
	MDB-2	+12:00-13:00 Neeta Hooda, Facility Management Team, World Bank
6 Nov 2015	G-1	+14:00 Yaw Kawkye, Head of Climate Change Unit, Ghana Forestry Commission
16 Nov 2015	G-1	+9:00-11:00 Yaw Kawkye, Head of Climate Change Unit, Ghana Forestry Commission
	G-2	+14:00-15:30 Eric Bani, Deputy Director (M&E) Ghana Cocoa Platform, Ghana Cocoa Health and Extension
17 Nov 2015	G-3	+9:00-10:30 Dr Andrew Kyei Agyare, Operations Manager, Wildlife Division, Forestry Commission
	G-4	+9:00-10:30 Theresa Adjaaye, Wildlife Division, Forestry Commission
	CSO-1	+10:30-11:45 Christian Mensah, Manager, West Africa Sustainable Landscapes, Rainforest Alliance
	G-5	+14:00-15:00 Daniel xxx, Environmental Protection Agency
	CSO-2	+15:30 Saadia B. Owusu-Amofah, REDD Project Officer, IUCN
18 Nov 2015	G-6	+10:00-11:30 E.Tei Quartey, Director (Research, Monitoring and Evaluation) Ghana Cocoa Board
	G-7	+10:00-11:00 Eric Dickson Amengor, Deputy Research Manager, Ghana Cocoa Board
	G-8	+10:00-11:30 Senna Tabbicca, Senior Research Officer, Ghana Cocoa Board
	G-9	+10:00-11:30 Emelia Crentsil, Research Officer, Ghana Cocoa Board
	IP-1	+11:45-12:45 Chief Nana Frimpong Anokye, National House of Chiefs
	PS-1	+16:00-17:00 Charles Tellier, Sustainable Sourcing, Touton Ghana Manager, Touton
	PS-2	+16:00-17:00 Ernest Dwamena, Cocoa Sustainable Sourcing Manager Ghana, Touton
19 Nov 2015	G-10	+ 10:00-11:30 Valerie Fumey Nassah, Manager Plantations (Coordinator FIP), Resource Management Support Center (RMSC)
	G-11	+ Kofi Affum-Baffoe, Manager, Forest Inventories and National Forest Production, Resource Management Support Center (RMSC)
	G-12	+11:30-12:00 Yakubu Mohammed, Manager, GIS Mapping, Resource Management Support Center (RMSC)
	G-13	+11:30-12:00 Asep Asare, GIS Mapping, Resource Management Support Center (RMSC)
	G-14	+14:30-16:00 Dr Daniel A Ofori, Director, Forestry Research Institute of Ghana (FORIG)

	G-15	+14:30-16:00 Dr. Mrs Gloria Djaney Djagbletey, Senior Research Scientist, Forestry Research Institute of Ghana (FORIG)
20 Nov 2015	G-16	+14:00-16:00 Dr G.J. Anim-Kwapong, Executive Director, Cocoa Research Institute of Ghana (CRIG). Included plantation visit to shade cocoa plantations demonstration site.
	CSO-3	+11:00-12:00 John Mason, Nature Conservation Research Centre
23 Nov 2015		+10:00 Yaw Kwakye, Climate Change Unit, Ghana Forestry Commission CANCELLED due to conflicting meeting with the World Bank. Moved to Tuesday.
	G-17	+14:00-15:00 Dr Kingsley Amoako, Ministry of Agriculture
	G-18	+14:00-15:00 Kingsley K Agyemang, Crop Services Directorate
	G-19	+14:00-15:00 Nathaneal Nii-Odai Laryea, Crop Services Directorate
24 Nov 2015	G-18	+10:00-11:30 Mr Abu-Juam Musah, Ministry of Lands and Natural Resources
	G-1	+18:00 -20:00 Debriefing session with the Ghana Forestry Commission, Yaw Kwakye
25 Nov 2015	n.a.	+9:00-14:00 Ghana National REDD+ Forum
	CSO-4	+9:30-9:45 hersa Maa Ohui Ayiku, Creation Care Officer, Arocha Ghana
	CSO-5	+13:45-14:00 Nicholas Jengre, Solidaridad

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	1: G-1
	Informants recommended by Contact Point.	1-2	2: G3,G4
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	FORIG
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	Winrock, PWC
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, shade cocoa).	1	2: PS 1-2
	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	2: CSO 1, CSO 2
	Indigenous/local-people-oriented development charities (international and/or local).	1-2	1: IP-1
	Sub-national (local/regional) development institutions/forums.	1-2	G-15, G16
Targets within donor agencies with programs active in the LULUCF sector.	FCPF Delivery Partner (Tier 2 and Tier 3 targets).	1	1: WB1
	Others recommended by FCPF Delivery Partner, FMT, etc.	2-3	CSO-3
Targets among other knowledge holders (resident/long-term consultants, politicians, etc.)	Targets of opportunity, interest and recommendation.	2-3	G 6-9
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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## **Second Evaluation of the Forest Carbon Partnership Facility (FCPF)**

### **Field Visit Report**

#### **Madagascar – Balancing Forests and Livelihoods**

**Authors: Majella Clarke, Tim Healy, and Linjo Johnarson**

### **Evaluation Objectives**

The aim of this report is to present field visit findings from the field visit to Madagascar, which will be presented as an annex to the final report of the second evaluation of the FCPF. The specific objectives of the second FCPF evaluation are to:

1. Ascertain the results (outcomes and early impacts, intended and unintended) and lessons learned from the program.
2. 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 IEG3.
3. Provide findings, conclusions and recommendations with focus on the following:
  - 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;
  - the FCPF's position in relation to other REDD+ initiatives (for example the Forest Investment Programme, UN-REDD Programme and Global Environment Facility), and the role and contribution of the FCPF at the country level and within the global REDD+ architecture;
  - 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;
  - FCPF actions taken for knowledge sharing at country, regional and global level for all aspects related to the readiness process.

The evaluation covers the FCPF's engagement with Madagascar between July 2011 and December 2014, and includes ongoing and completed activities. The evaluation team uses three of the five OECD/DAC Standard Evaluation Criteria of: relevance, effectiveness, and efficiency. The FCPF has now matured to a point where its relevance, effectiveness, efficiency and sustainability can be examined using evidence and examples. Thus, the scope of the evaluation includes progress made by the FCPF in directing resources to the activities that are most likely to contribute to REDD-plus in the future, and some lessons for future REDD-plus regimes.

At the country level, the evaluation assesses the formulation of Readiness Preparation Proposals (R-PPs) and the country context of the R-PPs (though not the R-PPs themselves), which include the structure, functions and processes of each country's forest-relevant system, the existing capacity and resources to formulate the R-PP. The evaluation aims to determine how the global processes have affected country capacity on the one hand, and how the country has contributed to international norms and standards on the other hand.

## **Purpose of the Field Visit to Madagascar**

As part of this evaluation process and to inform the country level analysis described above, visits to five of the 47 REDD+ participant countries were made to allow the evaluation team to deepen its analysis and understanding of the key determinants of the program implementation history, the strengths and weaknesses of the FCPF with respect to the national and local circumstances and contexts. The country level evaluation looks into the limits to the readiness and Carbon Fund processes and possible ways for improvement/lessons learned. This also involves an analysis of Country Participants' institutional capacity and risks to successful and timely implementation of the REDD-plus readiness process, and the identification of strengths and weaknesses of existing governance arrangements.

This country report deliberately does not generate in-country recommendations – rather it is meant to inform and enrich the evaluation findings, conclusions and recommendations of the overall evaluation report. To contribute to the ease of reading, and to enhance comparison and consistency to examine progress, this field report is closely aligned to the layout and methods applied in the field visit process to the first evaluation, see Baastel 2011.

## **Methodology for Field Visits**

The evaluation mission to Madagascar was implemented over an 8-day period, between 21<sup>st</sup> January and 28<sup>th</sup> January. It was conducted by three consultants:

- Ms Linjo Johnarson, Facilitator and Translator
- Ms Majella Clarke, Team Leader
- Mr Tim Healy, Natural Resources and Environment Consultant (Aquaterra)

A total of 30 persons were consulted and are presented in the stakeholder list attached to this report. Relevant reports from Madagascar were reviewed to identify key stakeholders before the country mission commenced. The program included flexible time allocations to be able to follow up with referred stakeholders and broaden the stakeholder input to the evaluation process. The 30 stakeholders consulted included government staff, donors, CSOs and International NGOs, private sector, research institutes, multilateral development bank, regulatory bodies and independent persons. A field trip was made to Andasibe Mantadia National Park and consultations with local charcoal sellers were conducted.

Before each consultation an interview protocol was applied in which a member of the evaluation team introduced members of the team and their objective of their consultation. The team member presented a brief overview of the FCPF and the scope of the assignment. The Chatham House rule was explained. When time allowed, a member of the team would conclude the consultation with a summary of the main points with the interviewee.

## **Report Structure**

The report structure follows the field visit report template presented in the inception report and is based on 10 questions deriving from the evaluation matrix. This report summarizes stakeholder comments for each question, noting synergies and divergences of opinion.

## **Highlights of Environmental, Institutional, Economic and Political Context**

### **Drivers of Deforestation and Forest Degradation (DD)**

According to the R-PP (2014) and ER-PIN (2014) for Madagascar, drivers of deforestation and degradation of forests are numerous, ranging from agricultural expansion to population growth. The general view of rural inhabitants is that forested areas act as a resource for additional income support and expansion of agricultural land. This process begins with the depletion of the timber and non-

timber forest products (NTFP) (e.g., grasses/leaves). Afterwards, the land is cleared further through slash-and-burn techniques (local term: “tavy”) and converted to use for intensive cropping or grazing. Clearance of forested areas in this manner is widespread and is the principal driver of deforestation in Madagascar, even on those lands owned by the State.

Although land tenure through the clearance of forestland is counter to formal laws, it is supported by customary laws through the right of clearance and the right of fire. Formal land tenure insecurity and limited enforcement further motivate the process of forest clearing; especially for commercial agriculture operators. Commercial interests would often rather expand into forests informally than develop already cleared land due to the relative ease of process compared to the formal tenure regime. Less than two decades ago, the formal land tenure system shifted from outright State ownership to increased private ownership rights. However, only 15 percent of rural land has been officially registered under private ownership during the time since that policy change. Transfer of rights takes considerable time and effort from the applicant. Overcoming the limited uptake has been challenging as a result of under resourcing of forest officers, deterioration of their authority, and colonial-era land use management practices. There have been efforts (e.g., National Land Tenure Program) within the last 10 years to address these challenges, but the results have been limited (e.g., 6 000 of 120 000 local land use plans have been approved by 2013). These limitations in governance often reflect the socio-political challenges that Madagascar has been facing since 2009. The R-PP and ER-PIN also note that limited education, high levels of poverty, and the high population growth rate are indirect drivers, making all other drivers more challenging to overcome.

Agricultural pressures are exacerbated by poor soil management on already cleared lands, which contrasts with the rich soils of forestlands. Clearing of forests from erosion-prone regions further increases the processes of severe erosion, nutrient depletion and land degradation. Official efforts to address declining yields and poor soil management have largely been centered on easily accessible areas. These are often far from those areas that are closest to the forest and more likely to exert pressure on forestlands. Adoption of improved land use management techniques is also challenging as a result of entrenched traditional methods and limited uptake of new ones. Grazing of livestock for agricultural purposes is also connected to depletion of the forest resource, with fires and lack of herd management resulting in the introduction of invasive species and disturbance of wildlife.

In addition to agricultural expansion, mining, logging, and fuelwood collection and production are also drivers of deforestation and forest degradation. Impacts from mining (notably artisanal mining in Protected Areas, though currently a minor activity, are expected to increase in the future. Currently they are mostly small mining operations, which have a larger degradation impact. Logging is closely associated with agricultural expansion, and often forms an income source additional to the revenues from agricultural production. Loggers often do not comply with sustainable management plans when they exist or carry out harvest methods that promote regeneration. Failure to fully implement and comply with a system of competitive bidding for logging contracts, compounded by socio-political challenges, has led to increases in illegal logging practices. This has been especially noted in the context of high global demand for ecologically rare and commercially lucrative species. Further processing in the value chain often creates additional waste of these species, resulting in low efficiency and greater input demand for meeting output demand on timber (only 20% of round-wood is converted into timber with the remaining going to waste). The demand for low efficiency fuel sources (e.g., charcoal and firewood) has expanded in both urban and rural areas in recent years putting pressure on forested ecosystems. Charcoal and fuelwood utilization are linked to inefficient carbonization techniques and cooking appliances.

### **The Political Crisis and Origins of the Conflict**

The political crisis in Madagascar came at an inconvenient time for Madagascar’s journey within the FCPF, and is the most defining external factor affecting all aspects of the R-PP formulation and

implementation. The political crisis started in January 2009 when there was an unconstitutional change in Government. The political opposition movement led by Antananarivo mayor Andry Rajoelina, sought to oust President Marc Ravalomanana from the presidency. Ravalomanana issued his resignation at gun point, and mayor Rajoelina became president of the High Transitional Authority. This transition was rejected by the international community, and as a result many donors, including the financial contributors to the FCPF, placed their programs on hold and withdrew during the political crisis period. Protests ensued in 2009 and more than 120 people were killed in violence related to this political crisis. Madagascar held elections in 2014, and as a result donor programs, including the FCPF, returned and resumed their work.

Madagascar's political crisis was catalyzed by a land conflict involving the highest levels of Government office in Madagascar, and the South Korean company Daewoo. In 2007, the Mayor of Antananarivo, Rajoelina, highly criticized the president Ravalomanana's plans to lease large areas of land to Daewoo. Daewoo signed a 99-year lease for 1.3 million hectares (half of Madagascar's arable land) making it the largest land deal in Madagascan history. According to Environmental Justice Atlas, the organization *Collectif pour la Défense des Terres Malgaches*, TANY was established in reaction to the lease (in which monetary compensation for the land was not included) and petitioned the government to first consult with stakeholders before agreeing to foreign land deals. The petition was ignored. The Madagascan constitution is cited to forbid land acquisition by foreign bodies. Rajoelina enjoyed a large degree of popular support for his opposition to the land deal and organized a series of rallies against president Ravalomanana, which escalated into an 'attempted coup d'état' and the ensuing political crisis.

The violation of the constitution, and the lack of willingness to consult stakeholders were two underlying causes that led to growing tensions over the allocation of land. In addition, the absence of monetary compensation in the deal worth USD 6 billion, for biofuels, also led to tensions. These tensions, have valuable lessons for future land tenure programs and REDD+ in Madagascar.

### **Economic Issues in Madagascar**

This political crisis had a number of economic implications for Madagascar and the evaluation in general. The World Bank estimates that the culminate costs of the political crisis between 2009 and 2013 exceed USD 8 billion and created enormous uncertainty for private sector investment. As a result, the political crisis put a brake on Madagascar's economic growth and strategic priorities favor economic growth and attracting investment more so than addressing environmental issues that would create sustainable development. The World Bank estimates that the economic stagnation had a severe effect on income per capital and in 2013, it was estimated that income per capita had fallen back to its level from 2001. Poverty increased sharply with 92% of Madagascan population living on less than USD 2 a day. This makes Madagascar one of the poorest countries in the world and very dependent on receiving assistance for implementing cross sectoral programs, such as the FCPF.

As mentioned, foreign aid dropped sharply as a result of the political crisis in 2009 and it has remained subdued, even though the donors have returned. A large share of that aid has been directed to humanitarian programs. In addition, public finances are under stress, infrastructure has deteriorated, and the ability of the Madagascan economy to weather exogenous economic shocks and the costs of natural disasters, often arising from climate change e.g. cyclones, is weak at best.

### **Institutions for REDD+**

According to Madagascar's R-PP, Madagascar's national REDD Readiness management arrangement, will be officially established through an inter-ministerial decree, though it is unclear when this will occur. The national REDD+ readiness management arrangement will have three main responsibilities: (i) to ensure the integration of REDD+ strategies into sectoral policies and strategies, (ii) to implement REDD+ strategies in general, and (iii) to manage the process and coordinate REDD+ related activities in Madagascar.

Madagascar's institutional arrangement for REDD+ is divided into three distinct levels: (i) the decision-making level, headed by the Office of the Prime Minister through the Inter-ministerial Committee on the Environment (*Comité Interministériel de l'Environnement* CIME); (ii) the steering level, overseen by the REDD+ Readiness Steering Platform (REDD+ Platform); and (iii) at an operational level, with a REDD+ National Coordination Office (*Bureau de Coordination National REDD+* BNC-REDD+) managed by a National Coordinator who will ensure that activities are implemented according to the agreed work plan and prepare technical reports on REDD+ readiness.

The Inter-Ministerial Committee for the Environment (CIME) ensures the incorporation of environmental requirements in sectoral development plans. It is responsible for making strategic elements are incorporated into sectoral policies to achieve REDD+ objectives. It will be responsible for conflict mediation and provide policy advice.

The Ministry of Forests, Environment and Ecology has the role of protecting Madagascar's unique environment and natural resources for the benefit of the Malagasy people and the country's sustainable development. The Ministry leads the implementation of REDD+ in Madagascar.

The REDD Technical Committee (REDD TC) had oversight on the formulation of Madagascar's R-PIN and R-PP. Once the R-PP was endorsed by the FCPF Participants Committee, REDD TC was disbanded and transferred to the national REDD+ Readiness Steering Platform (REDD+ Platform). The REDD+ Platform will ensure that the REDD+ readiness process informs all discussions occurring under key initiatives in the environmental and forestry sector (policy-making, strategy document, sectoral programs, etc.).

The REDD+ Platform is the technical steering body for the formulation of the REDD+ strategy and the development of technical components. It will ensure the resolution of inter-sectoral conflicts and, if needed, refer them to the CIME. Its functions will be to (a) approve work plans and activity reports of BNC-REDD+; (b) ensure the participation of all relevant sectors; (c) prepare for the implementation of REDD+ areas of intervention; (d) oversee the formulation of reforms needed to implement REDD+.

## **Field Visit Findings**

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

Madagascar was one of the first countries in the world to pilot REDD+ projects formulated by international Non-Governmental Organizations (NGOs). The Makira project was the first REDD+ project in Madagascar, which started its development in 2003 through the Wildlife Conservation Society (WCS). Five other REDD+ projects joined the effort to stop deforestation and forest degradation in Madagascar between 2003 and 2008. According to the NGOs with on-going REDD+ projects, these REDD+ projects had the intention of using the Voluntary Carbon Market (VCM) to generate results based payments to provide additional revenue to finance the management of National Protected Areas (NPAs).

According to the Government of Madagascar, the management of NPAs is poorly financed, even though the Government has recently expanded the area of NPAs. A REDD+ Technical Expert interviewed supported this statement further pointing out that NPAs from a REDD+ perspective have so far been disappointing. Specifically, many credits have been generated from the Marika project, which designed its approach under the Verified Carbon Standard (VCS) and Climate Community and Biodiversity Alliance (CCBA) standard to yield more than 2 million Verified Carbon Units (VCUs). Upon the initial verification, sales of VCUs were transacted at a price of USD 9/tCO<sub>2e</sub>. However, after the fallout of the international carbon market in 2012, following a lack of certainty in the Kyoto Protocol's second commitment period, the price of carbon dropped in both compliance and regulated markets. As a result, the VCM for the Makira project is now yielding VCUs at USD 3-5 t/CO<sub>2e</sub>. At this price, the carbon market is not sending the right price signal and as a result, the project is not sustaining itself on REDD+ results based payments.

Under the current agreement for the Makira project, 50% of revenues from the sale of VCUs go to communities, and 20% go to the local manager of the protected area. The total cost of managing the Makira REDD+ site effectively is estimated to be about USD 300,000 per year. However, the current remuneration is about USD 30,000 per year. The management of the Makira REDD+ site includes, for example, protected area management, biodiversity monitoring and community monitoring. The urgent need to find additional, adequate and sustainable financing for REDD+ conservation projects was one of the reasons behind Madagascar's initial application to the Carbon Fund. However, according to the REDD+ technical advisor, the ER-PIN has been formulated to address a very different role for forests in Madagascar and does not include a focus on conservation anymore. This issue is addressed further on in the report.

In 2008, the NGOs approached the Ministry of Environment in Madagascar and alerted the Government to the opportunity of joining the Forest Carbon Partnership Facility (FCPF), which had issued a request for expressions of interest to join the program. The NGOs and the Government of Madagascar felt that the FCPF could provide an additional opportunity for Madagascar to develop its REDD+ Readiness and the Government of Madagascar approached the World Bank to join the FCPF. In 2008 the Ministry of Environment was appointed to coordinate work on the Readiness Project idea Note (R-PIN), and subsequently the Technical Committee for REDD+ (CT REDD) was established to develop the Readiness Preparation Proposal (R-PP) for Madagascar in 2008 and early 2009. Madagascar was one of the first countries in the FCPF portfolio to submit an R-PIN.

Between 2009 and 2014, several financial contributors within the FCPF placed Madagascar's progress under the FCPF on hold due to a decision to withhold all donor finance from Madagascar as a result of the political crisis; see introduction for details. In addition, the World Bank scaled down its portfolio in Madagascar and placed projects with the Government of Madagascar on hold. While the political crisis resulted in an unprecedented barrier to Madagascar's national REDD+ process, particularly for its R-PP development, the NGOs were still active on REDD+ during the political crisis and continued sharing information and building knowledge on their REDD+ project efforts. The Government of Madagascar, however, was on the back foot as it was not included in additional knowledge sharing events organized under the FCPF, and had only received partial financing for preparing their R-PP. In addition, the role of Madagascar in the FCPF Participant Committee meetings was that of an observer. Madagascar did not attend most of the FCPF Participant meetings during the political crisis.

One stakeholder noted that the exclusion from Madagascar from the FCPF process due to the political crisis between 2009 and 2013 had an unintended effect in the sense that the NGO scene had continued to go to international meetings, develop their REDD+ projects for the VCM, and generally build very strong knowledge and experience on REDD+. The Government of Madagascar did not have this opportunity during the political crisis and as a result, local NGO knowledge on REDD+ is now regarded as among the best in the world, while the Government has "a lot of catching up to do". As a result of exclusion from the FCPF process during the political crisis, the Government of Madagascar was disadvantaged and this has had important implications for its capacity development, knowledge-sharing and its journey towards leading a national process on REDD+.

Despite the political crisis, the Government of Madagascar remained committed to the FCPF and continued its participation of its R-PP in the FCPF, picking up immediately upon the 2013 election signaling the conclusion of the political crisis.

The Government of Madagascar point to several reasons they consider continued participation in the FCPF as important. Firstly, the FCPF provides important financing for instituting a national REDD+ Readiness process. To date, the FCPF process has financed the establishment of the National REDD+ Office (BNC REDD), which has led the preparation of Madagascar's R-PP and ER-PIN. In addition, BNC REDD has also played, and continues to play, a national coordination role for REDD+.

Secondly, the Government of Madagascar pointed out that Madagascar has a very high deforestation rate. In addition, Madagascar is a mega-diversity country, and therefore should have a strong interest in the conservation of protected areas. At the same time the Government of

Madagascar recognize that Madagascar is a Least Developed Country (LDC) and needs finance for these types of environmental efforts, which are not financed adequately from the national budget. Given the remnants of the political crisis, discussed in the introduction, financing priorities for the Government are currently on economic recovery and stability, health, education and rural development for food security.

Thirdly, the UNFCCC COP decisions, which have led to the Warsaw REDD+ Framework, have generally been quite vague and have neglected the role of conservation and protected areas, providing little guidance on how the role of conservation fits into a REDD+ results based framework. The Government of Madagascar also felt that protected areas were not a priority for REDD+ under the UNFCCC because conservation is not addressed in the Kyoto Protocol. This point further reinforced the importance of participation in the FCPF for the Government of Madagascar, because the FCPF is the only international mechanism, in addition to the VCM, that can yield results based payments to protected areas.

To summarize, Madagascar was one of the first countries to receive results based payments from the VCM for its Makira project site. Madagascar joined the FCPF for several reasons, which include the need for financing the institutionalization of their national REDD+ process, capacity building for REDD+ readiness, the opportunity to gain additional financing through REDD+ for conservation in NPAs. In addition, the lack of clarity within the international context on how REDD+ results based payments could support conservation drove NGOs and the Government to join the FCPF Carbon Fund. Despite FCPF financing being placed on hold due to the political crisis, Madagascar has demonstrated its commitment to remaining in the FCPF and has subsequently submitted its R-PP and ER-PIN.

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

Madagascar's National Development Plan has set national economic growth targets averaging 8% per year between 2015 and 2019. The drivers of economic growth relying on natural resources and the ability to attract the private sector investment. The five key sectors for economic growth are infrastructure, tourism, agriculture, mining and fisheries (Government of Madagascar 2015).

According to donors, the last Country Assistance Strategy (CAS) (of the World Bank) was developed to cover the 2007-2011 fiscal years. However, following the change of leadership in March 2009 outside of constitutional standards, the World Bank decided to hold the process for preparing a new CAS. An Interim Strategy Note (ISN) came in force for the period January 2012 - June 2013. It focused on the most urgent problems short-term while maintaining a medium term based on three themes: governance and the ability of the public sector; vulnerability and resilience; and employment and competitiveness. A Systematic Country Diagnostic has been conducted and a new Country Partnership Framework is under development.

It was observed by the evaluation team that there is a great deal of divergence between stakeholders on what Madagascar's strategic priorities really are in the national socio-economic context and the national environmental context, and whether Madagascar even has strategic priorities. These viewpoints are usually aligned with the issues affecting the interests of the relevant stakeholder. Several stakeholders noted that Madagascar does not have a strong vision that is common across the population, and therefore it tends to struggle to state its strategic priorities.

The majority of stakeholders stated that adaptation was the most important strategic priority for Madagascar with respect to climate change. The Government of Madagascar pointed out that Madagascar, as a member of the African Group and as a Least Developed Country (LDC), would naturally have adaptation as a foremost strategic priority.

The Government of Madagascar recognizes that the challenges of deforestation are immense, and therefore mitigation is an extremely important issue. Therefore, with respect to forestry, Joint Mitigation and Adaptation (JMA) is the strategic priority for forests in the context of climate change. Forest degradation and deforestation are closely linked with poverty and food security, and therefore



taking a landscape approach to deforestation would rely on ensuring the benefits of JMA, such as those associated with a reforestation program.

One of the strategic priorities with respect to forestry in Madagascar, which has recently been enacted, is the expansion of the areas delineated as NPAs. The decision to expand the area of the NPA network, was in part, driven by REDD+. Even though the Government of Madagascar has expanded the areas of NPAs to 7.08 million ha, of which 4-5 million ha is forest, the Government does not have the financing to manage the expanded areas. According to a Government stakeholder, if financing from REDD+ is attained, the management of protected areas is the highest priority for financing.

According to a donor, combating deforestation is a very high strategic priority for Madagascar, but to date, it has been overshadowed by the illegal timber crisis. The strategy section of the R-PP is fairly broad and open, and that was intentional because when the R-PP was drafted when there was no new data. There is an expectation that once the R-package starts, new data will inform the national REDD+ strategy formulation process.

One Government stakeholder referred to the National Development Plan of Madagascar, which puts a strategic priority on rural development. The majority of Madagascan population lives in rural areas, and therefore rural development is a priority in the context of food security, providing livelihoods and alleviating poverty. In the context of forests, this stakeholder pointed out that governance and institutional strengthening are strategic priorities for Madagascar. In order to be able to meet the targets and implement rural development, institutions need to be strengthened and decentralized, particularly at the district and local levels, because this is where rural development will take place. This stakeholder noted that no study or common agreement has recognized the link between decentralization and deforestation. However, there are some 30 Ministries in Madagascar, and many of these Ministries have a role in stopping deforestation. Understanding institutional and organizational roles at different levels and across different Ministries should receive more attention in the context of formulating a strong national approach to tackling deforestation.

Another Government stakeholder, whom also felt rural development is a strategic priority for Madagascar, further elaborated on this point. In general sectors do what they want, and there is little respect for the spill-over effects. Agriculture is seen as the main problem for deforestation, and the local capacities of Government institutions are very limited in the country. While learning to use sustainable techniques for securing a modern and sustainable agricultural future, there is even a stronger need for sensitization at the local level, if a strategic approach to changing the slash and burn practices by local land users.

One Government stakeholder felt that food security is the most important strategic priority for Madagascar, arguing that if people are hungry, forests will never be able to be protected. Currently the technical knowledge of local land users on increasing yields from agriculture is very low. On the other hand, if Madagascar wants to grow food, it needs water, and the value of watershed forests has generally been under-valued and poorly addressed in national discussions until recently.

Another Government stakeholder noted that forestry is a unifying feature across all sectors in Madagascar, as it plays a role in poverty, food security, providing water, energy and shelter, but can be a source of attracting foreign direct investment as well. However, forestry is generally not seen in the context of its multiple roles yet.

NGOs and CSO stakeholders generally noted that conservation and development were important national priorities. In the context of climate change, joint mitigation and adaptation were essentially strategic for Madagascar. Most stakeholders in this group noted that the REDD strategy section of the R-PP did not really address these very current issues because it was drafted up several years ago, and actually needs to be updated to new thinking.

The private sector participating in forestry argued that combating illegal logging and creating a forest sector with strong governance was their highest strategic priority. It was noted that Madagascar does not have a law on sustainable logging. The current system for logging in Madagascar lacks transparency and raises a lot of questions from the private sector. Specifically, no areas have been

designated for sustainable forest management, but there are a lot of logs on the market. The private sector feels that there is little future for sustainable forestry in Madagascar at the moment. The private sector argue that the forest sector's strategic priority should be on reforestation and developing sustainable forest management plans to ensure a vibrant and sustainable forest sector in the future.

The evaluation team notes that there are many possible strategic priorities including rural development, tackling illegal timber, expanding NPA coverage etc. that can affect forests in Madagascar. Expectations need to be realistic, given that Madagascar is in its early stages of the implementation of its R-package and national REDD+ journey.

Generally stakeholders across all groups concurred that bringing different sectors together for consultations is a start to developing a unified national approach to addressing deforestation. The R-PP formulation process did support this approach, and that can be attributed to the FCPF. The political crisis, an external factor affecting the implementation of the FCPF, has delayed extensive consultation processes that would normally occur within the R-PP formulation and implementation of the R-Package. As a result, there are many strategic priorities in need of being addressed, however the FCPF has had limited ability to address these strategic priorities. The key tool to address strategic priorities connected with deforestation, to date, has been the R-PP. NGOs argue that the R-PP states the most important strategic priorities, and that because of this, the FCPF has initiated an important process of addressing strategic priorities of Madagascar.

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

The WB has a strong history of support to the forestry sector in Madagascar predominantly through support to protected area management. Since the early 1990s, the Bank has been a major partner in the implementation of the Environment Program (EP). The EP was structured into three phases labelled as the EP1, EP2 and EP3. The first phase, EP1, had the broad objectives of establishing institutions for environmental sector management – namely the National Environmental Office (ONE), Madagascar National Parks (MNP) and the *Agence nationale d'actions environnementales* (ANAE), and addressing the most urgent conservation priorities through creation of a small number of protected areas. EP2 aimed at enhancing the gains of EP1 and focused on the integration of biodiversity conservation with development and the decentralization of natural resources management. EP3 (approved in 2004) focused on embedding principles of sustainable development and the establishment of sustainable financing sources for environmental management.

In April 2014, the Participants Committee (PC) approved a grant for USD 3.8 million to Madagascar, of which USD 200,000 of the allocated grant must be used to strengthen Madagascar's national feedback and grievance redress mechanism. Prior to 2014, Madagascar had been allocated USD 100,000 of a budgeted USD 200,000 to formulate its R-PP back in 2008. The reason why the grant was partly disbursed was due to the political crisis, after which, the formulation grant was put on hold and then expired.

Stakeholders had fairly common viewpoints on to what extent the FCPF has supported Madagascar in REDD+. The majority of stakeholders pointed to the issue of the political crisis and its effect on the FCPF support to Madagascar. Some stakeholder viewpoints were positive, and noted that the FCPF has supported Madagascar by nationalizing, internalizing and institutionalizing REDD+. It was argued that this aspect added value to Madagascar because before the FCPF came into Madagascar, the REDD+ scene was only REDD+ project based, and lacked a common anchor at the national level. Some NGO/CSO stakeholders said that they felt that the processes put in place within the FCPF during the R-PP led to an increase in knowledge sharing and overall capacity building.

Government stakeholders generally agreed that the FCPF R-PP formulation process has institutionalized and internalized REDD+ at a national level in Madagascar. This was seen as important for preparing to undertake REDD+ within an international REDD+ framework. Before the

FCPF came to Madagascar, REDD+ efforts were quite dependent on International NGO led projects. These projects would use their own finance to test and develop aspects of MRV and FRELs. As a result, Madagascar has tested a number of different approaches on MRV and FREL development, but different methods are applied to different regions, which led to a fragmented approach to REDD+. Therefore nationalizing REDD+ through establishing and supporting the BNC REDD office was the most critical step, which allowed for further FCPF to be directed to Madagascar.

By nationalizing REDD+, the Government pointed out that the FCPF has supported Madagascar in preparing for REDD+ in the following ways:

1. There was a Forest Reference Emission Level (FREL) that was developed by an NGO project for humid forests. Other NGOs had developed MRV and FREL methods for their project sites. The FCPF forced Madagascar to take a national approach to MRV and FREL development, and approaches to harmonize different MRV/FREL methods have started.
2. By creating a national REDD+ office (BNC REDD), the Government had an arm to reach out to other Ministries in other Sectors. This resulted in some new stakeholders in consultations.

The Government of Madagascar is new to using and implementing World Bank procurement policies. As a consequence, the staff in the Government has struggled to prepare Terms of References (ToRs) for FCPF studies and the process has taken much longer than expected. The World Bank tried to support the Government in this effort by hiring a national consultant experienced in WB procurement policies. This type of support remedies the issue of reducing the time to implement such procurement processes, but it does not build and strengthen the capacity the Government needs to take on this process well into the future.

The Government also acknowledges that FCPF's support has been limited due to the political crisis.

The technicalities of meeting the FCPF's quality requirements are burdensome, not only on the Government, but generally, all stakeholders agreed on this point. Some government stakeholders felt that the World Bank's procedures associated with the FCPF made Madagascar dependent on consultants, and there were concerns that such an approach would not be sustainable without a targeted and equally strong approach to capacity building and transfer of technical knowledge. A government stakeholder noted that the FCPF would be more effective if there were requirements for minimum knowledge transfer budgeted in all consultancies procured under the FCPF. This would ensure that the Government could use the documents and tools that consultants develop under the FCPF.

One technical expert pointed out that while the FCPF has certainly supported the institutionalization and nationalization of REDD+ in Madagascar. At this point, the extent of support was limited to the national level. Madagascar is a large country, and there are still many parts of Madagascar where local, district and provincial offices are not aware of REDD+ or the role of FCPF in building REDD+ Readiness. There will be a need to address readiness at provincial, district and local levels of government, and to raise public awareness on avoiding deforestation. This aspect of the FCPF's support to Madagascar has not yet been addressed sufficient. It is highly likely that the financing available will not be adequate for such a task. It was commonly felt that the FCPF should quickly address this gap in REDD Readiness quickly, and should consider the issues associated with outreach with remote areas and accessibility issues for consultations at the local level.

The evaluators' note that the FCPF procurement processes that would kick start the implementation of the R-PP were commencing shortly after the field visit concluded. As a result, the stakeholder comments focus mainly on the R-PP formulation process.

It is clear from stakeholder viewpoints that the FCPF has created structure and an important starting point for Madagascar to start its national REDD+ journey. Stakeholders noted the benefit and institutionalizing REDD+ at the national level, and the strategic importance of the R-PP process. The pause in the FCPF work program during the political crisis was not conducive to a supportive relationship under the FCPF, and as a result, Madagascar has fallen behind other FCPF countries in terms of its REDD+ readiness progress. Stakeholders noted that given the task at hand of reducing

deforestation in Madagascar, the financial readiness needs are going to be much more than budgeted for under the FCPF.

#### **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+?**

Stakeholders across the board were adamant that the instruments developed by the FCPF were, and continue to be, complicated, difficult to use, and require technical assistance and support from consultants and the World Bank. Madagascar, as an LDC, has struggled to meet the technical requirements that go with many of the reports for the FCPF. That being said, most stakeholders took on the challenge and continue to try to come to terms with the level and standard of reporting required in the process. The consequence is that the FCPF journey is taking much longer than expected, even after the conclusion of the political crisis. The question is – Does Madagascar have time to jump through documentation requirements while its forests and Mega-diversity are under high pressure?

The Government stakeholders all concurred that the various instruments developed under the FCPF are very complicated and challenge the current knowledge and institutional capacities within the Government. The Government noted that the following tools and instruments have been applied in Madagascar:

**R-PIN:** Madagascar was one of the first countries to submit an R-PIN back in 2008. Many stakeholders noted that there is a big difference between the requirements for the R-PIN, which was easy to use, and the R-PP.

**R-PP:** According to stakeholders in the Government, NGOs, Research and Technical Advisory, Madagascar's R-PP went through 14 iterations. Several key issues came up in this respect:

- a. The international experts initially contracted to lead the R-PP process in Madagascar, did not have sufficient in-country knowledge to be able to develop the R-PP. As a result, the second iteration of the R-PP was handed over to a national group of technical experts consisting of technical advisors and officers in international NGOs and Academia.
- b. The national group of experts developed the R-PP, but were unfamiliar with the World Bank's technical standards and requirements, and as a result commenced work on a document that went through many iterations.
- c. The iterations of comments were helpful in building local knowledge on REDD+, however, many felt that there was disconnect between the Technical Advisory Panel (TAP) review comments and the national issues and realities in Madagascar. This caused further unnecessary delays in the R-PP review process.
- d. The national group of experts was keen to continue work on the R-PP during the political crisis, but technical support was unavailable from the World Bank, and as a result, the R-PP progress was delayed.

This all being said, there were several technical experts that noted that the R-PP template (and process) required Madagascar to reflect on its priorities and how to tackle the problem of deforestation. This was important because illegal logging had often dominated forestry discussions. The R-PP template was the first instrument to bring all the issues together under the context of a national strategy. **There are no other instruments like the R-PP in Madagascar – it brought a lot of people together to think.**

**ER-PIN:** NGO Stakeholders were highly critical of the ER-PIN guidance, referring to it as vague. One problem was that there was no stated linkage, or a requirement for a linkage, between the R-PP and the ER-PIN. This point is actually quite contentious in Madagascar, as a technical advisor noted – the TAP review of the R-PP found that the REDD Strategy options of the R-PP were not met, and that under the TAP comments of the REDD implementation framework, there was still a need to embed the future REDD strategy in a larger national framework. This issue came up again during

the ER-PIN formulation process, and there is a clear disconnect between the strategy options outlined in the R-PP for Madagascar, and the focus of the ER-PIN.

**Methodological Framework:** It was observed by the evaluation team that very few stakeholders were knowledgeable about the methodological framework to provide comments. The technical experts that could comment noted that the methodological framework is flexible enough to account for national circumstances. There is a concern that significant technical assistance to apply the methodological framework will be needed when Madagascar implement's its ERPD and designs its MRV.

**SESA Guidance:** SESA guidance is regarded as complicated and theoretical; it needs to be made more practical. There are important questions which are not clearly explained in the SESA guidance, such as how do you use SESA to determine the REDD strategy? How is the SESA work linked with the final REDD strategy? The entwinement of the REDD strategy and SESA work are not clearly explained.

**Progress Reports:** One progress report has been submitted using the new format.

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

There are highly diverse viewpoints on how and to what extent stakeholder engagement should inform the national REDD+ process. It can be argued that the FCPF has done some good work in its initial engagement with stakeholders during the R-PP formulation. However, there are critical gaps and challenges that are evident for attaining a high level of stakeholder engagement, many of which are beyond the control and design of the FCPF. The key issues identified include:

- Very poor levels of awareness at all levels of society on the Deforestation and Governance linkage, as well as REDD+;
- Poor education of the population, especially outside the capital;
- The high level national dialogue is focused on illegal rosewood logging, and this discussion is disconnected from REDD+ stakeholder engagement;
- Indigenous people meeting the World Bank's criteria (the Makea), have no representation at the national level, and engagement so far, has not come to terms with the integration of indigenous peoples' issues within the FCPF context;
- As an LDC emerging from a stagnating political crisis, the highest public office has other issues, which are on its agenda, such as food security and political stability.

The stakeholder engagement for the ER-PIN process was very different to the R-PP. The REDD Technical Committee which led the R-PP process was disbanded when the R-PP was approved, and the ER-PIN was driven to a large degree by the World Bank's recent shift to favoring a programmatic approach to landscape issues.

The Government of Madagascar noted that there is not enough knowledge on REDD+ in Madagascar to have a high degree of stakeholder engagement at this stage. The awareness that needs to be created in the Government will take some time to build. To have a fruitful engagement under the FCPF, the Government needs to have a good degree of knowledge on REDD+ processes. Furthermore, the FCPF has evolved and constructed its own language making REDD engagement more complicated. To be able to push the FCPF process forward in a way that can lead to effective stakeholder engagement, the Government notes that knowledge on World Bank processes and policies is also very important. There are future plans of the Government to start liaising with media and arrange a national debate on REDD+ issues, and this is expected to kick off a new era of stakeholder engagement, with a focus on awareness raising.

During the R-PP formulation, stakeholder engagement was limited to those stakeholders that had a good degree of knowledge on REDD+. The technical committee on REDD+ (CT REDD) had about

40 persons in the country, mainly international NGOs, donors and academics, as well as government personnel, who had good knowledge from REDD+ projects in Madagascar. The R-PP process, with its 14 iterations, catalyzed a high degree of stakeholder engagement within the group and at a national level, but soon subsided once the R-PP process was finalized. There were expectations from several Government staff that the stakeholder engagement process under the FCPF R-PP formulation should also engage local level communities more extensively. These expectations were not met during the R-PP formulation.

Some Government representatives further pointed out that the illegal logging and trading of Rosewood and high value species have continued to gain a higher level of stakeholder attention, and that the REDD+ discussions are quite disconnected from deforestation issues. This is possibly because people generally do not see the connection with illegal logging and REDD+. They were also quite critical of the stakeholder engagement process for the R-PP formulation, stating that the CT REDD set up did not facilitate multi-sectoral stakeholder engagement, and that there seems to be confusion on what is meant by multi-sectoral dialogue.

Several Government stakeholders noted that the ER-PIN preparation process catalyzed a very different form of stakeholder engagement when compared with the R-PP formulation process. The ER-PIN process created interest and knowledge in Government staff that were previously absent and not engaged in the REDD+ process; this was seen as a positive development.

The Ministry of Interior and Decentralization was identified by a number of Government stakeholders as being key in facilitating a high level of stakeholder engagement under the FCPF in the near future. This is because the Ministry, with its line agencies, is set up to engage provincial, district and local levels of Government, and is expected to play a key role in coordinating consultations as well as disseminating information and raising awareness on deforestation at different levels of office.

The Ministry of Interior consider gender roles and the participation of CSOs in the processes they support at different levels of Government. However, the Ministry of Interior and Decentralization are not set up to engage with, or on, Indigenous Peoples (IP) issues. IP issues are administered by the Ministry of Population, which has, to date, been absent from the FCPF stakeholder engagement process in Madagascar.

NGOs were full of praise for Madagascar's stakeholder engagement process during its R-PP formulation, and said that the process led to broad national level consultations and workshops, which started the nationalization of the REDD+ process. The NGOs agreed that the private sector was generally absent from national level meetings. However, the NGOs were critical of the ER-PIN stakeholder engagement process, stating that it was not inclusive, and that it was driven by donors. The evaluation team concurred that the ER-PIN process had different institutions and people involved in its formulation, and as a result, there were expectations from those involved in other REDD+ processes to be included.

Gender issues were discussed and most stakeholders noted the participation of women in the national level consultation processes. Most stakeholders have concerns on the extent of engagement process to include women, when consultations move to lower decision making levels. Some stakeholders hope that there will be a special engagement strategy for women at the local level that take into account the everyday realities of the majority of the female population in subsistence households.

The lack of engagement with Indigenous Peoples came up with a few stakeholders. According to World Bank, the Makea people are the only group in Madagascar that meet the World Bank's criteria on indigenous peoples in Madagascar. The criteria are defined in the World Bank's Operational Policy 4.10, updated April 2013, apply the term of indigenous peoples to refer to a distinct, vulnerable, social and cultural group possessing the following characteristics in varying degrees:

- 1) Self-identification as members of a distinct indigenous cultural group and recognition of this identity by others;
- 2) Collective attachment to geographically distinct habitats or ancestral territories in the project area and to the natural resources in these habitats and territories;

- 3) Customary cultural, economic, social, or political institutions that are separate from those of the dominant society and culture; and
- 4) An indigenous language, often different from the official language of the country or region.

The Makea people have no national level representation in Madagascar. As a result, while some stakeholders acknowledged their absence in the national R-PP process, it should also be balanced with the reality that the Makea people dwell far from the capital in some of the most remote and difficult to access areas of Madagascar. The feeling was that the national REDD+ process was not mature to the point where local level consultations would take place on this matter. It was noted that the TAP review brought the issue up of exclusion, but was played down by donors and the Government, as the FCPF process was focusing on high deforestation areas not associated with the Makea people.

One NGO commented that it is possible that if the FCPF gets too comfortable holding its consultations mainly at the national level there is a risk that critical issues such as roads and their linkage to deforestation will be overlooked unless more support for consultations at local levels is provided in the future.

The FCPF provided Madagascar with its first opportunity to reach out and engage stakeholders on REDD+ at the national level. Limitations with budget, time, and capacity have created challenges in stakeholder engagement processes. The R-PP catalyzed an extensive stakeholder engagement process, which was seen, particularly by those involved, as meaningful and transformational. However, the high level priority on REDD+ needs to be weighed against the national realities. The ER-PIN process demonstrated improvement in cross sectoral outreach within the Government and this is an achievement. Local level engagement, particularly with IPs and women has been criticized and is viewed with concern, but this too, needs to be weighed with the realities of the FCPF program.

## **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?**

There is a diverse range of opinions as to what extent the FCPF has supported efforts to involve multi-sectoral actors in institutional arrangements and national dialogues. All stakeholders made reference to the Technical Committee REDD (CT REDD), which led the R-PP formulation. CT REDD has since been shifted to a national REDD platform, which led the ER-PIN process. The ER-PIN formulation allowed a second round of stakeholder identification and as a result; the platform consists of some new stakeholders who are following the REDD+ process.

The FCPF has financed, since 2014, the establishment of a national REDD coordination office (BNC REDD). The FCPF Readiness Fund contributes finance for 15 staff salaries, office lease and operation, and cars. This was important in the Government's viewpoint because it created the necessary institution to manage national REDD+ and FCPF matters within the Ministry of Environment. This improved the national ownership of the REDD+ agenda within the Government. BNC REDD is still in its early days, being less than a year old. The team has plans to conduct outreach activities to include different multi-sectoral institutions in the near future.

There is a concern among seasoned NGO and REDD+ technical experts that the institutional arrangements for REDD+ have not been formalized in the form of a decree. One stakeholder noted that a decree formalizing REDD+ institutions was attempted without a success. In addition, REDD+ technical committees/Working Groups are not formal.

The Government noted that the FCPF national dialogue on the drivers of deforestation was started by FCPF, as this discussion was the basis for the R-PP. One stakeholder noted that the FCPF had been quite instrumental in financing cross-sectoral consultations and dialogue under the FCPF process, but is concerned that this is more of a requirement from the donor, and not driven by the initiative of the Government. A number of stakeholders from diverse groups commented that UNREDD had also been quite active in supporting national REDD+ dialogues.

Some stakeholders with strong technical knowledge of REDD+ noted that national discussions have overlooked soil carbon that is a critical issue in Madagascar. The importance of soil carbon is known by very few experts in Madagascar. These experts note that, on one hand, Madagascar is suffering from unprecedented soil erosion, which leave scarps and “lavakas<sup>1</sup>” on hillsides. Deforestation has contributed to soil instability, increased land slides and soil erosion. It also releases carbon stored in soils, which some stakeholders mentioned is significant. On the other hand, these experts note that rehabilitating soils could provide an important carbon enhancement opportunity with many co-benefits, but the issue is not on the national agenda.

NGOs and CSOs are quite divided as to the extent of multi-sectoral involvement in institutions and dialogues, as a result of the FCPF. There are some successes when national dialogues have led to improved multi-sectoral coordination among actors. One stakeholder mentioned that when the mining sector went to update their national strategy, they invited members from CT REDD. This was also the case when the agriculture sector renewed its strategy. Another stakeholder mentioned that, in their opinion, the multi-sectoral actors were not meaningfully engaged in national dialogues or institutional arrangements. The issue therefore rests on the expectations.

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

Many Madagascar stakeholders noted the active participation of Madagascans’ in global knowledge sharing events. These events were linked with the interim REDD+ partnership and the UNFCCC SBSTA work program for REDD+. These events were not supported by the FCPF. In addition, Madagascar did not get support from the FCPF for participating in knowledge sharing events during its political crisis. This diminishes the extent FCPF has promoted the sharing of knowledge among stakeholders at the global level.

Upon the conclusion of the political crisis, there were two international workshops attended by Madagascar:

- Linking Local REDD+ Projects to National REDD+ Strategies Hawassa, Ethiopia (April 29 – May 1, 2013)
- Social Inclusion Workshop, Brazzaville, Republic of Congo (May 12-16, 2014)

According to the Government of Madagascar, participation in Participant Committee and Carbon Fund meetings was limited to attendance during the political crisis. No active presentations were made in FCPF events during the political crisis.

At the national level, many stakeholders referred to the role the FCPF played in sharing knowledge with specific reference to the R-PP formulation process. The requirements of the R-PP were technical and complex, and required the local experts to cooperate and share knowledge. The “conclave approach” was used in the second initial R-PP formulation for which about 30 technical experts within Madagascar went on retreat for 1-2 weeks, discussed issues and wrote the R-PP. The majority of people involved in the R-PP formulation viewed this process as deep, meaningful, insightful. The group evolved two weeks later with a draft R-PP and enhanced knowledge across all aspects of REDD+.

There are concerns that the FCPF has overlooked the role of the national university in promoting knowledge sharing among stakeholders. The national university has revised its forestry curriculum and has built good knowledge for REDD+, and biomass estimation methods, especially for mangroves. In this respect, there is an expectation that the university should play a more prominent role in knowledge sharing events at the national level. A number of NGO stakeholders noted that regional level knowledge sharing has been limited.

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<sup>1</sup> Local term



Many stakeholders point to the FCPF's pause during the political crisis as the reason knowledge sharing has been limited. However, the stakeholders mentioned that many workshops were held during that period by REDD+ projects, outside of the FCPF, to share knowledge.

Much of the knowledge sharing at the national level is attributable to the R-PP formulation process. Madagascar has important experiences and lessons to share given its national-led work on biomass estimation methods in mangroves, and its VCM REDD+ projects. Both Madagascar and the FCPF have been disadvantaged on knowledge sharing, because the FCPF put Madagascar's progress in the FCPF on hold.

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

The first evaluation of the FCPF resulted in many recommendations, (Baastel 2011), not all of which were adopted, and some recommendations are not relevant to Madagascar. However for the recommendations that are relevant and adopted, and for which evidence exists, the extent to which the FCPF has responded to the recommendations of the first evaluation is listed in the table below, alongside the relevant recommendation.

**Table 1 Examples of Response to Recommendations from the first Evaluation in Madagascar**

Recommendations from the first evaluation	Examples of FCPF response to recommendations from the first evaluation in Madagascar
Decentralize FMT staff; provide more in- country support.	There is agreement that the TTL has provided significant in-country support. When technical barriers occurred, the World Bank office arranged teleconference calls with REDD+ experts based at the Bank in Washington.
Actively support learning and reflection around the Strategic Environmental and Social Assessment (SESA) process.	Four Madagascan stakeholders from Government and NGOs attended the Social Inclusion Workshop, Brazzaville, Republic of Congo - May, 2014.
Scale up technical and financial support to regional measures designed to foster South-South exchange and learning.	Madagascar has not been able to fully participate in such support due to its political crisis. One event was attended: Linking Local REDD+ Projects to National REDD+ Strategies Hawassa, Ethiopia (April 29 – May 1, 2013).
Move away from 'flat rate' commitments to Preparation and Readiness Grants to a system that provides differentially sized grants based on agreed, transparent, and universal criteria. Provide increased flexibility with respect to specific budget allocations under the Readiness grant.	Madagascar has not received additional finance. Madagascar was required to earmark USD 200,000 of the USD 3.8 million for its Grievance Redress Mechanism.
While pursuing efforts to streamline the process of approval and disbursement of funds, continue to foster greater coordination with bilateral and multilateral partners at the country level.	This has been a challenge in Madagascar because multilateral and bilateral partners pulled out of the country during the political crisis. The process to streamline approval and disbursement processes was under discussion at the World Bank when the field visit was concluding. The programmatic approach was mentioned as an approach, which could contribute to this effort.
Strengthen move towards greater alignment and harmonization of FCPF	See above.

funds with other multilateral and bilateral sources.	
Develop and implement a communication and outreach strategy to disseminate and package FCPF outcomes more widely at country level, within the World Bank and to external audiences.	This has not been done in Madagascar, however it is important to note that Madagascar has only recently commenced the implementation of its R-Package.
Consider, in close coordination with other REDD-related funding mechanisms, measures to strengthen participation of responsible private-sector players in REDD+ processes.	Madagascar's application to the FIP was rejected, due to the quality of the application submitted on the deadline. The private sector's participation in REDD+ is highly controversial in Madagascar because of its illegal logging crisis. Madagascar is not a FLEGT VPA country, and has very limited options in strengthening the role of the private sector in the REDD+ process at this stage.

Madagascar provides an example of how the FCPF has demonstrated limited response to the first evaluation recommendations. Many of the recommendations were not able to be observed as the FCPF program lacks maturity in Madagascar.

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

Many stakeholders found it hard to answer this question, noting that on one hand, the political crisis was the ultimate litmus test for ensuring change for the long term for REDD+. Many stakeholders pointed out that knowledge sharing supported by NGOs working on REDD+ during the political crisis demonstrated commitment, which is essential for long term change. But this demonstration of commitment is not attributable to the FCPF.

However, the same stakeholders also mentioned that so far, REDD+ has failed to attain the highest level of attention (presidential) in national dialogues and legislation formulation. There are critical issues with Madagascar's approach to its REDD+ strategy in its R-PP, which could jeopardize broad and long term change. According to many stakeholders, it is still too early to tell to what extent the FCPF will shape policies, institutions, strategies and REDD+ efforts in the long term.

Stakeholders mentioned that approach to REDD+ safeguards in general (World Bank, Cancun Agreements, Paris Agreement, and project safeguards) are superficial, and referred to an upcoming article addressing the issue in Madagascar. The research made a very important finding concerning REDD+ in Madagascar. Households with more socio-political power locally, those with greater food security, and those that are more accessible, were more likely to be identified as eligible for compensation while many people likely to be negatively impacted by the REDD+ project were less likely to receive compensation. The research concluded that safeguards will be prone to failure unless those entitled to compensation are aware of their rights and enabled to see redress where safeguards fail. This finding has very important implications for Madagascar; firstly, because the TAP review, technical experts found the same issue with respect to indigenous people – the representation of the Makea people is currently absent from all FCPF discussions. Secondly, the finding has implications for the urgency of outreach and communication at the local level, and the need to include and consult communities in some of the most remote places in the country.

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

There is a range of opinions that point to the World Bank being a very active partner in Madagascar, prior to, and following, the political crisis. The efficiency of the FCPF in Madagascar has underperformed in its role, simply because of its approach to the program during the political crisis.

As one stakeholder pointed out - this is climate change, and there is little time to waste in building readiness in institutions and capacity to address very complicated processes. Four years were wasted for Madagascar. The stakeholder noted that the same donors for the FCPF are supporting the UNFCCC negotiations, working groups and associated meetings. This stakeholder questioned the hypocrisy of stalling the FCPF process in Madagascar given that the decision to pause the program was taken by the same FCPF financial contributors as the UNFCCC – which did not pause or stop its support to Madagascar during the political crisis.

Since the political crisis terminated, a lot of work has been done to implement the FCPF in Madagascar, which would indicate that when needed, the FCPF superstructure can choose its level of efficiency and effectiveness. Stakeholders pointed to some of the following examples:

- World Bank teleconferences with technical experts were hosted in order to provide advice on technical issues. In general, stakeholders had reservations about the REDD+ technical knowledge of the World Bank in Madagascar, and felt that Madagascar's FCPF process would benefit from a technical expert inside the Bank to support the process.
- World Bank has financed some complementary studies, for example on illegal rosewood trade in Madagascar. This was found to be useful to REDD+ stakeholders.

### **Notes on Divergences and Convergences of Stakeholder Opinion**

#### **Convergences**

- All stakeholders noted that processes supporting REDD+ are important for Madagascar. Despite the FCPF putting Madagascar's progress on hold for several years, Madagascar has demonstrated its commitment to the FCPF process by resuming with vigor its work on implementing its R-PP and developing its ER-PIN.
- Generally, stakeholders across all groups concurred that bringing different sectors together for consultations is a start to developing a unified national approach to addressing deforestation, and that there are processes that the FCPF initiates that supports this.
- The FCPF has provided limited support to Madagascar in preparing to undertake REDD+. Stakeholders agreed that the support has been limited because the FCPF placed Madagascar's progress on hold during the political crisis.
- Stakeholders across the board were adamant that the instruments developed by the FCPF were, and continue to be, complicated, difficult to use, and require technical assistance and support from consultants and the World Bank.
- Many stakeholders noted that knowledge sharing under the FCPF has been limited. Stakeholders point to the FCPF's pause during the political crisis as the reason why knowledge sharing attributable to the FCPF has been limited.
- Stakeholders generally agreed that it is still too early to tell to what extent the FCPF will shape policies, institutions, strategies and REDD+ efforts in the long term.

#### **Divergences**

- Stakeholders found it hard to pinpoint the strategic priorities of Madagascar with respect to its future development. There was a diversity of opinion to the level REDD+ really played in Madagascar's national strategic priorities. On one hand, pressing environmental issues such as soil erosion, driven by deforestation, are impacting the Madagascar's ability to ensure food security and sustainable agricultural production. The impacts are evident and known by all levels of society. However, the yearning for accelerated economic growth and development balanced with environmental realities is not factoring in high level political decisions and development plans – this is going to create challenges for the strategic alignment of REDD+.
- There are highly diverse viewpoints on how and to what extent stakeholder engagement should inform the national REDD+ process, and how the FCPF facilitated stakeholder

engagement. Many stakeholders noted the challenges in attaining an effective REDD+ stakeholder engagement process and high level dialogues. Some stakeholders felt that illegal rosewood logging dominated high level discussions and was disconnected from REDD+, other stakeholders felt that capacity was an issue which inhibited effective stakeholder engagement.

- There was a diverse range of opinions as to what extent the FCPF has supported efforts to involve multi-sectoral actors in institutional arrangements and national dialogues. Some stakeholders noted that current national arrangements lack formality, while others felt that UNREDD had been more active on this front. Some stakeholders gave examples of positive changes in national cross-sectoral engagement; other stakeholders felt they had been excluded from important discussions.

## **Conclusions**

The political crisis and the FCPF's response to Madagascar, has resulted in stagnation of the national readiness process, critical to a country which has one of the highest deforestation rates in the FCPF portfolio. The tools and processes within the FCPF are complicated and strain national resources. The national REDD+ process has relied on the NGOs to keep momentum on REDD+ and as a result, local technical capacity is strong within the NGO led REDD+ projects on the voluntary carbon market.

Between 2011 and 2013, the FCPF was constructing its methodological framework and ERPA terms sheet under the Carbon Fund. Madagascar was one of the few countries in the FCPF portfolio that had a long history of implementing REDD+ projects yielding payments for results with the potential to provide lessons learned by other REDD countries, NGOs, CSOs, Observers and financial contributors in the FCPF. These lessons are still relevant and should inform the pricing approach and methodological framework of the Carbon Fund.

Since the political crisis terminated, a lot of work has been done to implement the FCPF in Madagascar, which would indicate that when needed, the FCPF superstructure can choose its level of efficiency and effectiveness at the country level.

## List of National Stakeholders Consulted in Madagascar

MDB = Multilateral Development Bank, G = Government, CSO = Civil Society Organisation/Non-Governmental Organisation, IP = Indigenous peoples/ local peoples' representation, PS = Private Sector, R= Research/Academic, D= Donor

Date	Code	Consultation
22 Jan 2016	CSO-1	+8:00-9:00 Jeannicq Randrianarisoa, Conservation International
	CSO-2	+10:00-11:00 Ravaka Ranaivoson, Tany Meva
	CSO-3	+12:00-13:00 Jerome Laporte, Etc Terra
	G-1	+14:30-16:00 Jean Ousmane Camara, National Coordinator of the Land Reform
	R-1	+17:00-18:00 Professor Bruno Ramamonjisoa, ESSA Forets
	R-2	+17:00-18:00 Harifidy Rakoto Ratsimba, ESSA Forets
24 Jan 2016	MDB-1	+19:30 Giovanni Ruta, Task Team Leader
	MDB-2	+19:30 Erik Winter Reed, Natural Resource Management Specialist, World Bank
25 Jan 2016	CSO-4	+9:00-10:00 Lantoniaina Andriamampianina, Wildlife Conservation Society
	CSO-5	+14:00-15:00 Ndrinto Razakamanarina, Alliance Voahary Gasy
	G-2	+17:00-17:45 Louis Lai-seng, Ministry of Energy
26 Jan 2016	G-3	+7:30-8:30 Omer Laivao, Focal point for Climate Change
	P-1	+9:00 Claude Razafintsalama, Coordinator GNEFM (Forestry)
	CSO-6	+11:00-12:00 Nanie Ratsifandriahamanana, WWF
	G-4	+14:00-15:00 Diamondra Helinoro Razaivao, Ministry of Livestock
	CSO-7	+16:00-17:00 Julia Randimbisoa, Helvetas
	G-5	+17:30-18:30 Charles Rakotondrainibe, Madagascar National Parks / Unité de Coordination PE3
27 Jan 2016	G-6	+9:00-10:00 Anjara Mananjara, Ministry of Interior and Decentralisation
	D-1	+11:00-12:15 Christian Burren, GIZ
	CSO-8	+13:00-14:00 Naritiana Rakotoniana, SAGE
	D-2	14:00 Verosoah Raharivela, UNDP – (scheduled but cancelled)
	G-7	+15:30-16:00 Liva Ramiandrivo, Ministry of Environment
28 Jan 2016	G-8	+8:00-9:20 Mamitinan Andriamanjato, FCPF Focal Point
	G-9	+8:00-9:20 Emma Ranosilalao Rabary, BNC REDD
	G-10	+8:00-9:20 Rotsimalala Andriamboavonjy, BNC REDD
	G-11	+8:00-9:20 Minoarison Tantely Andriamiharivola, BNC REDD
	G-12	+8:00-9:20 Mr Ramilison, BNC REDD
	MDB-1	+9:20-10:00 Giovanni Ruta, Task Team Leader, World Bank
	MDB-2	+9:20-10:00 Erik Winters Reed, World Bank
	MDB-3	+9:20-10:00 Daniele Goehler, World Bank
	MDB-4	+9:20-10:00 Tracy lee Johns, World Bank
	G-13	+11:00-11:30 Jean Roger Rakotoarijaona, Office National pour l'Environnement (ONE)

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	G-8
	Informants recommended by Contact Point.	1-2	G-3, G-5
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	G-13
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	CSO-4, CSO-7, CSO-8
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	PS-1
	Companies involved in other forms of natural forest management (e.g. tourism, hunting, timber trade, shade cocoa).	1	n.a.
	Companies involved in other activities affecting natural forests (infrastructure, plantations, ranching, mining, finance, etc.).	1	n.a.
Targets within civil society	Biodiversity-oriented conservation charities (international and/or local).	1-2	3: CSO-1, CSO-4, CSO-6
	Indigenous/local-people-oriented development charities (international and/or local).	1-2	2: CSO-2, CSO-5
	Sub-national (local/regional) development institutions/forums.	1-2	CSO-8
Targets within donor agencies with programs active in the LULUCF sector.	FCPF Delivery Partner (Tier 2 and Tier 3 targets).	1	4: MDB-1, MDB-2, MDB-3, MDB-4.
	Others recommended by FCPF Delivery Partner, FMT, etc.	2-3	D-1
Targets among other knowledge holders (resident/long-term consultants, politicians, etc.)	Targets of opportunity, interest and recommendation.	2-3	R-1, R-2
All (Tier 3)	Total in each Tier 3 country	16-24	30

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ER-PIN FCPF Madagascar (2015) Emissions reduction project idea note (ER-PIN) (Retrieved February 2016) <http://forestcarbonpartnership.org/madagascar>.

R-PP FCPF Madagascar (2014) Project Preparation Proposal. Version 14.) (Retrieved February 2016) <http://forestcarbonpartnership.org/madagascar>.

## **Second Evaluation of the Forest Carbon Partnership Facility (FCPF)**

### **Field Visit Report**

#### **Mexico**

**Author: Carmenza Robledo, with contributions by: Elsa Esquivel and Julian Caldecott**

#### **Evaluation Objectives**

The aim of this report is to present field visit findings from the field visit to Mexico, which will be presented as an annex to the final report of the second evaluation of the FCPF. The specific objectives of the second FCPF evaluation are to:

1. Ascertain the results (outcomes and early impacts, intended and unintended) and lessons learned from the program.
2. 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 IEG3.
3. Provide findings, conclusions and recommendations with focus on the following:
  - 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;
  - the FCPF's position in relation to other REDD+ initiatives (for example the Forest Investment Programme, UN-REDD Programme and Global Environment Facility), and the role and contribution of the FCPF at the country level and within the global REDD+ architecture;
  - 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;
  - FCPF actions taken for knowledge sharing at country, regional and global level for all aspects related to the readiness process.

The evaluation covers the FCPF's engagement between July 2011 to December 2014, and includes ongoing and completed activities. The evaluation team uses the OECD/DAC Standard Evaluation Criteria of: relevance, effectiveness, and efficiency. The FCPF has now matured to a point where its relevance, effectiveness, efficiency and sustainability can be examined using evidence and examples. Thus, the scope of the evaluation includes progress made by the FCPF in directing resources to the activities that are most likely to contribute to REDD-plus in the future, and some lessons for future REDD-plus regimes.

At the country level, the evaluation assesses the formulation of Readiness Preparation Proposals (R-PPs) and the country context of the R-PPs (though not the R-PPs themselves), which include the structure, functions and processes of each country's forest-relevant system, the existing capacity and resources to formulate the R-PP. In addition, the country-level evaluation examines the Carbon Fund processes on-going, such as the development of the ER-PD. The evaluation aims to determine how the global processes have affected country capacity on the one hand, and how the country has contributed to international norms and standards on the other hand.



## **Purpose of the Visit to Mexico**

As part of this evaluation process and to inform the country level analysis described above, the Evaluation Team made field visits to five of the 47 REDD Country Participants. Field visits broadened their understanding and strengthened their analysis of the key determinants in implementing the FCPF program, and brought forward the strengths and weaknesses of the program with respect to country level and local circumstances and contexts. The country level evaluation looks into the limits of the Readiness Fund and Carbon Fund processes, and possible improvements and lessons learned. This also involved an analysis of Country Participants' institutional capacity and risks to successful and timely implementation of the REDD Readiness process, and the identification of strengths and weaknesses of existing governance arrangements.

This country report deliberately does not generate in-country recommendations – rather it is meant to inform and enrich the findings, conclusions and recommendations of the overall evaluation report. For ease of reading, and to enhance comparison and consistency between evaluations, this field report is closely aligned to the layout and methods applied in the field visit process to the first evaluation (see Baastel 2011).

## **Methodology for Field Visits**

The evaluation mission to Mexico was implemented over a period of 7-days period, from the 13<sup>th</sup> to the 19<sup>th</sup> January 2016. The visit to Mexico was conducted by two consultants:

- Dr. Carmenza Robledo, Evaluation Team member
- Ms. Elsa Esquivel, National Consultant

The Evaluation Team consulted over 50 stakeholders during the visit. These are presented in the stakeholder list attached to this report. Consultations included interviews with 24 persons, two Focal Group Discussions in two sites of REDD+ early actions with the participation of 14 representatives of local communities and 2 local facilitators and participation in the Working Group for the National REDD+ Strategy in Mexico, with the participation of 15 representatives from the Government, the private sector, the civil society, research and indigenous people.

A document review of Mexico's reports was done to identify key stakeholders prior the country visit. A flexible program prepared in advance allowed to follow up with referred stakeholders and broaden the stakeholder input to the evaluation process as well as to use windows of opportunities as these appeared during the visit. Of the 50 stakeholders consulted, stakeholders included government staff, National House of Chiefs, which represent local communities in their chiefdoms, CSOs and International NGOs, private sector, research institutes, multilateral development bank, regulatory bodies and independent persons. A field trip was made to San Agustín and San Juan in the Municipality of Tekax in Yucatan to consult with local communities ("ejidatarios") involved in early actions in Mexico.

Before each consultation, an interview protocol was applied where a member of the Evaluation Team introduced members of the team and their consultation objectives. The team member presented a brief overview of the FCPF and the scope of the assignment. The Chatham House rule was explained and applied for all consultations. When time allowed, a member of the team concluded the consultation with a summary of the main points with the interviewee.

## **Report Structure**

The report structure follows the field visit report template presented in the inception report. It presents first the context and proceeds with the analysis and field visit findings of 10 questions deriving from the evaluation matrix.

## Context

Mexico is a Federation with 32 States including Mexico City. This culturally diverse country has a population of around 120 million, more than 60 linguistic groups and the highest number of UNESCO World Heritage sites in the Americas. The World Bank classified Mexico as upper-middle income country. It is member of the North American Free Trade Agreement (NAFTA), of the G20 and it was the first Latin American country to become a member of the OECD.

The Mexican economy is heavily dependent of the oil exploitation, but other sectors like automobile or electronic production are also very important.

Among the OECD countries, Mexico has the second highest degree of economic disparity between the extremely poor and extremely rich, after Chile. According to civil society organizations poverty in Mexico has been increasing since 2006 with half of the population living in poverty and about 10% in extreme poverty<sup>1</sup>.

Over 30% of Mexico's territory is forest and the deforestation rate (currently -0.24) has been reduced over the last decade<sup>2</sup>. However, according to the ER-PIN in some areas deforestation and forests degradation remain. Land conversion for agriculture and cattle ranching, mining, tourism or urban settlements are important deforestation drivers. All these drivers result from the need of getting economic revenue from the forested areas. There is less information available on degradation drivers. However, even if Mexico has a growing agricultural sector according to the OECD data the country imports several food items including corn, soybeans and wheat (mainly from the USA).

## Historical Deforestation and Degradation

Patterns of forest loss in Mexico have their origins in the 1950s, a period in which Mexico experienced a population explosion, an expansion of agricultural borders, and a redistribution of agricultural land, which together resulted in high deforestation rates. In the 1970s, Mexico underwent a green revolution, with new agrarian laws and the conversion of forested land for cattle ranching. Some indicators show a slight decline in deforestation since 1980 due to the conclusion of clearance programs and the discouragement of land-use change. Degradation of forest resources in the past has been mainly due to extreme poverty in rural areas (e.g. through firewood gathering and slash and burn systems) has been reinforced historically by population growth and changes in consumption patterns<sup>34</sup>.

## Contemporary Deforestation and Degradation

In the 1980s and 1990s, forest was lost at a rate of about 6,700 km<sup>2</sup>/year. This declined to about 1,550 sq. km per year in 2005-2010. The causes of deforestation differ from region to region, but generally include conversion to pastureland and to a lesser extent agriculture, driven by under-investment in forests, low incomes from forests, illegal exploitation of forests, weak security of forest use rights, and weak implementation of forest policies, plus natural disasters (hurricanes and fires) and the spread of infrastructure and urbanization. According to the interviews at the sub-national level there has been little or no effective coordination between legislation and the various sectors or across scales, so land use change is still possible even if the national policy determines other priorities. The processes of forest degradation are more complex than those of deforestation, as they can be set in motion by a temporary change (e.g. crop-rotation farming) or by gradual changes in tree cover. No detailed assessment of degradation has been performed at the national level, but

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<sup>1</sup> See OECD data on Mexico at <https://data.oecd.org/mexico.htm>

<sup>2</sup> Data from FAO FRA 2010, Global Tables, Table N3. 3 Trends in extension of forest 1990 – 2010 at <http://www.fao.org/forestry/fra/fra2010/en/>

<sup>3</sup> VIDAL O, LÓPEZ-GARCÍA J, RENDÓN-SALINAS E (2014). Trends in Deforestation and Forest Degradation after a Decade of Monitoring in the Monarch Butterfly Biosphere Reserve in Mexico. *Conservation Biology*.;28(1):177-186. doi:10.1111/cobi.12138.

<sup>4</sup> At the moment when the country visit took place more detailed studies on causes of degradation were ongoing. The results of these studies will be included in the ER\_PD from Mexico, to be ready in the first semester of 2016

preliminary data suggest that degradation could have affected 2,500-3,000 sq. km per year in 2005-2010 (ER-PIN). Causes include unsustainable forest management, overgrazing, firewood extraction, forest fires, forest diseases and pest infestations. Degradation is related more to subsistence and livelihood needs than to external market demands, and is often linked to open-access exploitation.

### **Land Tenure, “Ejidos” and their Role in the Use of Forest Resources**

In Mexico there are three broad categories of land tenure: federal (public), communal and small private ownership. Communal ownership involves land under the ownership of rural agrarian communities (*nucleos*), which are either *ejidos* or traditional indigenous communities. *Ejidos* are communally managed agrarian villages acting as self-organized legal entities. The General Assembly is the highest decision body in an *ejido*. The Agrarian Law in 1992 provided legal recognition of the rights of *ejidos* and communities to forest-land and permitted for the lease and sale of *ejido* property. The *ejido* General Assembly can adopt collective or individual management practices and may define mechanisms for equitable distribution of profits, including parceling out the *ejido* into small parts comparable to private ownership as a result to the change done to Art. 28. The rights of indigenous communities to exploit natural resources existing on their land are recognized in Article 2 of the Constitution. These tenure options are relevant for REDD+ because most of the remaining forest-land in Mexico is covered by one of these two options (*ejido* or indigenous communities). The General Law for Sustainable Forest Development recognizes forest resources, including environmental services, as belonging to the *ejido*, community, individual(s) or private or public entity owning the land. However, the Mexican legal framework does not clarify carbon rights or ownership and this is still matter of debate across national experts and across representatives of IPs and *ejidos* (Carrillo Fuentes, 2015).

### **The REDD+ Landscape in Mexico**

#### **REDD+ Focal Point and Institutional Agreements**

Mexico’s executive power counts with eighteen State Secretaries (comparable to Ministries). Five Secretaries influence the management of natural resources; Sec. of Agrarian, Territorial and Urban Development (SEDATU), Sec. of Tourism (SECTUR); Sec. of Agriculture, Livestock, Rural Development, Fisheries and Food (SAGARPA); Sec. of Energy (SENER) and the Sec. of Environment and Natural Resources (SEMARNAT). All these secretaries have regional dependencies in the States.

The focal point for REDD+ in Mexico is the National Forestry Commission (CONAFOR), created in 2001 as a decentralized institute of SEMARNAT. In addition to CONAFOR, SEMARNAT has another decentralized institute; the Mexican Institute for Water Technology (IMTA), and five so called “deconcentrated”<sup>5</sup> institutes: the National Commission for Water (CAN); the National Commission on Protected Natural Areas (CONANP), the National Commission for Biodiversity (CONABIO), the National Institute of Ecology and Climate Change (INECC)<sup>6</sup> and the Federal Attorney for Environmental Protection (PROFEPA). Thus CONAFOR is on a lower institutional level than all ministries and at the same institutional level with the decentralized and/or “deconcentrated” institutes in SEMARNAT and in other Secretaries.

Several milestones are important for understanding the REDD+ institutional landscape in Mexico:

- 2005: the Inter-Ministerial Climate Change Commission (CICC) was established to coordinate the development of Mexico’s climate change policies, programmes and strategies. SEMARNAT presides the CICC and the Consultative Council on Climate

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<sup>5</sup> coming from the Spanish word „desconcentrado“

<sup>6</sup> At the moment when the country visit took place more detailed studies on causes of degradation were ongoing. The results of these studies will be included in the ER\_PD from Mexico, to be ready in the first semester of 2016

Change (C4) - comprised of scientists and representatives from civil society and the private sector – provides technical input

- 2009: establishment of the REDD+ Working Group (*Grupo de Trabajo REDD+*; *GT-REDD+*) within the CICC. The GT-REDD+ coordinates REDD+ related issues between ministries within the CICC and C4.
- 2010: a multi-stakeholder Technical Advisory Committee for REDD+ (Comité Técnico Consultivo REDD+; CTC-REDD+) was created and appointed as advisory body for the GT-REDD+ (FCPF, 2012). The CTC-REDD+ is comprised of stakeholders from government agencies, non-profit organizations, academia, the private sector, financial institutions, landowners and indigenous groups. At the state level, there are also initiatives underway for stakeholder engagement and participation. Chiapas, Jalisco, the three states of the Yucatan Peninsula, Oaxaca and Chihuahua have established, REDD+ committees to collaborate in the development of a REDD+ framework at regional and local levels.
- Creation of the Working Group for discussing the REDD+ National Policy (GT-ENAREDD) of the Forest National Council (CONAF) with participation of SoC, research, producer associations and IPs.

### **Steps with the FCPF**

The major steps in the collaboration between FCPF and the GoM include:

- Readiness Preparation Idea Note (R-PIN): May 2, 2008
- Readiness Preparation Proposal (R-PP): First assessed on March 23, 2010. Final assessment note June 1<sup>st</sup>, 2011
- Readiness Preparation Grant: signed on March, 2014, USD 3,8 million.
- Emission Reduction Programme Idea Note (ER-PIN): Presented on April 09, 2014.
- Letter of Intent with the FCPF Carbon Fund: September 2014
- Additional 5 million Readiness Grant agreed in May 2015 (PC19)

In order to understand the contribution of the FCPF to the REDD+ preparedness of Mexico it is important to understand what has been funded through the FCPF. Table 1 presents a summary of the FCPF funding in Mexico and the status of implementation.

**Table 1 FCPF funding in Mexico. Sources of the component's list and budget information: Text of the Grant Agreement**

Components	USD million	Activities	Status by Jan. 2016
<b>Mexico's Grant Agreement</b>	<b>3.8</b>		
C.1 Organization and Consultation	2.558		
SC 1a. National Readiness Management Agreements	0.95	Discussion in technical platforms	ongoing
SC 1b. Stakeholder consultation & participation	1.608	Wide consultation with stakeholders	ongoing
C.2 Development of the REDD Strategy	1.242		
SC 2a. Assessment of Land Use, Forest Policy and Governance	0.288	Analytical work on barriers to inter-sectorial policy, potential sites for future activities and proper legal framework	ongoing
SC 2b. REDD Strategy options	0.124	Broaden the discussion on critical issues in the ENAREDD+	ongoing
SC 2c. REDD Feedback and Grievance Mechanisms	0.3	Piloting a grievance mechanism at the state level	ongoing
SC 2d. Social and Environmental Impacts	0.53	Implementing the SESA plan	ongoing
<b>Additional funding requested in the Mid-Term report</b>	<b>5.0</b>		
Institutionalization of the National Forest Monitoring System (NFMS)	2.97	NFMS already developed (funding by Norway). Gradual institutionalisation into existing agencies will be done	approved, not yet started
Consolidate the intervention model and institutional arrangements for implementing the ENAREDD+	2.03	identification of "areas of opportunity" and their development of institutional agreements - if needed	approved, not yet started

At the time of the country visit the additional funding of USD 5.0 million had been approved, but implementing activities had not yet started. Thus, any analysis of the contribution of FCPC to the preparedness phase of Mexico has had to focus on the activities conducted under the initial USD 3.8 million. In addition, the report includes some evaluative statements of the potential usefulness of the additional grant in completing the REDD+ preparation phase of Mexico.

### **REDD+ Initiatives in Mexico**

Mexico has secured a number of relevant initiatives in REDD+ that allow addressing different components of the REDD+ package and specific key stakeholders. The strategy has been to create a coherent landscape of REDD+ initiatives using diverse funding sources. The most important initiatives are summarized below

### **Forest and Climate Change Project (Proyecto Bosques y Cambio Climático –PBCC)**

This project combines a Specific Investment Loan for Forest and Climate Change (SIL) and funds of the Forest Investment Program (FIP) for a total budget of USD 392 million, including co-funding

by the GoM. The project has a lifetime from 2012 - 2017. The project has three components: i) policy design and institutional capacity; ii) support to community programs and iii) innovation in the areas of REDD+ early actions (AT-REDD). Operational activities are done through CONAFOR existing programs securing their continuity.

### Cooperation Between Mexico and Norway

On May 27, 2010, the Governments of Norway and Mexico signed, through their respective Ministries of Environment, a Memorandum of Understanding (MoU) on Cooperation in the field of Environment, Forest and Climate Change. The MoU includes specific areas of cooperation with relevance to the implementation of strategies and policies for reducing emissions from deforestation and forest degradation, as well as the role of conservation, sustainable management of forests, and enhancement of forest carbon stocks (REDD+).

The cooperation covers three specific lines of actions: i) the development and implementation of a Measurement, Reporting and Verification system (MRV) as part of the post-2012 REDD+ regime, ii) the promotion of Mexico as a centre of excellence for South-South cooperation to exchange experiences and capacities on MRV systems and REDD+ implementation, and iii) characterization of local incentives: research on REDD+ funding through experiences and case studies in Mexico. The partners in the project are CONAFOR, CONABIO, UNDP, FAO and the Ministry of Foreign Affairs from Norway.

### Alliance Mexico REDD+

This initiative has been funded by USAID and the partners are The Nature Conservancy (TNC), the Rainforest Alliance<sup>7</sup> and a national NGO called Espacios Naturales y de Desarrollo Sostenible (ENDESU)<sup>8</sup>. The Alliance is aimed at enhancing capacities, mainly at the community level in rural organizations and in organizations of indigenous peoples as well as on governmental entities at the regional, state and national levels.

The Alliance includes four action lines: 1) supporting the establishment of a national REDD+ system, 2) supporting the establishment of sub-national models at regional or state levels, 3) implementing development models with climatic effectiveness that improve livelihoods while maintaining the forests, and 4) strengthening institutional capacities for the long-term implementation of REDD+.

The activities are organized around five components: public policy, capacity enhancement, financial architecture, MRV and communication.

Other important initiatives are summarized in Table 2 below.

**Table 2 Additional REDD+ Preparedness Activities in Mexico with Funding below USD 15 million**

Name of the initiative	Funding sources
Integral management in the coastal area of Jalisco	France (AFD), Spain (AECID), EU (LAIF) and own resources from GoM
Conservation of the landscape mosaic in Yucatan	Spain (AECID), EU (LAIF), State Governments of Campeche, Yucatan and Quintana Roo, TNC and GoM
Conservation, restoration and sustainable use in Lacandona Natural Forest	France (AFD) and own resources from CONABIO

<sup>7</sup> <http://www.rainforest-alliance.org/>

<sup>8</sup> <http://endesu.org.mx/>

Program to inter-municipal integral forestry development as a early action on REDD+ Ayuquila-Armeria River	LAIF
Early action activities on forest governance in Mexico	LAIF
Method towards inter-municipal forest governance for REDD+ at local level	Spain (AECID) and own resources from CONAFOR
Transforming forest management in production forests in areas rich in biodiversity	GEF through UNDP

Source CONAFOR, *Summary of Early Actions*

Note: according to the information by the National Focal Point some of these projects overlap.

### REDD+ Early Actions

Mexico selected three sites for conducting early actions (ATREDD+ for its acronym in Spanish): one in Jalisco, one in Chiapas and one in each of the States of the Yucatan Peninsula (Campeche, Quintana Roo and Merida, see Table 3).

**Table 3 Summary Information on Areas of Early Action in Mexico**

ATREDD+	State area (km <sup>2</sup> )	State forest area (km <sup>2</sup> )	ATREDD+ area (km <sup>2</sup> )
Campeche	57,277	38,306	43,310
Yucatán	39,533	22,256	14,574
Quintana Roo	44,556	25,900	33,146
Yucatán ATREDD+ (total)	001,506	1547	1120
Jalisco ATREDD+	77,966	49,839	33,349
Chiapas ATREDD+	73,612	37,462	52,659

Source ER-PIN

**Integrated land management in the Jalisco coastal basins.** Jalisco accounted for 20% of the country's deforestation in 2002-2007, despite having only 3.4% of national forest area. It has a net deforestation rate of about 430 km<sup>2</sup> /year. According to the ER-PIN and validation through the interviews deforestation drivers include unsustainable and illegal commercial logging and cutting to obtain resources for domestic use, to convert forest areas to pastureland and to integrate agricultural production into high value-added agro-industrial chains. Other causes of deforestation associated with territorial governance are encroachment into forest areas, disagreements on communal use, lack of clarity on land registration and boundaries, and administrative delays. Although degradation processes can be observed in the field, the state has no reliable statistics. Fire is a major contributor to deforestation and degradation, but other factors are overgrazing and the extraction of timber and non-timber materials as well as changes in practices from crop rotation farming to the reduction of crop cycles, often driven by agricultural subsidy programs.

The Jalisco ATREDD+ has been operating since 2011 and is a local planning and capacity building process to promote integrated land management through which to address climate change mitigation and adaptation issues. Four inter-municipal boards are involved, covering the Lower Ayuquila (JIRA), the Coahuayana (JIRCO), the Sierra Occidental and Coastal Regions (JISOC), and the Southern Coast (JICOSUR). Although a large, intact forest area still exists, deforestation in the area has increased in the last two decades, with the loss of about 30% of the forest area. The region

contains a wide range of ecosystems and serves as the habitat for numerous endangered species. The overall objective of the program is to reduce and reverse deforestation and forest degradation. It requires to prepare a NRM plan at the local level and operates through implementing agents whose responsibilities include disseminating the plan in the *ejido* and community assemblies, helping people to prepare requests and applications for grants and subsidies, providing assistance and advice to beneficiaries, monitoring, and following up the execution of tasks.

**Natural resources conservation in the Yucatán Peninsula.** In 2003-2007, net deforestation on the peninsula amounted to 630 km<sup>2</sup>/year. As is the case nationally, the causes of deforestation and degradation on the peninsula are varied, including the conversion of forests to pastureland, government programs and land tenure status. The ER-PIN mentions that the main driver to be the conversion of forests to pastureland, although urban and tourism development needs have played a role. Greater deforestation has been seen in areas without community forest management plans or local forest management institutions. Rural-urban migration (by males) resulted in changes from labor-intensive arable farming to livestock, and the availability of agricultural subsidies (e.g. PROCAMPO) has encouraged deforestation by shortening rotation times (between crops and livestock), and fallow periods have been distinctively shorter among households with less land (including large *ejidos* with insufficient land to allow forest set-asides).

The Yucatán Peninsula contains globally important sites for the conservation of birds, wetlands and forests. It is part of the Mesoamerican Biological Corridor, which is a Central American program<sup>9</sup>. In Mexico the Mesoamerican Biological Corridor was established by the National Commission for Knowledge and Use of Biodiversity (CONABIO) and is located in a region where natural and human factors put tremendous pressure on natural resources. The Yucatán ATREDD+ was launched in 2012 and was founded on an agreement among the three state governments and coordinated by CONABIO. It aims to developing regional climate change strategies, reducing GHG emissions by preventing deforestation and forest degradation, and creating a climate action fund. A main strategy is to promote local government and community capacity building and cooperation on reforestation and related plans and actions. State-level cooperation was organised: in **Quintana Roo** through the Municipal Association for the Environment of Southern Quintana Roo (AMUSUR) and the establishment of a trust; in **Yucatán** through inter-institutional boards (the Katún Board and JIRPUCC); and in **Campeche**, through the REDD Technical Advisory Committee (CTC) acting as a local planning instrument under the State Forestry Council.

**Conservation, restoration and sustainable use in Biological Corridors and the Lacandon Jungle in Chiapas.** According to the existing data, net deforestation in 2002-2007 was greater than 300 km<sup>2</sup>/year. This mainly due to the conversion of forest to farmland and pasture as a result of urban growth (including informal settlements) and the promotion of agriculture and livestock farming, as part of state and municipal public programs. Mining, tourism and biofuels (oil palm) have also been involved, and forest fires, marginalization, land security issues, practices and customs and extreme climatic events (hurricanes) also contributing. As stated in the ER-PIN for degradation, factors include the spread of coffee plantations in and around PAs, overgrazing, the impact of pest infestations, forest diseases and low-intensity fires, and illegal extraction of timber products. Innovative and adaptive capacity among rural organizations, ejidos and communities is said to be limited, and in some regions the social fabric has unraveled.

The Lacandon Jungle in south-east Chiapas is the country's last large remnant of tall evergreen forest and the catchment of the Usumacinta-Grijalva river system which contain 30% of Mexico's fresh water. There are several initiatives in Chiapas that promote activities related to REDD+, including the Biological Corridor and the Lacandon Jungle initiative. The Chiapas ATREDD+ is rooted in a 2008 cooperation agreement between SAGARPA, SEMARNAT and CONABIO, with CONAFOR joining in 2010. It aims to reverse deforestation and forest degradation by promoting restoration and agroforestry, and strengthening local NRM capacity. It involves working with inter-institutional coordination forums that are focused on the Lacandon Jungle, the Montes Azules Biosphere Reserve, and the Chiapas REDD+ process. This has included formulating a

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<sup>9</sup> see <http://www.fao.org/docrep/article/wfc/xii/ms15-s.htm>



state/community-level monitoring system including dynamic models for land use and carbon stores, which will provide estimates of changes in carbon stocks resulting from land use changes and/or management actions.

### **Country Visit Findings**

#### **1. For what reasons did Mexico decide to join the FCPF in first place, and to continue the engagement thereafter?**

As many other countries Mexico started its conversations with the FCPF in 2008 right after the launching of the Facility, but the process has been slow. According to the interviews with government representatives and consultants at the beginning of the conversations with the FCPF the GoM was looking for opportunities to understand their own REDD+ potential and the FPFC seemed to offer an interesting channel. This interest in and the rational of the engagement of the GoM with the FCPF have changed over time.

During the period 2009-2010 and with the upcoming UNFCCC CoP 16 in Cancun, the GoM conducted strategic negotiations with several climate funds including, the Climate Investment Funds including the FIP and the FCPF as well as bilateral cooperation agencies from the USA or Norway. A key evidence of this approach is the strategic vision on REDD+ funded by the GoM and produced in 2010 (see CONAFOR, 2010). The strategy was aimed at securing policy alignment across sectors and with regard to mitigation of and adaptation to climate change in Mexico.

As shown in Table 4, this strategic approach resulted in securing funding for several projects on REDD+ preparation during the period 2010–2013. In addition, according to the interviews with government representatives, until 2015 the GoM had invested over USD 600 million in REDD+ preparedness. The Grant Agreement with the FCPF was signed only in 2014, and the amount agreed was smaller than any other of the contributions in Table 4 and far smaller than the own contribution made by the GoM, which makes the amount of the FCPF non-significant compared to other sources.

**Table 4 Milestones in Funding REDD+ Preparation Activities in Mexico**

<b>Funding Agency</b>	<b>Milestones and projects</b>
<b>FCPF</b>	<p><i>March 2008:</i> The GOM presents its first R-PIN</p> <p><i>March 2010:</i> the FCPF PC authorized a Readiness Preparation Grant of USD 3,6 million (Mexico didn't request a formulation grant).</p> <p><i>May 2011:</i> Due diligence mission.</p> <p><i>May 2011:</i> Final R-PP issued.</p> <p><i>March 2012:</i> agreement at the BM layers but not yet signed.</p> <p><i>May 2012:</i> First multi-stakeholder workshop on SESA.</p> <p><i>July 2012:</i> Revised grant agreement sent to GoM</p> <p><i>September 2013:</i> Reactivation of the process and technical mission to Mexico. Expected signature of the agreement by November 2013</p> <p><i>March 2014:</i> Signature of the Grant Agreement</p> <p>Source: FCPF fact sheets <a href="https://www.forestcarbonpartnership.org/mexico">https://www.forestcarbonpartnership.org/mexico</a></p>
<b>Norway</b>	<p>May 2010: Signature of the MoU between the Governments on Norway and Mexico</p> <p>Beginning 2011: Agreement between UNDP, GoN and GoM for NOK 90 million (~USD 15 million at this time) for the project on "Reinforcing REDD Readiness in Mexico and enabling South-South cooperation"</p>

	Source: UNDP <a href="https://info.undp.org/docs/pdc/Documents/MEX/00062001_79208.pdf">https://info.undp.org/docs/pdc/Documents/MEX/00062001_79208.pdf</a> and The REDD Desk <a href="http://theredddesk.org/countries/initiatives/reinforcing-redd-and-south-south-cooperation-mexico-norway-project">http://theredddesk.org/countries/initiatives/reinforcing-redd-and-south-south-cooperation-mexico-norway-project</a>
<b>USAID</b>	<p>September 2011: USAID allocated a USD 30 million grant to the “Mexico’s Reducing Emissions from Deforestation and Forest Degradation Project” April.</p> <p>In addition, there are at least three other activities funded by USAID in Mexico that are related to REDD+ preparation activities and sustainable landscapes: “Including Mangrove Forests into REDD+ strategies in Mexico” (funded in 2013), Integrated Landscape Management for REDD+ in Community Lands (funded in 2013) and “Mexico: Sustainable Landscapes” (funded in 2011).</p> <p>Source: USAID in Mexico: Program Overview at <a href="https://www.usaid.gov/sites/default/files/documents/1862/Briefer%20-%20USAID%20in%20Mexico.pdf">https://www.usaid.gov/sites/default/files/documents/1862/Briefer%20-%20USAID%20in%20Mexico.pdf</a> and The REDD desk at <a href="http://theredddesk.org/countries/initiatives/mexico%E2%80%99s-reducing-emissions-deforestation-and-forest-degradation-project">http://theredddesk.org/countries/initiatives/mexico%E2%80%99s-reducing-emissions-deforestation-and-forest-degradation-project</a></p>
<b>FIP</b>	<p><i>October 2011:</i> Endorsement of the USD 60 million investment plan → USD 32.16 million in grant funding and USD 27.84 million in concessional funding. Projects considered: “<i>Mexico Forest and Climate Change (PBCC)</i>”, “<i>Creation of a dedicated financing line for low carbon strategies</i>” and “<i>Strengthening the financial inclusion of ejidos and communities through technical assistance and capacity building for low carbon activities in forest landscapes</i>”. The former gets the World Bank as implementing agency and the IDB is the implementing agency for the other two projects.</p> <p><i>November 2011:</i> The FIP sub-committee approves a FIP allocation of USD 25.66 million as FIP grand and USD 16.34 million as FIP concessional resources to the project Mexico Forest and Climate Change (PBCC).</p> <p><i>September 2012:</i> The FIP Sub-Committee approves USD 15 million (USD 5 million in grants and USD 10 million in credits) in FIP funding for the project, Financing Low Carbon Strategies in Forest Landscapes. The IDB acts as implementing agency</p> <p><i>March 2013:</i> The FIP Sub-Committee approves USD 2.9 million (USD 1.1 million as a grant funding and USD 1.8 million in credits) in FIP funding for the project, Support for Forest Related Micro, Small, and Medium-sized Enterprises (MSMEs) in Ejidos, submitted by IDB</p> <p><i>January 2014:</i> The FIP Sub-Committee noted the initial estimate of USD 400,000 for project implementation and supervision services under the FIP private sector set aside for a project in Mexico entitled Guarantee Fund for financing low carbon forestry investments, and approved USD 200,000 for the first tranche of funding for such costs for the IDB.</p> <p>Source: Mexico-FIP Programming at <a href="https://www-cif.climateinvestmentfunds.org/country/mexico/mexico-fip-programming">https://www-cif.climateinvestmentfunds.org/country/mexico/mexico-fip-programming</a></p>

According to the interviews with governmental officials, after several delays in the signature of the grant agreement with the FCPF, and considering the additional funding for REDD+ preparation activities achieved until 2012, the GoM reconsidered the strategic objectives for engaging with the FCPF. In September 2013, a technical mission from the FCPF took place and finally both parties agreed that the USD 3.8 million from the FCPF should be complementary to other funding activities in REDD+ preparation, and thus aimed at helping Mexico in its preparation process by financing the development of a participatory analytical process for finalizing the National REDD+ Strategy (ENAREDD+). More specifically, the FCPF funds in Mexico have been used for the ENAREDD+ consultation process and for two other activities explicitly required by the FCPF; the preparation of an Environmental and Social Management Framework (ESFM) and testing the grievance mechanism. Thus in the case of Mexico other REDD+ preparatory activities e.g. setting the RL or the MRV system or conducting early actions have been funded by sources different than the FCPF.

There is a high level of agreement among stakeholders from all sectors that a) the main reason for engaging with the FCPF is to complement other financing lines for preparedness and b) the most

relevant complement has been securing the consultative process of the REDD+ national policy (ENAREDD+).

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

Mexico's development vision, which is set out in the National Development Plan 2013 – 2018, balances social and economic objectives. A consultative process across all sectors of the society was used for designing the Development Plan. It states five strategic goals as achieving peace, achieving social inclusion with food security, promoting high quality education, facilitating economic growth with prosperity and pursuing influence on the global agenda. The plan gives priority to certain areas including a) promoting a green growth that secures economic growth, employment and competitiveness while preserving the natural resources (obj. 4.4); and b) getting food security through a strong agricultural sector (obj. 4.10). Strengthening climate change policy at the national level as a means for securing green growth and protecting the natural resources are strategies specified in the Development Plan (strategy 4.4.3 and strategy 4.4.4 respectively).

Mexico has a solid legal framework for addressing climate change in general and REDD+ specifically. The framework includes the Climate Change General Law (2012) and the General Law for Sustainable Forest Development. These two laws provide new tools and institutional relevant for REDD+. The objective of the General Law on Climate Change is to regulate, promote and facilitate policy instruments on climate change. It includes climate change adaptation and mitigation with a long-term view and highlights the need for a decentralized, participatory and integrated approach for dealing with climate change in Mexico.

The most important planning instrument of the national law is the National Strategy on Climate Change - ENCC (2013). The ENCC gives a long-term vision (40 years), guides the national policy and defines criteria for addressing climate change at the state level. In its considerations on mitigation the ENCC establishes the need to “*develop a REDD+ national strategy using a landscape approach and respecting social and environmental safeguards*” (Estrategia Nacional, Chapter 7, M4).

Since 2010 the CONAFOR has led a participative process for designing the National Strategy on REDD+ -ENAREDD+ following the strategic planning as established in the “*Mexico's vision on REDD+ Towards a national strategy*” (2010) and using the guideline given by a further document called “*Elementos para el Diseño de la Estrategia Nacional*” (2011), which was set out jointly with civil society representatives. From 2012 to 2014 a consolidated draft of the ENAREDD+ was prepared, with the participation of stakeholders from the national and state levels. Since 2014, CONAFOR has lead a wide consultation process on the ENAREDD+. This consultation has covered the national and state levels and has given special importance to indigenous peoples' groups.

As participation and transparency are stated as key elements for defining the REDD+ policy and instruments, in Mexico at all levels the Evaluation Team concluded that focusing the FCPF funding on consultation activities for the ENAREDD+ was appropriate and aligned with the national priorities. Furthermore, the Evaluation Team got testimonial evidence about the flexibility by the FCPF since 2013 in terms of understanding the specific needs from Mexico and accepting a focused use of the FCPF funding for consultation processes. Stakeholders at the national level give a high recognition to the regional team of the World Bank for their efforts in supporting alignment of the World Bank investment in forest matters in Mexico.

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

FCPF grant of USD 3.8 million for Mexico was signed in March 2014. The Nacional Financiera S.N.C. – NAFIN - acts as recipient's financial agent and CONAFOR is the Executing Entity. This first tranche

of the FCPF funding has focused on two RPP-components: component 1) Readiness Organization and Consultation and Consultation and component 2) REDD+ Strategy Preparation.

The GoM made the main investment in setting the first drafts of the National Policy on REDD+ (ENAREDD+). The FCPF funding was aimed at securing the consultation processes and according to the interviews with stakeholders at the national and state levels the FCPF did not provide much technical support to the design or implementation of the consultative process. Table 5 summarizes the observed progress on the key results of the preparation grant.

**Table 5 Progress in the Key Results as Included in the FCPF Grant Agreement.**

<b>Mexico FCPF Preparation Grant - Key results</b>	<b>Progress Observed During the Visit</b>
A final version of ENAREDD+ that reflects the comments and feedback from the various sectors and stakeholders	<p>A final version of the ENAREDD+ was presented in 2014 and a consultative process has taken place in the last three months of 2015. Besides the consultation through the technical bodies including GTREDD at the national and the CTCs at state levels, the process includes general consultation at the state level, consultation with <i>ejidatarios</i> and indigenous people and consultation on specific topics as gender or intergenerational equity done in thematic groups with women and representatives of the youth.</p> <p>The objective of the consultation process was to collect opinions, concerns and comments by different stakeholders at all levels (local, state and national). At the moment of the visit the outputs from the consultations were being systematized and a revision of the policy was foreseen.</p> <p>The main funds from the indigenous consultation are the FCPF, but the general consultation process has had support from Alliance M-REDD+</p>
A technically strong ESMF that has been finalized and validated by a broad range of stakeholders	At the moment when the country visit took place CONAFOR was finalizing the SESA study, which should serve as basis for a strong ESMF.
A state level comprehensive feedback and grievance mechanism for REDD+ is piloted in one Early Action Area.	<p>Short before the visit to Mexico a first piloting for the grievance mechanism had been allocated in Yucatan. The local consultant – BIOASESORES – was only starting the conceptual development of the piloting by an analysis of existing experience on grievance mechanisms in the area.</p> <p>The evaluation team noticed that most of the available material from the FCPF on this matter is available only in English, which creates a barrier to most local and several national actors in Mexico.</p>

*Source of the key results: PIDC2500 on the Mexico FCPF Preparation Grant*

During the interviews conducted during the country visit, the Evaluation Team collected different views on the contribution of the consultative process funded by the FCPF to the REDD+ preparedness from Mexico:

- Stakeholders from all sectors recognized that the consultation process led by CONAFOR has opened important spaces for discussing REDD+ and the future use of forest ecosystems in Mexico. All stakeholder groups recognized this aspect as an important gain.
- Stakeholders at the state level (government, indigenous people, civil society and private sector) expressed their concern about the short period left to consider the outputs from the consultation process and the fact that no feedback loop will be possible. This could lead to a lack of transparency in how the comments by stakeholders will be included in the final version of the ENAREDD+, what is considered as a risk towards credibility and ownership of the strategy.

- Stakeholders from the civil society, private sector and from indigenous peoples' organizations expressed their concern about lack of consultation and concerted decision-making for the selection of areas for early actions. According to the interviewees, it is not clear to them why this selection was not included in the consultation process.
- The consultation process has already increased the knowledge basis on REDD+ at state and local levels. This is seen as a positive step towards a sustainable REDD+ implementation. However, stakeholders at all levels recognize that this can also create great expectations on financial flows by REDD+ implementation. Thus, stakeholders in Mexico are sensitive to the need of securing mechanisms for dealing with potential expectations towards a result-based payment phase of REDD+.

Up to the moment when the country visit took place, the FCPF had contributed solely to the preparation of two components of REDD+, mainly through the support to the consultative process for the national strategy. All stakeholders coincide on the importance of this consultative process as a key element in the definition of a national REDD+ strategy. The Evaluation Team found divergent opinions with regard to two aspects: (a) the need to have a feedback loop to explain how comments and concerns expressed during the consultation have been included in the final version of the ENAREDD+, and (b) if the application of selection criteria for early actions should have been included in the consultation. Further, several interviewees at the state and local levels expressed their concern for the reduced discussion on benefit sharing mechanisms during the dialogue on the ENAREDD+.

The Evaluation Team concluded that the consultation process has been necessary and appropriate for facilitating a wide understanding and long-term support to the REDD+ national policy, which is a key component of REDD+ readiness. The Evaluation Team also considers that the arising of further concerns expressed by the stakeholders during the interviews are understandable co-effects of a consultative process and needs to be addressed in future consultations. Until now, the FCPF team has not provided much technical support in Mexico. This seems to be a consequence of a) the high level of competences in the country and b) the fact that supplementary competences have been provided directly through the World Bank regional office. An important strength of the FCPF has been the flexibility to accept focusing on those components of REDD+ preparedness where complementary funding was needed in Mexico.

An additional support of USD 5.0 million has been recently agreed with the FCPF. These funds will be used for institutionalizing the national forest monitoring system (USD 2.97 million), consolidating the intervention model and institutional agreements for implementing the ENAREDD+ (USD 2.03 million). Thus, this funding by the FCPF will be used for internalizing results from several REDD+ preparation activities that have been funded by other agencies than the FCPF. This approach towards the additional funding is consistent with the strategy of complementarity in the funding portfolio used by the GoM.

#### **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+?**

According to the interviews, in Mexico the instruments developed by the FCPF are known mainly at the national level, i.e. stakeholders and the state and local levels have low or no experience with these instruments. Mexico has used the **R-PP and ER-PIN templates**. These two instruments are appreciated as integrative tools for planning REDD+ preparedness activities. Further, Mexico has used two instruments for its reporting activities, the **Readiness Assessment Framework** and the **Progress Report templates**. The national stakeholders (consultants and government) found that these instruments have a clear structure and provide some useful tools for reporting (e.g. the traffic light as used in the Mid-Term Progress Report). However, the Evaluation Team found criticism about the requirement for reporting on all REDD+ components even if the FCPF funds are used mainly on the component on readiness organization and consultation and to some extent on the component on REDD+ strategic preparation.

The **Reference Emission Level (REL) Toolkits** came too late to contribute to the REL design in Mexico. Furthermore, Mexico has used other tools and methods for REL and MRV as provided by international partners through other projects, especially by the FAO. According to the interviews at the national level (government, consultants and practitioners in other REDD+ preparedness activities) **the Methodological Framework** is perceived as list of criteria based on wide consensus. The stakeholders recognised the value of the discussion on the Methodological Framework in the FCPF bodies but expressed their concerns about two deficits in the Methodological Framework: i) lack of internal coherence and ii) in some cases the Methodological Framework goes beyond requirements as per UNFCCC decisions.

Mexico started activities useful for the **Strategic Environmental and Social Assessment (SESA)** in 2011 before the grant agreement with the FCPF was signed and as part of the activities in the Forest and Climate Change project (FIP-SIL funding). Two workshops held in the first semester of 2011; one at the regional level and one at the national level, served to fill in an initial risk matrix. During 2015 several analytical studies and a consultation process on potential risks of REDD+ were conducted using the existing platforms. At the moment of writing this report the SESA report was still under preparation.

Stakeholders at all levels that have been involved in the SESA found the risk analysis useful but expressed concerns about:

- the lack of alignment of the SESA requirements with the decisions on safeguards as per UNFCCC decisions. According to the interviewees this creates confusion across many stakeholders about the usefulness and need of having a SESA as an element for achieving REDD+ preparedness.
- the lack of flexibility for accepting participatory and analytical activities already conducted in the country as part of the SESA process. This seems to be of special importance for Mexico, a country that has based the development of the REDD+ strategy on a participatory approach.

## **5. To what extent and in what ways has the FCPF supported counties' efforts to achieve high level of stakeholder engagement?**

Mexico is a country with relevant experience in participatory processes. For instance, over two hundred thousand stakeholders were consulted over a two months consultation process in designing the Development Plan 2013-18. This participatory process considered several aspects of the development plan, including ranking of the most important objectives, priorities for improving living standards and taking into account the key elements of economic growth in Mexico (see Gobierno de la Republica de Mexico, Plan de Desarrollo 2013-2018. Anexo Resultados del Proceso de Consulta).

The GoM considered that participation of all relevant stakeholders is key for a successful REDD+ preparedness. The National Consultative Technical Committee (CTC) was already created in 2008 informally and formalized in 2010. The CTC-REDD is a multi-sectorial consultation group with participation of representatives from the civil society organizations (including farmers and researchers) and representatives from governmental organizations. Due to the need to have dialogue platforms at the State level, CONAFOR promoted State-CTC REDD in the five states: Campeche (2013), Oaxaca (2013), Chiapas (2011), Yucatan (2013) and Quintana Roo (2011).

Another consultative group is the National Forest Council (CONAF), created under the Forest Law. Several stakeholders are represented in CONAF, including government, landowners, civil society, research and professional associations. In 2010, CONAF created an internal working group aimed at assessing and discussing the ENAREDD+ and 2014 CONAF created the Roundtable for Indigenous Peoples and Rural Dwellers.

The plan for the ENAREDD+ consultation funded by the FCPF Readiness Fund was presented in June 2015 and implemented during the second semester of the same year. The consultation process used all platforms mentioned before and included 56 open workshops and four "thematic workshops"

with women, representatives of the youth, agriculturalists and IP organizations. In order to increase understanding, CONAFOR offered capacity building to local facilitators prior to the workshops, especially with IPs.

The general consensus across all stakeholder groups was that engaging with the FCPF has enhanced the consultative approach used in the preparation of the REDD+ national policy. According to the interviewees, this has already created benefits to the country in terms of improving competences and awareness about opportunities and challenges of REDD+ in Mexico at the national and state levels. However, stakeholders from civil society and indigenous people, as well as representatives from the state governments expressed their concern about the selection process for participating in the consultation and the reduced feedback on how the comments and outputs from the consultation process were being used in the final round of improvement of the ENAREDD+. IPs organizations expressed less satisfaction with the consultative process than other groups. According to the interviews with IPs representatives the spaces for dialogue with indigenous peoples have been insufficient.

Mexico is currently preparing its Emissions Reductions Program Document (ERPD) for the FCPF Carbon Fund. According to the ER-PIN the ERP actions will start in those States where early actions have taken place. This should increase synergies with other ongoing REDD+ funding in the country, especially from the FIP. According to the ER-PIN these actions will be based on Investment Programs designed in a participative manner, but according to the stakeholders at the national level (government, research and consultants) the remaining time for developing the investment plans is too short for securing full participation. Stakeholders at the state level, including government, farmers and indigenous peoples expressed their concerns about:

- a) focusing too much on the areas with early actions, because it excludes important areas in the selected states with ongoing deforestation and forest degradation
- b) lack of consultation and open dialogue on the benefit sharing mechanism
- c) not having time and opportunity for a decision process for the investment plans that guaranties agreement across key stakeholders including ejidatarios, farmers and government representatives
- d) high uncertainty about the real options for financing the implementation of the investment plans

These factors create the risk that local stakeholders perceive the investment plans as imposition by the federal government.

The Evaluation Team concluded that the FCPF Readiness Fund has promoted consultation of the national REDD+ policy in Mexico in two ways: i) increasing the number of dialogue spaces and ii) contributing to broaden the stakeholder group that contributes to REDD+ preparedness in Mexico. This is seen as a positive step towards a participative approach in REDD+. The Evaluation Team recognized that there has been a challenge for maintaining and even broadening consultation spaces and for creating mechanisms aimed at securing inclusive and participative decision-making for the next steps towards REDD+ full implementation.

## **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?**

The Inter-Secretariat Commission on Climate Change (CICC) is responsible for inter-sectoral coordination of climate policy in Mexico. Twelve State Secretaries have a seat in the CICC<sup>10</sup> and the CICC can invite representatives from other sectors including the legislative or judicative powers or

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<sup>10</sup> Secretarías de Medio Ambiente y Recursos Naturales; de Agricultura, Ganadería, Desarrollo Rural, Pesca y Alimentación; de Salud; de Comunicaciones y Transportes; de Economía; de Turismo; de Desarrollo Social; de Gobernación; de Marina; de Energía; de Educación Pública; de Hacienda y Crédito Público, y de Relaciones Exteriores.

representatives from the private sector, as required. The Working Group GT-REDD provides technical support to the CICC on issues related to REDD+.

Lack of (inter-sectoral) coordination was included as one major driver of deforestation in the ER-PIN. The ENAREDD+ recognizes the multi-sectoral character of REDD+; however, most activities related to the consultation of the strategy have taken place within the forestry sector. Interviewees from all stakeholder groups recognized the efforts made by CONAFOR for incentivizing participation of other sectors in the consultation process, especially from SAGARPA and other representatives from the agriculture sector. However, participation of representatives from other sectors in the ENAREDD+ consultations has been very low.

Nevertheless, the Evaluation Team found some attempts to increase inter-sectoral coordination in Mexico through the development of the REDD Strategies at state level, e.g. the Strategy from Yucatan elaborated by the Colegio de la Frontera Sur - Campeche. The development of this strategy used six inter-institutional workshops during the diagnostic phase and one inter-institutional workshop for validating the final draft. Although this cross-sectoral approach was implemented using other funding sources as the FCPF, it can be considered as an example for inter-institutional dialogue on REDD+ policy at the State level in Mexico.

The Evaluation Team concludes that the contribution of the FCPF Readiness Fund to inter-sectoral coordination has been low compared to the contribution to this item by other financing sources and in other projects, especially the project on Forest and Climate Change (FIP) and the Alliance Mexico-REDD (USAID). However, the analysis of the ER-PIN and the evidence found during the country visit show that inter-sectoral coordination is still a challenge for future steps towards full implementation of REDD+ in Mexico.

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

At the national level the ENAREDD+ consultation process created spaces for discussing all REDD+ components included in the national strategy. During the second semester of 2015 CONAFOR organized 56 meetings open to all stakeholders. Further, CONAFOR invited to four “thematic meetings” aimed at consulting four specific stakeholder groups: women, youth, indigenous peoples and agriculturalists. Didactic material was developed for all meetings and local facilitators were trained in advance. In addition, tailored information was transmitted using radio and newspapers.

Some examples of how FCPF has promoted regional exchange include:

- the Dialogue of Indigenous Peoples of Meso and South America and the Caribbean, and the FCPF (Lima, Peru in August 2012). Three IP representatives from Mexico and one representative from the GoM participated in this meeting.
- The global dialogue with IPs on the FCPF (El Porvenir/Gaigirordub, Panama in Sept. 2019), with the participation of three representatives from Mexico.

The Evaluation Team got evidence of an acceptable level of general knowledge about REDD+ in the sites visited and by all stakeholder groups. As the field visits focused on early action areas the state of knowledge cannot be fully attributed to the activities funded by the FCPF Readiness Fund. Most stakeholders at the national level expressed their satisfaction for the information provided in the consultation of the ENAREDD+. Thus, the Evaluation team concluded that the consultation process funded by the FCPF Readiness Fund has been an efficient means for sharing information and knowledge on REDD+ and across multiple stakeholders, mainly at the national level.

However, according to the interviewees in Mexico most regional and global sharing knowledge activities have been funded by other agencies and its impact cannot be attributed to the funding by the FCPF Readiness Fund.



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

Mexico does not offer much evidence related to this question, because there is no reference for comparison. There are two reasons for that: 1) the delay in the negotiation between Mexico and the FCPF that resulted in a re-negotiation starting in 2013 and a grant agreement signed only in 2014 and 2) testimonial evidence of contacts between Mexico and the FCPF before 2013 is very scarce due to personal turnover in Mexico.

Thus, observations during the country visit were the main basis for the analysis presented in Table 6 below.

**Table 6 Observed Response to the First Evaluation of the FCPF**

Recommendations from the first evaluation	Examples of FCPF response to recommendations from the first evaluation in Mexico
Decentralize FMT staff; provide more in-country support.	Stakeholders at the national level recognized the instrumental role played by the World Bank regional team in supporting alignment of Mexico's activities with the World Bank. The same stakeholders also recognized that the FMT has recently appointed new staff located in Colombia for supporting the relationship with Mexico.
Scale up technical and financial support to regional measures designed to foster South-South exchange and learning.	Most S-S activities in Mexico have been funded by other sources, especially the Government of Norway
Move away from 'flat rate' commitments to Preparation and Readiness Grants to a system that provides differentially sized grants based on agreed, transparent, and universal criteria. Provide increased flexibility with respect to specific budget allocations under the Readiness grant.	Additional finance for Mexico has been approved and should be executed in 2016.
While pursuing efforts to streamline the process of approval and disbursement of funds, continue to foster greater coordination with bilateral and multilateral partners at the country level.	The Readiness preparation grant was approved only in 2014. An extension was approved in 2015 for funding to 2017.  Stakeholders at the national level highlighted that the proceedings for disbursement in the FCPF are time and resource consuming and do not necessarily consider the country procedures and rules.
Strengthen move towards greater alignment and harmonization of FCPF funds with other multilateral and bilateral sources.	Mexico made a great effort in streamlining the whole package of REDD+ financing for REDD+ preparedness that resulted in well-aligned projects. After 2013, the FCPF recognized and accepted this strategy.
Develop and implement a communication and outreach strategy to disseminate and package FCPF outcomes more widely at country level, within the World Bank and to external audiences.	Country-level communications, consultation and outreach related to the ENAREDD+ were based on an inclusive approach with material in a simplified language or in indigenous languages. In addition, supporting material for radio has been prepared to achieve less literate groups. i.e. those who cannot read.
Consider, in close coordination with other REDD-related funding mechanisms, measures to strengthen participation of responsible private- sector players in REDD+ processes.	Participation of the private sector in REDD+ preparedness, especially with the agroindustry has not yet been achieved.

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

The REDD+ agenda in Mexico is aimed at securing policy alignment. It uses a participative approach and seeks to increase inter-sectoral coordination in such a way that existing mechanisms like subsidies in forestry and agriculture can be used for reducing GHG emission reduction while promoting rural development (see ER-PIN and ER-PIN analysis).

The USD 3.8 million grant by the FCPF Readiness Fund has strengthened the participative approach proposed for building up a REDD+ system in Mexico. The ENAREDD+ consultation process has helped to increase awareness about REDD+, its opportunities and challenges, among new stakeholders, and has contributed to increase the knowledge basis in several states. The upcoming additional USD 5 million will be invested in internalizing relevant REDD+ components that have been built up using other financing sources; thus, promoting long-term use of these results in a full implementation phase of REDD+.

With respect to the ERP planning, the Evaluation Team found that stakeholders at the state and local levels have concerns regarding their possibilities to participate in the design of the investment plans and the benefit sharing mechanisms. These stakeholders are eager to engage with the preparation ERP proposal, but they encounter difficulties due to the short time and the reduced dialogue spaces created for discussing the investment plans.

The strength of the FCPF funding has been in being complementary to existing funds, filling in gaps, securing consultation of the national REDD+ policy and internalizing of results from other readiness components. A weakness commonly expressed in the interviews has been the reduced opportunities created for a participative construction of the investment plans for the ERP<sup>11</sup>.

**10. How efficient and effectively have the FCPF superstructure groups performed the roles expected of them?**

Stakeholders at the national level recognize that the excellent collaboration with the Regional Office of the World Bank played a key role in aligning the World Bank activities in forest with the climate change priorities in Mexico. These stakeholders also acknowledge the importance of the technical support provided by the regional office. Unfortunately, the relation with the FMT has been far less (compared to the relation with the World Bank's regional office). However, the national stakeholders in Mexico recognize the recent changes in the FMT staff and are confident that the relationship will be strengthened in the near future.

Stakeholders at the national level, including government, private sector, SoC and IP representatives expressed concern about some aspects of the FCPF superstructure including:

- The FCPF has requirements that go beyond the agreements in the UNFCCC (e.g. on SESA or on carbon tenure and titling).
- Review processes are extremely long on the FMT/FCPF side and criteria for selecting reviewers is not clear.
- Completing the readiness phase became long and expensive due in part to the increasing requirements and to some extent to long procedures and review processes.
- The negotiation timeline with the Carbon Fund isn't sufficiently aligned with the country reality and procedures.
- Decision processes in the Readiness Fund and in the Carbon Fund should be more transparent, so that all REDD+ stakeholders can understand their rational.

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<sup>11</sup> The Evaluation Team acknowledges that workshops for planning the IREs were foreseen for the period after the visit. Thus it is possible that the perception about participative approach for the IREs has changed after the country visit.

## **Notes on Divergences and Convergences of Stakeholder Opinion**

There were converging and diverging aspects in the interviews that are important to highlight:

### **Convergences:**

- The USD 3.8 million FCPF funding through the grant agreement has been useful for broadening the consultation process of the REDD+ national policy in Mexico (ENAREDD+). This has allowed participation and capacity enhancement of new actors. All stakeholders highlighted that promoting participation is key for increasing feasibility of REDD+ activities in Mexico.
- At the state level the discussions around the ENAREDD+ have been useful for enhancing dialogue on policy alignment and rural development.
- There was some time lag caused partially by procedures (e.g. review processes) within at the FCPF side, with the consequence of reducing working time for the teams in Mexico.
- There was a high uncertainty about the next steps, especially about what will be (or not) possible through an agreement with the FCPF Carbon Fund. This uncertainty covers as well continuity of activities already in place like e.g. inventorying and monitoring activities.
- There was high uncertainty about the rules, procedures and modalities with regard to the benefit sharing mechanism for REDD+ in Mexico.
- Although participation across scales has increased, there was concern about low participation from other sectors, especially agriculture.
- Contact with the FMT has been reduced although there was some improvement recently due to new staff in Washington.

### **Divergences**

Stakeholders expressed different views with regard to:

- Strategic position of REDD+ as a means for sustainable rural development in Mexico. For some stakeholders at the national level REDD+ has been understood as a key instrument for promoting sustainable rural development in Mexico. However, stakeholders at the state and local levels, didn't share this perception and for them REDD+ has only been an option and they were not sure to which extent it remains realistic.
- Transparent and traceable application of the selection criteria for early action areas and REDD+ piloting areas (ATREDD+). The national level confirmed several times that there are clear criteria for selecting the early action areas and the piloting areas. However stakeholders at the local and state levels as well as IP and SOC organization do not share this clear understanding on how the criteria was applied and on how the specific areas were finally selected.
- Expectations on the REDD+ Feedback and Grievance Redress Mechanism (FGRM). There is a lot of confusion about what should or should not be include in the FGRM. The Evaluation Team didn't find converging visions at any level and several stakeholders expressed their concern about the expectations that such a mechanism can create.

### **Conclusions**

**The FCPF funding through the grant agreement has been relevant to the REDD+ preparedness even if the amount of the funding is not significant.** Mexico has undertaken a comprehensive REDD+ preparation process including the development of strong technical components (REL and MRV systems), policy alignment and participation processes. This has been an expensive process and the FCPF grant is a very small part of the financing. Compared to the net

investments done by the GoM, the contributions by other donors the USD 8.8 million from the FCPF are not significant in absolute terms (i.e. far less than 5%). The use of the first tranche of the FCPF funding (USD 3.6 million) has supported a more inclusive participation through the consultation process of the ENAREDD+ and the additional funding will be used for internalizing key outputs from projects funded by other sources.

**Effectiveness of the FCPF funding is uneven.** After 2013, the FCPF has been flexible and has supported the strategic approach proposed by Mexico, thus focusing the funding through the grant agreement on promoting the consultation process of the ENAREDD+. Evidence from the country visit shows that until January 2015, this resources has been used effectively in securing consultation across scales and opening/securing dialogue with a broaden number of stakeholders. By January 2015, less progress has been achieved with the second component funded by the FCPF mainly due to uncertainties about the usefulness of the SESA vis-à-vis the requirements by the UNFCCC. With regard to the use of the additional funding, one can expect that the internalization process will be effective because it builds up on existing institutions and competences.

**FCPF funding has had a positive impact on long-term policies.** The strategic approach of using FCPF funding for complementing existing funds for REDD+ preparedness - especially for the consultation of the ENAREDD+ with all its components - has increased ownership and willingness to act by stakeholders across scales.

**Although there are positive aspects, the process between FCPF and the GoM has not been efficient.** The regional team of the World Bank has played an instrumental role in aligning World Bank funding in forest and climate change in Mexico. This was deemed as a very positive element in aligning FIP, FCPF and other financing mechanisms available through the World Bank. However, the process prior to the grant agreement took six years (2008 – 2014), far longer than all other funding processes key REDD+ preparedness activities in Mexico, including the process for agreeing on FIP financing. There are several reasons for this extended period, including long review process by the FCPF and administrative delays by the GoM, but the time used in getting to an agreement, and the resources used by both sides (in term or working time) are high compared to the significance of the agreed funding, thus reducing efficiency of the process as a whole.

**The GoM has created instruments for securing sustainability of the achievements during the preparation phase and the process with the FCPF Carbon Fund can enhance this continuity.** The Climate Change Law in Mexico created the Voluntary System of Emissions Trading as an country level mechanism for establishing market-based instruments to encourage the implementation of climate change activities. The system includes the possibility to use different instruments including carbon taxes as a source for a national Climate Change Fund. The Climate Change Fund was created and has operating rules, but only reduced financial means have been allocated. For several stakeholders this Climate Change Fund can become an opportunity for (at least in part) creating a payment mechanism for results-based REDD+ achievements within the country. There is a real opportunity that piloting activities (ATREDD) as included in the ER-PIN and the Emission Reduction Initiative can create a synergy with the design of the Climate Change Fund enhancing the likeliness of a sustainable REDD+ system in Mexico.

**Validation of the ER-PIN analysis:** The ER-PIN was evaluated according to anticipated ERP performance and the quality of ERP design and given an overall rating of 3.6 (“moderate to weak”) out of a maximum possible mean score of 7.0 across the criteria of relevance, efficiency, effectiveness, impact, sustainability, connectedness, coherence and replicability, and the ER-PIN attributes of evidence and reasoning, clarity of explanation, and participation in design. The country visit broadly confirmed the analysis.

## List of National Stakeholders Consulted

MDB = Multilateral Development Bank, G = Government, CSO = Civil Society Organisation/Non-Governmental Organisation, IP = Indigenous peoples/ local peoples representation, PS = Private Sector, R = Research/Academic, D = Donor

Date	Code	Consultation
13 Jan 2016	G-1	Ana Karla Perea Blázquez, CONAFOR
	G-2	Fabiola Navarrete Monje, CONAFOR
	G-3	Josefina Cobien, CONAFOR
	G-4	Jose María Michel Fuentes, Alianza Mexico-Noruega (FAO)/ CONAFOR
	G-5	Francisco Moreno, CONAFOR
	G-6	Norma Pedroza, CONAFOR
	G-7	Isabel Hernandez, CONAFOR
	G-8	Jorge David Fernandez Medina, CONAFOR
	R-1	Arturo Balderas, Universidad Nacional Autonoma de Mexico UNAM
14 Jan 2016	Consultant	Sergio Graff,
15 Jan 2017	G-9	Juan Manuel Mauricio, CONABIO
	G-10	Gonzalo Novelo, CONAFOR - Merida
	CSO-1	Yves Paiz, TNC Alianza Mexico REDD
	CSO-2	Rane Cortez, TNC Alianza Mexico REDD
16 Jan 2016	G-11	Minneth Beatriz Medina Garcia, Junta Intermunicipal Biocultural del Puuc
17 Jan 2016		Roberto Vallejo, SEDUMA
	CSO-3	Claudio Franco President of the CTC in Merida, BIOASESORES S.A.
18 Jan 2016	PS-1	Carlos Enrique Gonzalez Vicente, AMEPLANFOR
	CSO-4 & IP-1	Gustavo Sanchez Valle, Red Mexicana de Organizaciones Campesinas Forestales – Red MOCAF
	CSO-5	Silvio Simmonit, IUCN
	R-2	Juan Carlos Carrillo, CEMDA
19 Jan 2018	R-3	Sergio Madrid President of the national CTC, Consejo Civil Mexicano para la Silvicultura Sostenible
	IP-2	Ricardo Campos, Red Indigena de Turismo Alternativo
	IP-3	Sinhue Lozano Torres, Red Indigena de Turismo Alternativo

Focal Group Discussions 16 Jan 2016		
Person	Site	Type
Asuncion Chan Dzul	Egido San Juan, Municipio de Tekax, Yucatan	Ejidatario, holder of a share in common lands
Martin Chan Dzul		
Jenaro May Teh		
Manuel Jesus Dzul Dzulub		
Jacinto Dzul Pacab		
Gaspar Antonio Matu Canche	Egido San Agustin, Municipio de Tekax, Yucatan	
Venustiano Cutz Mex		
Santos Francisco Garcia		
Petronilo Canoy May		
Justino Moo		
Miguel Angel Canul Ek		
Rita Canul Ek		
Liberato Uc Estrella		
Audomaro Canul Ek		
Yesenia Dominguez Perez	Consultora TCN	Facilitator
Humberto Gonzalez Parra	BIOASESORES	

Meeting of the ENAREDD+ Working Group 18 Jan 2016		
Person	Organization	Type
Melchor Garcia Tamayo	UCOSIJ	IP
Enrique Serrano	CONAFOR	Government
Rosalio Ramirez Lopez	RED- MOCAF	SCO & IP
Luciana Ludeou	IUCN	SCO
Salvador Aguayo Garcia	Red Noremso A.C	SCO & IP
Carlos Enrique Gonzalez Vicente	AMEPLANFOR	Private sector
Elsa Esquivel	Cooperativa AMBIO	SCO
Jose Alan Jimenez Yañez	CONAFOR/CONAF	Government
Salinar Gonzalo Lopez Janic	UESCO	IP
Alfonso Moreno	Conosil	SCO
Ramiro Robledo Marquez	UNOFOC	SCO & IP
Francisco Moreno	CONAFOR	Government
Alejandro Onedin Diaz	CONAFOR	Government
Ana Karla Perea	CONAFOR	Government
Gustavo Sanchez Valle	Red Mexicana de Organizaciones Campesinas Forestales – Red MOCAF	SCO & IP

Targets for potential interview and FGDs		Tier 3	
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	(1) Ana Karla Perea,
	Informants recommended by Contact Point.	1-2	(7) Fabiola Navarrete, Josefina Cobien, Francisco Moreno, Norma Pedroza, Isabel Hernandez, Jorge David Fernandez, Enrique Serrano
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	(4) Juan Manuel Mauricio, Gonzalo Novelo, Roberto Vallejo, Jose Alan Jimenez Yañez.
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	(3) Jose Maria Michel, Arturo Balderas, Sergio Graf.
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	(1) Carlos Enrique Gonzalez
	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	(2) Claudio Franco, Humberto Gonzalez Parra.
	Indigenous/local-people-oriented development charities (international and/or local).	1-2	Gustavo Sanchez, Ricardo Campos, Sinhue Lozano, Salinar Gonzalo Lopez, Janic Alfonso Moreno, Salvador Aguayo Garcia, Melchor Garcia Tamayo, Asuncion Chan Dzul, Martin Chan Dzul, Jenaro May The, Manuel Jesus Dzul Dzulub, Jacinto Dzul Pacab, Gaspar Antonio Matu Canche, Venustiano Cutz Mex, Santos Francisco Garcia, Petronilo Canoy May, Justino Moo, Miguel Angel Canul Ek, Rita Canul Ek, Liberato Uc Estrella,

			Audomaro Canul Ek, Ramiro Robledo Marquez.
	Sub-national (local/regional) development institutions/forums.	1-2	Minneth Beatriz Medina, Rosalio Ramirez Lopez.
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	Yves Paiz, Rene Cortez, Silvio Simmonit, Yesenia Dominguez Perez, Luciana Ludeou UNDP, didn't respond to the requests prior the visit nor to the calls during the visit.
Targets among other knowledge holders (resident/long-term consultants, politicians, etc.)	Targets of opportunity, interest and recommendation.	2-3	Juan Carlos Carrillo, Sergio Madrid.
All (Tier 3)	Total in each Tier 3 country	16-24	50
All (Tier 2)	Total in each Tier 2 country	2-5	



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## **Second Evaluation of the Forest Carbon Partnership Facility (FCPF)**

### **Field Visit Report**

#### **Nepal**

**Authors: Marisa Camargo, Majella Clarke and Anish Joshi**

### **Evaluation Objectives**

The aim of this report is to present field visit findings from the field visit to Nepal, which will be presented as an annex to the final report of the second evaluation of the FCPF. The specific objectives of the second FCPF evaluation are to:

1. Ascertain the results (outcomes and early impacts, intended and unintended) and lessons learned from the program.
2. 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 IEG3.
3. Provide findings, conclusions and recommendations with focus on the following:
  - 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- sectorial 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;
  - the FCPF's position in relation to other REDD+ initiatives (for example the Forest Investment Program, UN-REDD Program and Global Environment Facility), and the role and contribution of the FCPF at the country level and within the global REDD+ architecture;
  - 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;
  - FCPF actions taken for knowledge sharing at country, regional and global level for all aspects related to the readiness process.

The evaluation covers the FCPF's engagement between July 2011 and December 2014, and includes ongoing and completed activities. The evaluation team uses the OECD/DAC Standard Evaluation Criteria of relevance, effectiveness, and efficiency. The FCPF has now matured to a point where its relevance, effectiveness, efficiency and sustainability can be examined using evidence and examples. Thus, the scope of the evaluation includes progress made by the FCPF in directing resources to the activities that are most likely to contribute to REDD-plus in the future, and some lessons for future REDD-plus regimes.

At the country level, the evaluation assesses the formulation of Readiness Preparation Proposals (R-PPs) and the country context of the R-PPs (though not the R-PPs themselves), which include the structure, functions and processes of each country's forest-relevant system, the existing capacity and resources to formulate the R-PP. In addition, the country-level evaluation examines the Carbon Fund processes on-going. The evaluation aims to determine how the global processes have affected

country capacity on the one hand, and how the country has contributed to international norms and standards on the other hand.

### **Purpose of the Field Visit to Nepal**

As part of this evaluation process and to inform the country level analysis described above, the Evaluation Team made field visits to five of the 47 REDD Country Participants. Field visits broadened their understanding and strengthened their analysis of the key determinants in implementing the FCPF program, and brought forward the strengths and weaknesses of the program with respect to country level and local circumstances and contexts. The country level evaluation looks into the limits of the Readiness Fund and Carbon Fund processes, and possible improvements and lessons learned. This also involved an analysis of Country Participants' institutional capacity and risks to successful and timely implementation of the REDD Readiness process, and the identification of strengths and weaknesses of existing governance arrangements.

This country report deliberately does not generate in-country recommendations – rather it is meant to inform and enrich the findings, conclusions and recommendations of the overall evaluation report. For ease of reading, and to enhance comparison and consistency between evaluations, this field report is closely aligned to the layout and methods applied in the field visit process to the first evaluation (see Baastel 2011).

### **Methodology for Field Visits**

The evaluation mission to Nepal was implemented over a 5-day period, on January 25<sup>th</sup><sup>1</sup> and from the 1<sup>st</sup> February to the 4<sup>th</sup> February 2016. Three consultants conducted the evaluation mission to Nepal:

- Ms Marisa Camargo, Evaluation Team member
- Ms Majella Clarke, Team Leader
- Mr Anish Joshi, National Consultant

Before the country mission a stakeholder list was developed based on a document review and inputs from the REDD Implementation Center. A total of 27 persons were consulted; the stakeholder list is included in the end of this report. The program included flexible time allocations to be able to follow up with referred stakeholders and broaden the stakeholder input to the evaluation process. Stakeholder groups included government officials, national NGOs representing local communities, Indigenous Peoples (IPs) representatives, women, low caste (*dalit*) interests, experts in research and policy, international NGOs, multi-lateral and bi-lateral development partners and programs supporting REDD-plus and forest reforms. In addition, private sector representatives and individual consultants involved in the Readiness process were also consulted.

Before each consultation an interview protocol was applied in which a member of the evaluation team introduced members of the team and provided a brief overview of the FCPF and the scope and objective of the assignment. The Chatham House rule was explained and applied for all consultations. When time allowed, a member of the team would conclude the consultation with a summary of the main points with the interviewee.

### **Report Structure**

The report structure follows the field visit report template presented in Annex 7 of the inception report and is based on 10 questions deriving from the evaluation matrix. In addition, the report includes an introductory section based on material from documents such as Nepal's R-PP, ER-PIN and literature

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<sup>1</sup> Preliminary meeting with Country focal point to revise list of stakeholders to be interviewed

review, which provides orientation for the reader. The report concludes with a summary of the findings and presents the evaluation team's conclusions.

## **Highlights of Environmental, Institutional, Economic and Political Context**

### **Forests and Drivers of Deforestation**

Forests are one of Nepal's most important natural resources, and are essential to maintain and improve rural livelihoods by supplying wood energy, timber, and non-timber forest products. Forests also contribute considerably to ecosystem resilience, supporting biodiversity, slope stability, hydrologic functions and helping the country adapt to climate change. Nepal is considered one of the most vulnerable countries in the world to climate change, ranking fourth on the Climate Change Vulnerability Index.

According to the recent Forest Resource Assessment (FRA) results, Nepal has a total area of 14.78 million ha, with forests covering about 5.96 million ha (40.36%) (DFRS 2015). The FRA estimated that the total carbon stock in Nepal is 1,157.37 million tonnes, of which forest carbon accounts for 1,054.97 million tonnes (176.95 t/ha)<sup>2</sup>.

In 2005, FAO reported a 1.63% deforestation rate during 1990-2005 (FAO 2005), while studies indicated that in the Terai region alone the rate was 2.7 percent during 1991-2001 (CBS 2008). The recent FRA<sup>3</sup> also indicated that the forest area has decreased 0.44%/annum in the Terai over the period of 2001-2010. Despite significant contributions of the FRA, there is still a lack of robust, comprehensive and up-to-date nationwide data on the precise level of deforestation and forest degradation. The National reference level has been established, but the Government is still fine-tuning certain aspects, supported by UN-REDD.

Nepal has conducted several different studies to identify the direct and underlying drivers of deforestation<sup>4</sup>, which are summarized in the table below.

**Table 1 Drivers of Deforestation Identified in Different Studies**

<b>Studies (Reports)</b>	<b>Drivers identified</b>	<b>Summary of the underlying causes</b>
Terai Arc Landscape Nepal 2004 -2014, Broad Strategy Document (MoFSC, 2004) (Used Root Cause Analysis, RCA method)	(Direct causes of environmental degradation and biodiversity loss in the TAL): <ul style="list-style-type: none"> <li>- Forest conversion,</li> <li>- Uncontrolled grazing in forests,</li> <li>- Unsustainable timber harvesting,</li> <li>- Unsustainable fuel wood extraction,</li> <li>- Forest fires,</li> <li>- Churia watershed degradation</li> <li>- Wildlife-poaching and human-</li> </ul>	<ul style="list-style-type: none"> <li>- Migration and population growth</li> <li>- Low agricultural productivity</li> <li>- The struggle for land</li> <li>- Lack of off-farm livelihood opportunities</li> <li>- Inadequate access to and management of forest resources</li> <li>- Cross border issues</li> </ul>

<sup>2</sup> Out of this total, tree component (live, dead standing, dead wood and below-ground biomass), forest soils, and litter and debris constitute 61.53%, 37.80%, and 0.67%, respectively.

<sup>3</sup> FRA Nepal was the first national inventory that covered the entire country and employed a consistent method of multisource forest resources assessment. Until it released its up-to-date and reliable results, the nation had to rely on data from the national forest inventory undertaken by the Forest Resource Information System Project of 1994-1998. This new data presents the status of the forests in Nepal from 1991 to the present, a period during which the socio-economic and political landscape of Nepal has changed significantly. It is envisioned that the findings of FRA Nepal will guide forestry, conservation and other related policies for the next decade. This information and knowledge base will also serve as the baseline for future international reporting by Nepal.

<sup>4</sup> A summary table is included at the end of this report

	wildlife conflict	
R-PP (MoFSC, 2010)	<p>Drivers of deforestation and forest degradation:</p> <ul style="list-style-type: none"> <li>- High dependency on forests and forest products (timber, firewood, and other NTFPs)</li> <li>- Illegal harvest of forest products</li> <li>- Unsustainable Harvesting Practices</li> <li>- Forest fire</li> <li>- Encroachment</li> <li>- Overgrazing</li> <li>- Infrastructure development</li> <li>- Resettlement</li> <li>- Expansion of invasive species</li> </ul>	<ul style="list-style-type: none"> <li>- Poverty and lack of livelihood alternatives;</li> <li>- Weak governance mechanisms and weak law enforcement</li> <li>- Inefficient distribution mechanism for timber and firewood</li> <li>- High cross-border demand for forest products</li> <li>- Inadequate budget for research and development</li> <li>- Political interference</li> <li>- Unclear land tenure, policy and planning</li> </ul>
Biological and socioeconomic study in corridors of Terai Arc landscape (WWF Nepal/ Hariyo Ban Program, 2012)	<p>Major threats to habitat and species:</p> <ul style="list-style-type: none"> <li>- Land use alterations,</li> <li>- Forest encroachment,</li> <li>- Forest Fire,</li> <li>- Livestock grazing</li> <li>- Illegal logging and wildlife trade (poaching)</li> <li>- Human Wildlife Conflict</li> <li>- Invasive species</li> <li>- Infrastructure and</li> <li>- Climate induced threats</li> </ul>	Underlying causes of the threats are not specifically provided.
Drivers of Deforestation and Forest Degradation and responses to address them in Nepal (UN-REDD Program, 2013)	<p>Drivers of deforestation and forest degradation:</p> <ul style="list-style-type: none"> <li>- Illegal logging,</li> <li>- Encroachment,</li> <li>- Fuel-wood consumption,</li> <li>- Roads</li> <li>- Mining,</li> <li>- Grazing</li> </ul>	<ul style="list-style-type: none"> <li>- Poverty and high dependency on forests;</li> <li>- Increase demand for forest products;</li> <li>- Weak law enforcement;</li> <li>- Corruption</li> <li>- Population growth</li> <li>- Political instability</li> <li>- Poor technology in forest management</li> <li>- Low agriculture productivity</li> </ul>
Multi stakeholder consultations conducted for ER-PIN development at national and sub-national level (2013)	<p>Drivers of deforestation and forest degradation:</p> <ul style="list-style-type: none"> <li>- Encroachment</li> <li>- Open grazing</li> <li>- Firewood collection</li> <li>- Resettlement and</li> <li>- Infrastructure development</li> <li>- Illegal cutting of trees</li> <li>- Forest fires</li> </ul>	<ul style="list-style-type: none"> <li>- Population growth and migration from hills</li> <li>- Poverty</li> <li>- Unemployment</li> <li>- Political instability</li> <li>- Weak law enforcement</li> <li>- Lack of coordination among the various government agencies</li> <li>- Floods</li> <li>- Lack of resources in DFOs to control illegal activities</li> </ul>

		- Lack of land use policy - Corruption
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The R-PP recognizes that many underlying causes are a result of a combination of factors internal and external to the forestry sector. These include socio-economic issues such as population increase and its distribution, poverty, land scarcity and the status of Nepal’s level of economic growth and commercial development.

Not all stakeholders agree on the analysis on the drivers of deforestation. For example, CSO representatives argue that these drivers are rather superficial and do not adequately represent the deeper political economy of forest governance. There is still lack of focus on and strategic planning for how to address the key underlying drivers.

The R-PP reported that a preliminary analysis indicated that the drivers are diverse, complex and different in the various regions.

The country has five physiographic zones: the High Himal (23.9%), High Mountains (20.4%), Middle Mountains (29.2%), Churia (12.84%) and the Terai (13.7%), all with different dynamics of deforestation. Among all physiographic regions, FRA reported that Churia has the highest occurrence of forest disturbance particularly grazing, forest fire, landslide and bush cutting.

Nonetheless, there is evidence of an increase in forest cover in the Middle Hills. This is partially attributed to the expansion of community forestry, but also to the decade long internal conflict, outmigration from rural villages and economic dependency on remittances. These factors had either restricted the access to the forests or decreased the dependency on forests, thereby increasing its coverage and quality.

**Political Context and Governance**

Nepal is a landlocked country, with a history of political instability. The ‘civil war’ or ‘Maoist insurgency’ lasted for eleven years (1996-2006) and ended with about 14 000 people dead, and another 150,000 homeless. Since then, the political leadership has changed over 11 times. An interim Constitution was formulated in 2007, and a Constituent Assembly formed to draft the Constitution. However, the Assembly failed to produce a constitution during its mandate, leaving the country in a legal vacuum. A Second Constituent Assembly was then composed in 2012 and drafted the legal diploma, which came into effect on September 2015.

Political instability has led to substantial changes in land use change patterns, with an influx of people in the urban centers over the last decade. It has also severely affected the predominantly state owned sectors, including the electricity sector. This poses a challenge to meeting the rapid growth in electricity demand in the country. The government of Nepal has declared several energy emergencies over the years, the most recent in September 2015 <sup>5</sup>. This was a result of a strike in the southern Terai regions and blockage at the Nepal-India borders, which has caused shortage of petroleum products. There is secondary evidence that deforestation is increasing as people seek for alternative fuel (The Himalayan Times 2015; Khadka 2015).

National forest and private forest are the broad categories of forest on the basis of land ownership, but there is no data available on the extent of private forest. On the basis of management objectives and rights, Government forests have been further categorized under Government-managed forest, community forest, leasehold forest, religious forest, protected forest and forest under the protected areas systems.

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<sup>5</sup>Nepal imports all of its petroleum supplies from India.

There is widespread inequality in access to land in the country. The people most affected by this inequality are from socially and economically disadvantaged groups, including women, dalits, indigenous communities, landless peasants, and vulnerable groups.

Nepal has a successful experience with community forestry, established in the 1980's. The government transferred managerial rights to user groups, resulting in several positive outcomes as the users had greater access to their forest resources and responsibility for their stewardship. These included forest restoration, social inclusion and representation, improvement of community infrastructure and rural development. Community forestry now accounts for some 1.2 million ha, approximately 20% of the country's total forest area, and benefits 1.6 million households, making it an important anti-poverty program. This approach was highly successful, particularly in the Middle Hills.

On the other hand, poor governance is at the heart of the ongoing deforestation in regions like Terai. Timber traders often involve local leaders of political parties, influence forestry officials and become protected by these groups (Paudel et al 2015). Widespread illegal activities have flourished over the last years, including illegal logging, timber smuggling and encroachment of forestlands (CNRM, 2010). The prolonged political transitions only add to the challenges of maintaining law and order in Terai (Paudel et al 2015).

### **National REDD+ Process**

Nepal joined the FCPF in 2008 and its R-PP was approved in 2010.

Nepal allocated the FCPF grant for REL, MRV, SESAs, and part for its R-Package. The funding from other bilateral partners<sup>6</sup>, such as USAID, DFID/SDC, Finland, and Japan, was initially allocated to consultation and outreach.

Nepal could not meet the original readiness timeline. This was due to two main reasons. The fact that the bi-lateral donors were not able to support all the activities originally planned, coupled with some understaffing and high turnover of REDD Implementation Centre (REDD IC) staff. Thus, the country requested an extension of 18 months, which was granted by the World Bank (Country Annual Report 2015). The extension was designed to complete the already ongoing studies under REDD Readiness, and to develop its results-based REDD+ program under the Carbon Fund.

Nepal presented an Early Idea for the ER-PIN at the Eighth meeting of the Carbon Fund on December 2013. Nepal's ER-PIN was selected into the Carbon Fund pipeline in 2014.

The ER-PIN, which involved broad consultations, is 15-year program (2015 – 2030) approved by the REDD Working Group and endorsed by the Apex Body and the Minister for Forests and Soil Conservation. The program area selected in the Terai Arc Landscape encompasses 2.3 million ha (15% of Nepal's land area), out of which 1.2 million ha is under forest cover. The Terai's forests are highly threatened by unsustainable and illegal harvest of forest products, overgrazing, forest fires, and conversion of forests to other land uses (encroachment, resettlement, and infrastructure). The program is being designed to have a component on community forests.

The ER-PIN proposes five strategic interventions to generate emission reductions:

1. Increasing supply of forest products by implementing sustainable management of forest and carbon enhancement practices on about 280, 000 ha of existing Community Forests (CF) and Collaborative forest management (CoFM), and transferring about 300, 000 ha of government-managed forests to either CF or CoFM models;
2. Reducing demand of fuel wood by expanding existing initiatives of alternative energy and installing an additional 12,000 biogas plants per year;

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<sup>6</sup> Note that the budget was not formally allocated for capacity building and awareness activities only

3. Integrating land use planning to reduce forest conversion while advancing needed infrastructure;
4. Increasing supply by engaging the private sector to make about 12,000 ha of commercial private forests in five years; and
5. Enhancing alternative livelihood opportunities to address underlying drivers.

From these interventions, the Government estimates it could generate 14 million tons of CO<sub>2</sub>e reductions in five years (by 2020).

In 2015, a Letter of Intent to potentially purchase emission reductions (ERs) from the country was signed. The country is still developing its ERPD.

In October 2015, the readiness process closed, but Nepal recognized that most readiness activities would need further work. Thus, the country requested additional funding of USD 5 million from the FCPF, which was approved during the 20th Participants Committee meeting (Resolution PC/20/2015/3).

Nepal is currently developing its forest investment plan under the Forest Investment Program (FIP). The table below presents a summary of the FCPF funding in Nepal and the status of implementation.

**Table 2 Summary of Nepal FCPF Readiness Preparation Funding**

Components of the Grant		USD million	Activities	Status by Aug. 2015
Initial FCPF Readiness Preparation Grant Total		3.6		
C.1 REDD Analysis and Policy Development		3.1		
	SC 1a. Stakeholder Consultation and Participation	2.4	Awareness and outreach, capacity development and consultation	Further development
	SC 1b. Land Use and Forest Policy Analysis	0.1	Various studies to be conducted	Significant progress
	SC 1c. Strategic Analysis	0.2	Provide a scientific foundation for the National REDD Strategy	Significant progress
	SC 1d. Implementation Framework Development	0.3	REDD implementation mechanisms and the proposed institutional arrangements policies and programs	Significant progress
	SC 1d. Social and Environmental Impact Assessment	0.2	Leading to development of SESA and ESMF	Significant progress
C.2 Reference Scenario Formulation		1.4	Formulate a projection of BAU emissions of carbon from forest-related sources.	Progressing well, further development required
C.3 Monitoring, Reporting and Verification Systems Development		1.8	Develop information sources and systems capable of supporting future emissions reductions claims and transactions	Significant progress / Progressing well, further development required
C.4 Program M&E and National Readiness Management		1.2	Support the national REDD institutions	Significant progress



Additional funding requested in the Mid-Term report*	5.0	Grant will be used to follow-up first phase REDD+ Readiness activities.
* The additional funding request will aim to address readiness process components and sub-components 1, 2, 3, & 4.		

Sources: Text of the Grand Agreement, Readiness Preparation Grant - Integrated Safeguards Data Sheet, Nepal Updated Progress Report and Request for Additional Funding, & Nepal 2015 REDD+ Annual Country Progress Reporting.

The main results achieved so far include:

### Component 1. REDD Analysis and Policy Development

Studies/reports that have been completed

- Drivers of deforestation and forest degradation
- Draft National REDD+ strategy (being revisited)
- Strategic Environmental and Social Assessment (SESA) and Environmental and Social Management Framework (ESMF)
- REDD+ Implementation framework
- Grievance Redress Mechanism

### Components 2 & 3. Reference Scenario Formulation, & MRV Systems Development:

- National reference level established, but require further fine-tuning
- Monitoring, Reporting and Verification (MRV) system designed
- Full cost proposal for doing MRV going forward prepared
- Database system of basic forest attributes in progress but will require more work (proposed under the additional funding).

### Component 4. Program M&E and National Readiness Management

- REDD+ monitoring and evaluation framework developed (piloted in Nepal)
- National readiness management set up strengthened
  - o REDD Cell upgraded to REDD Implementation Center (11 Staff, 7 technical /4 others)
  - o REDD Working Group (CSO, IPO, Donors, Ministries)
  - o Multi-stakeholder Forum (Consultative platform)
  - o IPOs and CSOs Platform

FCPF has been, by far, the main contributor for REDD+ in Nepal. The table below lists the amounts of non-FCPF investment pledges.

**Table 3** Amount of non-FCPF investments pledged under R-PP process

Source	Amount provided, USD
USAID	965,000
DFID/SDC	491,000

Finland Government	360,000
Japan Government	2,000

Source: Nepal annual country progress report (August 2014 to July 2015)

## **REDD Institutional Framework**

The Government of Nepal has established a three-tiered REDD+ institutional framework consisting of:

1. A high-level, inter-ministerial REDD + Apex Body — the ultimate body regarding any REDD+ policy decision, composed by several ministries
2. A multi-stakeholder REDD+ Working Group (RWG) — working as an advisory body to the overall REDD Readiness process in Nepal including the functioning of the REDD Implementation Center. It has members from CSO, IPO, Donors, and different ministries
3. The REDD Forestry and Climate Change Cell (REDD Cell), later re-named to REDD Implementation Centre (REDD IC) within the Ministry of Forest and Soil Conservation — an administrative unit carrying out preparation work with the support from the FCPF. It currently has 11 dedicated staff (7 technical and 4 others).

All three bodies have been working together to prepare the REDD National Strategy and implementation plan. In addition, a Stakeholder Forum has been established to engage a wide range of stakeholders in the REDD process. Since the state is under a restructuring process, these institutional arrangements will be adjusted in line with the new constitution.

## **Field Visit Findings**

### **1. For what reason did Nepal decide to join the FCPF in the first place, and to continue the engagement thereafter?**

Nepal joined the FCPF in 2008. The R-PIN (April 2008) recognized the increasing levels of deforestation and degradation especially in the Terai region. The document also highlighted Nepal's community-based forest management experience as a key strategy to address climate change by involving local communities in forest protection, management and resource utilization.

According to both government and CSOs interviewed, Nepal was not initially interested in REDD as the country had already been promoting significant efforts to conserve forests through its fruitful community forestry programs.

In 2007, the Bali Action Plan (formulated under UNFCCC COP 13) stated that a comprehensive approach to mitigating climate change should include “policy approaches and positive incentives on issues relating to reducing emissions from deforestation and forest degradation in developing countries; and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries”.

When REDD integrated the latter three activities, both government and NGOs became interested in the mechanism. They saw an opportunity to benefit from the country's existing community forestry programs and further improve ecosystem resilience and rural livelihoods. Given that the FCPF was offering a complete package, that combined both technical and financial assistance, Nepal decided to join.

After the R-PIN (2008), the R-PP and other analytical work (e.g. through FRA) further clarified that deforestation is increasing and has an impact on rural livelihoods. This knowledge has assisted the country to develop an ER-PIN focus in the Terai region, which is known for the high deforestation rates and poor governance.

Government and CSO interviewees also highlighted that the FCPF is an attractive platform as it helps countries build Readiness, but also ensures that there is a demand mechanism for emission reductions developed under the ER programs. Additionally, the majority of interviewees believe that the FCPF instruments and processes have been very helpful in setting up the country's Readiness process. It has also contributed to promote dialogue between different groups of stakeholders, and has given a voice to marginalized groups.

Thus, the majority of stakeholders believe that there is no reason to leave the program.

In conclusion, the Evaluation Team found that Nepal initially decided to join the FCPF as it saw an opportunity to benefit from its existing and successful community forestry program. However, the FCPF process has assisted the country in learning that REDD+ can assist in addressing deforestation and degradation in regions where the program was not so successful, while also improving livelihoods. The ER-PIN builds on community forestry experience, but in a region where deforestation is increasingly rapidly. However, there is still a large potential to develop ER programs in the Middle Hills.

Overall, the Evaluation Team found that national actors are keen to remain under the FCPF. The Facility is helping to guide the country on how to implement the very complex REDD+ mechanism, and has encouraged stakeholders' groups to come together and build a common vision on how to address deforestation. In addition, the FCPF provides an interim market for carbon credits under the Carbon Fund. This has signaled to Nepal that their efforts towards building a REDD+ strategy and reducing emissions would not be wasted, but financially rewarded.

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

Nepal's 2015 Constitution determines that the State shall pursue policies to promote the conservation, management and use of natural resources. This includes policies that keep necessary landmass as forest area to strike environmental balance. It also lists carbon-related services under one of the legislative powers of the Federal Parliament.

Nepal's Low Carbon Economic Development Strategy (2014) aims to identify key approaches to drive Nepal towards a low carbon development path while fostering economic growth opportunities. It lists forestry as one of five leading sectors to promote low carbon growth.

Nepal's 13th National Development Plan (2013-2016) focuses on poverty reduction through sustainable, inclusive and equitable growth. The main strategy is to improve the standard of living with a goal of reducing the number of people under the poverty line. The Plan and its Approach Paper have special provisions on forests, and aims<sup>7</sup> to increase forest cover to at least 40 percent of the total area of the nation. It also intends to support economic development through the conservation, sustainable management and appropriate use of forests, flora and fauna. One of the expected outcomes is that five hundred community forest users' groups prepare and implement forest management plans, which consider climate change mitigation and adaptation.

The Plan's objectives, goals, strategy, and priorities are all oriented towards upgrading Nepal from an LDC to a developing nation by 2022; attaining the millennium development goals; alleviating poverty by promoting a green economy; addressing regional and international commitments; and promoting sustainable development, human rights and adaptation to climate change. It also includes as a priority "to develop institutional infrastructure to capture the benefits of REDD+ implementation".

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<sup>7</sup> More specific objectives include: to conserve, sustainably manage and optimally use forest resources; provide for the easy availability of forest products, employment generation, and livelihood improvement through the commercialization and proper use of the forest products and ecosystem services gained from sustainable management of forestry resources; create a supportive environment for the conservation and development of the forestry sector; and maintain good governance in the forestry sector

Nepal's National Adaptation Program of Action (NAPA) developed in 2010 highlighted the country's vulnerability to climate change. It identified that forested ecosystems are deteriorating and that society should become better aware of the impacts and plan interventions, including building community adaptation awareness and capacity.

The outline of the national REDD+ strategy recognizes that forest ecosystems play a vital role in adaptation to climate change and promoting climate change mitigation through REDD+. It established that the Strategy and its implementation will align with overall development strategies such as poverty reduction, livelihood improvement and equitable and inclusive development of the country to produce synergetic outcomes.

Nepal's R-PP acknowledged the need to address mitigation and adaptation simultaneously, especially for the benefit of poor and marginalized people in Nepal. The ER-PIN also identified that non-carbon benefits should be pursued. The document has adopted a list of six priority types of co-benefits from REDD+, their indicators and means of verification. One of them focuses on promoting more resilient ecosystems for climate change adaptation: "With effective and efficient management of forests, the local environment and associated ecosystems will be less vulnerable to adverse impacts of climate change. Ecosystem based adaptation measures can provide sufficiently resilient ecosystems that will mitigate climate change impacts on people and ecosystems".

The R-PP established that the REDD+ process should be aligned with national priorities for addressing poverty and enhancing the livelihoods of people who are dependent on forest resources. REDD+ related activities are being designed to deliver co-benefits and help Nepal meets its poverty reduction strategy. The ER-PIN, for instance, has proposed to improve livelihoods of 7.35 million people in the Terai region, and the country has carried several consultations and promoted outreach programs at the local level with marginalized and low-income actors (see Q5).

The majority of interviewees recognized that by focusing on promoting REDD+ through the development of a national strategy and pilots, Nepal is also addressing key national priorities such as poverty and livelihoods. They also identified climate resilience as a key priority for the country, highlighting that the marginalized communities are already feeling the impacts through landslides, erosion and soil instability occurring in the country. Some government and CSOs interviewees argued that there is a complementarity between mitigation and adaptation activities, stating that if deforestation is addressed, the ecosystem becomes more resilient, and therefore adaptable to climate change. Other CSOs believe that the government and FCPF should make further efforts to strengthen the linkage, and balance implementation of activities between mitigation and adaptation.

The World Bank's Country Partnership Strategy (2014-2018) for Nepal proposes to shift the engagement with the country away from short-term post conflict assistance to supporting sustainable growth. It has decided to focus one of the pillars on increasing the electricity supply within the country by tapping the country's hydropower potential. While hydropower is often taunted as Nepal's ticket to sustainable growth, which might diminish reliance on fuel wood, it is not quite clear that the efforts of Nepal's REDD Readiness under the FCPF have been considered in the new World Bank Strategy. One key informant mentioned that the Bank is starting to align the agendas of its supported projects in Nepal, such as hydropower-related projects and FCPF efforts. But it is still on its early phase.

In conclusion, the Evaluation Team found that Nepal's REDD+ agenda supported by FCPF was aligned with the countries' main priorities. Poverty alleviation, livelihoods, strengthening of the forest sector, forest conservation and sustainable forest management appear were central concerns under REDD+, and were well addressed under the on-going ER program. However, the evaluators could not find strong evidence that adaptation and mitigation actions have been well aligned. Despite mentioning that effective and efficient management of forests leads to ecosystem resilience, the ER-PIN does not specify activities that aim to, for instance, increase knowledge of local community on adaptation measures. The FCPF should promote further efforts to create more synergies between these two activities, especially in least developed countries, which are more vulnerable to impacts of climate change. Additionally, there is still modest evidence that the World Bank is working towards aligning its country strategy with the FCPF process.

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

According to Nepal's Grant Agreement for Nepal's Readiness Preparation Proposal Readiness Fund of the FCPF (Grant No. TF094724), the country received USD 200,000 in 2009, for formulating its R-PP. Nepal's preparation installment of USD 3.4 million was received in 2011. In 2015, the Participants Committee allocated Nepal USD 5 million to further continue its REDD Readiness, known as the additional grant.

Nepal's Annual Country Progress Report (2014-2015), clarified that the country initially allocated FCPF grant to technical work that required mostly international consulting services such as for REL, MRV, SESAs part of its R-Package. However, the country had to re-allocate the FCPF grant to cover other activities that did not received pledged bilateral funding. These include outreach and consultations. The country also allocated part of the resources to develop its performance based REDD+ program under the Carbon Fund.

The majority of interviewees acknowledged the importance of having the FCPF and its structure in Nepal to help the country coordinate the REDD agenda and fund activities. The three bodies were established as a result of the requirements set out in the FCPF framework, and have been key to advance REDD+ in the country. The REDD IC, in particular, helps organize and promote consultations, liaison with FCPF to advance the Readiness process, and has become a national reference on REDD related issues, with dedicated and trained staff.

Nepal's Country Progress Sheets (2011-2014) recurrently emphasized that, following the FCPF guidelines, the REDD+ process in the country has been built in a participatory manner. The majority of CSOs mentioned that this process has been the first of its kind, where they were able to both learn about the issue at hand, and sit in recurring discussion forums that aim to tackle the drivers of deforestation in the long term. However, several CSOs pointed out that improvements are still needed. For instance, CSOs, particularly from IPs and marginalized groups argue that they are consulted, but not yet included in the decision-making process, and that the FCPF templates not always have space to reflect their comments.

Most stakeholders also agree that the FCPF step-wise and guided process has contributed to increase understanding and capacity of both CSOs and government officials. This has been key to advance the national REDD+ process, and has led to an increase in country ownership and commitment to continue working on REDD. Nepal has been one of the first countries to develop the R-PP and present the Mid-Term Progress report. The government was also able to mobilize itself quickly and produce a letter to the FIP in less than a week when the World Bank was visiting the country.

According to the country Progress Reports, the REDD IC has hired additional technical staff to strengthen the implementation of REDD+. However, some CSOs argued that more qualified and permanent<sup>8</sup> staff is needed in the government, as well as additional outreach programs for CSOs and marginalized groups.

Some stakeholders believe that the FCPF is more flexible than bilateral donors, as it was designed to encompass all phases of REDD from Readiness to Carbon Fund. Stakeholders mentioned that the FCPF not only prepares countries, but works towards generating Carbon credits demand in the international market, which provides confidence to national stakeholders that their efforts being promoted under Readiness will lead somewhere.

However, Government officials and CSOs acknowledged that the FCPF was not designed to fund ER activities (i.e. phase 2). There is a gap in the process, which FIP is trying to fill in.

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<sup>8</sup> Rotation of staff in the government is quite common in Nepal. The REDD IC has changed its staff several times, but now they were able to secure more 'permanent' positions, so the knowledge stays in the center. Even though FCPF cannot change government structure and rules, CSOs believe that its presence in the country indirectly pressures the government to reduce rotations in the REDD IC.

CSOs also highlighted that because Nepal is part of an internationally renowned program, the government feels pressured to advance its agenda and comply with reporting and other deadlines set by FCPF. This external pressure has encouraged the country to continue advancing its REDD+ agenda. A senior government stakeholder further reinforced this point stating that participation in international FCPF meetings further encourages Nepal to meet deadlines.

Some government representatives also noted that the World Bank, and the FCPF staff have provided a good source of technical assistance when the government was, for example, developing its ER-PIN and ERPD. Government and CSO stakeholders noted that the World Bank has experience from other countries and a broader/international view of REDD+, which is useful when trying to link the on-the-ground needs of Nepal with what the international process can offer. The country also welcomed the productive reviews of the Technical Assistance Panel (TAP) during the RPP revision, such as, taking into consideration the future changes in the constitution and how they might reflect in the REDD+ process.

While developing its R-PP, Nepal felt an urgent need to learn from how other countries were progressing on their REDD+ approaches to Benefit Sharing. Guidance was very limited at the time. To support Nepal and several other Asian countries, the World Bank arranged a teleconference for knowledge sharing in 5 Asian countries and in Washington. This allowed Nepal to gain knowledge from other countries experiences and access technical knowledge using the World Banks experts.

Overall, and despite some criticism, the evaluators felt that the FCPF has been central to the development of REDD-plus processes in Nepal and is recognized as the key factor in moving this process forward. Some key support from the FCPF include flexibility of REDD implementation schedule, step-wise and technical guidance on how to develop and implement the REDD+ mechanism conceptualized under UNFCCC, punctual technical assistance for individual needs, encouragement to keep Nepal on track and continue advancing the REDD agenda.

However, there is still a lot to be done. Nepal has received additional funding for Readiness, and interviewees highlighted that the country is still missing key instruments and processes to finally become 'ready'. This includes more pilots, a national Fund to receive the results-based carbon payments, and a system to distribute benefits among national stakeholders, among many other needs.

#### **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+?**

Nepal's Country Progress Report (2014-2015) identified that the country has developed several FCPF instruments. According to government and CSOs stakeholders interviewed, the FCPF tools have been mostly helpful in Nepal's preparation for undertaking REDD+.

The **R-PP template** was an important initial tool to help the government plan how to conceptualize and implement REDD in the country. It was developed in a participatory manner, and the government and CSOs are of the view that the guidance and the templates were sufficient to direct the country.

The government also welcomed the constructive **TAP reviews** to improve its RPP. Among other comments, the TAP highlighted the importance of describing a process in the RPP that responds to upcoming changes in the Constitution; the need to examine how community based monitoring might apply to the Terai region; and the relevance of considering private forests in the REDD process.

**SESA** was the instrument mentioned by most interviewees as being key to integrate different voices and concerns into the REDD process. Women interest groups and indigenous people, in particular, identified that SESA guidelines/instructions placed a significant importance on their engagement, and therefore found an opportunity to finally be systematically engaged in a national dialogue.

**Progress reports** have been an opportunity to summarize progress and communicate with national and international stakeholders. However, the **Mid-Term Reports** were said not to be easy to complete. According to national stakeholders, sometimes it was difficult to compile information for the whole country, especially as the data is sometimes in different agencies. The **M&E framework**

was considered very relevant and easy to use, especially as the government was involved in developing it.

To develop the Forest Reference Level, the country utilized the FCPF **Methodological Framework for Developing Reference Levels** while applying key UNFCCC/IPCC principles and guidance for estimating emissions and removals of greenhouse gases from anthropogenic origin. Other Guidance documents including the **FCPF Decision Support Tool for Integrated REDD+ Accounting Frameworks** were also used to the extent that they were consistent with the UNFCCC framework.

The **ER-PIN Guidance** as well as the **Methodological Framework** were also considered very relevant and instructive.

The majority of stakeholders believe that the overall constructive guidance of the instruments has allowed them to understand what REDD is about and become interested in contributing to the process.

However, stakeholders highlighted that some of the instruments, particularly the Methodological Framework, are very complicated and sometimes not flexible enough to reflect some of the countries peculiarities. Stakeholders felt frustrated that some comments/inputs they provided were not reported or addressed. In some cases, the government argues that the ready-made FCPF templates do not have room to integrate all comments. However, CSOs are skeptical and believe some comments are just not integrated

In conclusion, the Evaluation Team found that, for the most part, the FCPF instruments have been useful in helping countries become 'ready' and access results-based Carbon payments. Not only the templates, but also the guidelines and step-wise processes were essential to give national stakeholders a direction to follow, and build a stronger sense of ownership of the process. The R-package has particularly been instrumental to help the country identify gaps, and plan ahead. Nonetheless, there is still room for improvement, as some CSO, especially marginalized groups do not have the capacity to grasp the complexity of some instruments, and feel that their voice is not well portrayed.

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

The ER-PIN highlighted that the REDD+ process was developed to encourage and enable multi-sectorial engagement, and the ER program aims to continue building on these efforts. The Country Progress Report (2014-2015) stated that relevant stakeholders have been actively engaged through a permanent structure that encompasses Apex Body, REDD Working Group, and Multi-stakeholder Forum. This allows for continuous engagement and collaboration between stakeholders. Additionally, there is the REDD+ civil society and indigenous people's alliance (REDD+ CSO and IPOs Alliance), which is a loose network of CSOs and IPOs working in forestry and natural resources. The 15–20 NGOs, civic networks and IPOs have met frequently to discuss key REDD+ issues.

The country Progress Report (2014-2015) also highlighted that all readiness studies have been prepared in consultation with relevant stakeholders, including IPOs and CSOs. Consultations and outreach as envisioned in the R-PP have been completed to some extent. More activities of this sort were further planned for the grant extension period (January 2014 – June 2015)

The Progress report also detailed the level of participation and engagement of the different stakeholder categories:

- Government Agencies: engagement through Apex Body, RWG, Multi stakeholder Forum, CSO/IPO's alliance for REDD+, various Technical committees, and steering committee
- Indigenous Peoples: engagement through Apex Body, RWG, Multi stakeholder Forum, and other committees
- Other forest-dependent communities: Dalit - engagement through Multi stakeholder Forum

- Women: engagement through Apex Body, Multi stakeholder Forum and the Alliance
- Youth: No separate representation of youth but participating in CSO/IPO's alliance
- CSOs: engagement through Apex Body, RWG, Multi stakeholder Forum, various Technical committees
- Private entities: engagement through Apex Body, multi-stakeholder forum and REDD+ alliance
- Donors: engagement through Apex Body, RWG, Multi stakeholder Forum and alliance.

When the REDD+ agenda came to Nepal, a number of different stakeholder groups acknowledged that deforestation needed to be addressed. Thus, several CSOs and government officials were keen to work together. This included not only large CSOs, but also indigenous people, women interests and other minority groups.

The majority of interviewees agree that the REDD+ formulation process has been inclusive and participatory. They largely attribute this success to the FCPF's strict but fair requirements on broad stakeholder participation.

Over the years, and after further understanding the complexities of addressing drivers of deforestation, several groups started to grasp the challenges of REDD+. They realized that the mechanism needs to be enacted carefully to safeguard the rights of different groups, especially marginalized forest dependent groups. Therefore, a constructive debate was raised around several issues including carbon rights, benefit sharing, land tenure (especially of landless people living in official 'forestlands'), and preservation of traditional practices<sup>9</sup>.

Despite broad inclusion, interviewees acknowledged that stakeholders at local level have not been significantly engaged. A number of Districts were not yet targeted, and it is still a challenge to reach grass-root actors due to accessibility issues and capacity constraints in district and local agencies.

Interviewees highlighted that IP groups are fairly well represented at both national and district level. There are several IP networks well organized in the country, and they have a permanent seat at the REDD Working Group. However, there are complaints that government officials tend to dominate the key decision-making bodies, making them merely consulted groups.

Since the start of the climate change debate, the government has realized that women are going to suffer most from the impacts of climate change. Therefore, there has been an overall interest to engage them. The FCPF also emphasizes the importance of bringing them on board in several documents, which, according to interviewees, is a solid reminder to the government to allocate a seat to women in consultations. Thus, they have been involved in the discussions from the beginning. However, there is general disagreement between interviewees on how well they were integrated in the process.

Despite progress compared to previous processes, women's groups still feel poorly represented with limited opportunities to express their views. Their lack of capacity, training, articulation and society recognition as an interest group hinder their ability to advance the women's rights agenda. Some interviewees highlighted that this is not a REDD+ issue, but mostly a country culture challenge, where women are not yet empowered and integrated in decision-making roles.

The private sector is still marginally engaged in the process. Even though Nepal does not have a culture of large forest enterprises, the country houses several small-scale private forest owners and operators who have not been integrated in the REDD+ plans. Interviewees mentioned that there was still no mechanism under the REDD process to integrate the private sector, especially because they

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<sup>9</sup> Among these, women, *Dalits* and IPs have perceived threats that REDD+ may restrict their traditional practices including collection of fodder, fuelwood, charcoals, herbs, wild foods, and construction materials among others



are profit oriented, which is less attractive for donors to work with than the community forestry programs.

The role of community forestry as private sector players was mentioned by a handful of CSOs. Even though this might be an opportunity, there are still many challenges. For example, the issue of the size of community forest lots was seen as a limitation, as most forest lots were very small 1-4 hectares. While there is an opportunity to engage the private sector through community forests, organizational capacity for bringing the management of many small community forest parcels to scale is viewed as prohibitive.

Nonetheless, interviewees called attention to the added value the private sector can bring to the process in terms of increasing revenues to the country. The ER-PIN was the first instrument to acknowledge their important role in both bringing additional finance and technical knowledge to help strengthen the forest sector and increase supply of sustainable production and value chain of forest products. Nevertheless, it is yet to be seen how well their integration in the REDD+ process will take place.

The Evaluation Team found enough evidence to conclude that Nepal's RPP development process has adopted a participatory and consultative process involving the most stakeholders' groups in the country. However, there are still complaints on how well certain groups have been integrated, particularly women and the private sector. Also, the country has not yet reached local-level stakeholders.

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

The R-PP has recognized that one of the underlying principles of REDD+ in Nepal is to enhance coordination between different sectors and government agencies responsible for these sectors to ensure sustainability and avoid conflicts between national and sectorial policies and programs.

As discussed in the introduction, Nepal has conducted several analyses in recent years to identify the drivers of deforestation. For the ER-PIN process, the REDD Implementation Center synthesized the R-PP drivers analysis and other studies on the drivers in the program site, and discussed them in depth at several district and national level consultations. Participants identified the following four drivers to be prioritized by the ER program: i) unsustainable and illegal harvest of forest products<sup>10</sup>; ii) overgrazing; iii) forest fires; and iv) conversion of forests to other land uses (encroachment, resettlement, and infrastructure).

As a result, the ER-PIN process recognized that deforestation is not only a forest sector challenge. It needs to involve various sectors, such as energy, agriculture, and infrastructure to effectively tackle the direct and underlying drivers. Thus, the government is designing the ER program to build synergies between the forest and other sectors. The government is also committed to continuing a robust consultation process, building on earlier consultations during the formulation of the R-PP, to inform the full design of the ER program.

Despite the broad consultation and outreach efforts, and the recognition of the need to have a multi-sectorial approach to REDD, there is no evidence that other sectors of the economy have been systematically brought into the discussions. Even though representatives of different Ministries compose the Apex body, and the RWG invites experts outside of the forestry sector, much still needs to be done to engage them more actively. The Apex body does not meet regularly, and interviewees mentioned that these experts attend meetings, but do not contribute to a multi-sectorial debate. Instead, they just listen or provide small inputs.

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<sup>10</sup> This is fueled by both increasing demand due to population growth and immigration from hills and weak supply chain. On the demand side, most communities rely heavily on forest biomass to meet their basic needs for household energy, construction timber, furniture, forage, and farm equipment.

In addition, there was no evidence of REDD+ process influencing policy and behavioral change in other sectors than forestry. When asked, interviewees could not provide an example other than the Low Carbon Strategy, and Forestry Sector Strategy. The Constitution went as far as to recognize that forest area must be protected and carbon services regulated.

Some interviewees suggested that FCPF could, through guidelines, or templates, further encourage inter-sectorial dialogue. This also includes different departments under the same Ministry. Additionally, some stakeholders noted that the World Bank Group could be more active in promoting inter-sectorial dialogue and planning in Nepal, not only under the FCPF, but in other programs. After the re-structuring of the World Bank some years ago, there have been some efforts to undertake the programmatic approach to landscape initiatives. These are currently under debate also in Nepal, aiming at aligning the support to Hydropower and the REDD+ activities under the FCPF. However, these discussions are still at an early stage.

In conclusion, the Evaluation Team found that Nepal, well guided by the FCPF, has promoted several consultation efforts at the national level, and in the ER program site. The government has acknowledged that the drivers of deforestation are multi-sectorial and other sectors of the economy need to be engaged in finding sustainable solutions. However, so far, there is no evidence of proactive engagement of other sectors aside from mostly passive attendance in meetings.

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

There are specific examples of global level knowledge sharing promoted by the FCPF for which Nepal has either shared its knowledge, or participated in an event that facilitates knowledge sharing, see table below.

**Table 4** Examples of Global and Regional Level Knowledge Sharing Promoted by FCPF – Participation by Nepal

Date	Country	Title of Workshop	Participation by Nepal
Sept. 2012	Thailand	Asia-Pacific Indigenous Peoples Dialogue with the FCPF	Nepal presented and participated
April 2013	Thailand	Social Inclusion in REDD Readiness	Nepal shared its experiences on social inclusion
Jan. 2013	USA	World Wildlife Fund (WWF) and the Forest Carbon Partnership Facility (FCPF) hosted a technical workshop called “Building REDD+ Reference Levels”	Nepal sent 3 participants
June 2014	Indonesia	Asia Regional Workshop on Linking Local REDD+ Initiatives with National REDD+ Strategies	ICIMOD REDD pilots in 3 watersheds (Ludikhola in Gorkha District, Charnawati in Dolakha District, and KayarKhola in Chitwan District)

Source: Forest Carbon Partnership Facility

When asked about international knowledge sharing, only a handful of interviewees mentioned that there is some collaboration with other countries, especially at the meetings promoted by the FCPF. Interviewees noted that some conferences calls were promoted with countries like Thailand, Vietnam, Laos, and Indonesia, there were bilateral dialogues between Nepal and DRC, and Nepal supposedly reviewed other countries ER-PINs while preparing its own. Additionally, Nepal REDD IC has made efforts to coordinate and share lessons with donors and their supported programs in Nepal such as USAID (Hariyo Ban Program) and Finland (MRV).

Interviewees felt that FCPF can be an excellent venue for innovative learning. A number of interviewees mentioned wanting to be part of South-South collaboration exchanges, especially in technical aspects such as MRV. However, the majority felt that not much has been done on this regard, and would like to see engagement with other countries increase.

At the national and regional levels, there appears to be a significant amount of dialogue and knowledge sharing initiatives, including on technical issues such as measurement of carbon, developing reference scenarios, reporting and verification. Generally, the processes appear to have received persistent involvement of major forest and REDD+ stakeholders.

According to Nepal’s Annual Progress Report (2014-1015) several REDD+ orientation workshops/events were promoted in the country:

- two national,
- five regional, and
- forty-five local.

Additionally, the country has developed two Trainers of Trainer (ToT) modules, and trained 80 REDD Lead trainers, and 467 REDD Technical Trainers.

Despite the numerous workshops, meetings and consultations, stakeholders believe that knowledge still needs to be more widely channeled to local level in the Districts. The majority of stakeholders acknowledge the challenges of reaching low-income and illiterate groups spread around the country. Thus, interviewees recommended that simpler outreach methods should be adopted, and materials be translated into their local language, or drawn into pictures. Some suggested that FCPF could further support this aspect.

The Evaluation Team found evidence of knowledge sharing at the national level. However, as discussed in Question 6, efforts still need to be promoted to reach out and educate actors outside the forest sector. This includes sharing knowledge on how infrastructure and resettlement programs can have an adverse impact in forests if not well planned. At the global level, the FCPF has promoted some workshops and promotes country engagement opportunities during its meetings. Still, to strengthen knowledge sharing, technical meetings could be complemented by field demonstration visits, as it allows to better understand on-the-ground realities and challenges. FCPF is well positioned to identify which countries have similar realities and challenges, and support South-South programs.

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

The first evaluation of the FCPF resulted in 22 recommendations (Baastel et al 2011), not all of which were adopted, and some recommendations are not relevant to Nepal. However, for the recommendations that are relevant and adopted, and for which evidence exists, the extent to which the FCPF has responded to the recommendations of the first evaluation is listed in the table below.

**Table 5 Examples of Response to Recommendations from the first Evaluation in Nepal**

Recommendations from the first evaluation	Examples of FCPF response to recommendations from the first evaluation in Nepal
Decentralize FMT staff; provide more in- country support.	Nepal has support from a team composed of several experts including <ul style="list-style-type: none"> <li>- Task team leader under the World Bank: also in charge of other projects in Nepal, such as hydropower development, and thus well equipped to build synergies between that and the REDD process</li> <li>- FMT staff working as focal point: well aware of the FCPF processes, as he is part of their development process, and</li> </ul>

	<p>therefore well equipped to assist the countries in implementing tools and guidelines.</p> <p>National stakeholders commented that both the team and the number of World Bank/FCPF visits to the country has increased over the past years. See Q 10.</p>
Strengthen participation of key ministries in R-PP planning processes	<p>Under the Readiness process, Nepal has created a three-tiered structure to govern REDD. At the highest level is the Apex Body, a REDD multi-sectoral, multi-stakeholder Coordinating and Monitoring Committee, chaired by the Minister of the Ministry of Forests and Soil Conservation (MFSC), which includes several Ministries including Ministry of Environment, the National Planning Commission, the Ministry of Agriculture and Cooperative, the Ministry of Land Reform and Management and the Ministry of Finance, amongst others (FCPF 2012). Nonetheless, meetings have been seldom, sometimes once every 2 years, and that there has not been active engagement. See also Q6.</p>
Strengthen efforts to learn from previous experiences, lessons, successes, and failures in participating countries.	<p>Nepal has had a very good experience since the 1980s with its community forestry program. Interviewees acknowledged that lessons from that process, such as the decentralization transfer of rights to local actors, have been channeled to REDD, but more efforts to structure them into the climate change process should be done, especially concerning benefit sharing.</p>
Focus capacity building around the early building blocks of the readiness process, and around piloting in selected areas.	<p>Nepal had to ask for an extension to implement the planned Readiness activities due to several reasons (see introduction to this report). However, the extension also allowed the country to develop a results-based REDD+ program at jurisdiction local level to access potential opportunity under FCPF Carbon Fund. During the extension period of REDD Readiness, REDD IC conducted studies and activities towards achieving REDD Readiness at the national level and developing performance based piloting for the FCPF Carbon Fund in Terai Arc Landscape.</p>
Actively support learning and reflection around the Strategic Environmental and Social Assessment (SESA) process.	<p>Many consultations were carried under SESA, and the majority of stakeholders felt that the process was carefully designed to enable stakeholders to really understand issue and process. Nonetheless, many groups complained that their comments were not integrated in the final version.</p>
Scale up technical and financial support to regional measures designed to foster South-South exchange and learning.	<p>There have not been any South-South cooperation exchanges/projects yet, but the government has access to all other countries material (FCPF website) and presentations during the PC meetings. Many interviewees mentioned that they would be very interested in learning from different countries' experiences, but would need the FCPF to recommend which realities are similar to Nepal.</p>
While pursuing efforts to streamline the process of approval and disbursement of funds, continue to foster greater coordination with bilateral and multilateral partners at the country level.	<p>See introduction. Nepal planned the Readiness interventions taking into account other planned/allocated donor funding in forestry.</p>
Provide increased flexibility with respect to specific budget allocations under the Readiness grant given the rapidly evolving REDD+ financing landscape in countries where the R-PP has now long been approved.	<p>FCPF has been flexible with Nepal's delay in delivering the Readiness activities and has allowed that time and funding be allocated to develop the ER-PIN alongside Readiness. FCPF is now considering additional grant to complement Readiness activities (See introduction).</p>

Consider, in close coordination with other REDD-related funding mechanisms, measures to strengthen participation of responsible private- sector players in REDD+ processes.	The majorities of stakeholders recognized that private sector actors were not adequately involved in the consultation process, or are being brought into the discussion. The ER-PIN is attempting to change that by designing a specific activity focusing on their engagement.
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The previous evaluation (Baastel et al 2011) suggested that, as Nepal has considerable experience on community forestry, which has proven to diminish deforestation, it could promote efforts to share lessons with countries in the region. However, the Evaluation Team did not find evidence that actions have been taken in this regard, or that, from any of the stakeholders interviewed, this could be part of an South-South process with other countries. The evaluation team highly recommends that the FCPF facilitates South-South exchanges between Nepal and countries with similar conditions.

Baastel et al (2011) also highlighted that the R-PP process takes into account forestry legislation, but remains relatively silent on broader processes outside the forestry sector, such as local government reforms, fiscal decentralization reforms, poverty reduction processes and broader aspects of climate change and adaptation, which is increasingly important within Nepal. In addition, it considered that capacity building efforts have been concentrated within interest groups and the forest sector, with little involvement of wider stakeholders from other government departments or from other sectors of relevance to REDD-plus. This evaluation found that there has been some development in terms of creating synergies between mitigation and adaptation, but mostly in trying to address poverty through REDD+(see Q2). However, as further discussed in Q6, the country still needs to promote more efforts towards integrating other sectors of the economy in the REDD+ debate.

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

The FCPF has contributed to supporting an unprecedented and irreversible process of stakeholders' collaboration, particularly integrating marginalized groups. There is general agreement that this process has contributed to increase the overall understanding and capacity of several stakeholders on climate change and REDD+. This includes both technical aspects such as MRV and also building inclusive governance systems, which includes minority groups' participation, such women and indigenous people. Additionally, FCPF has helped develop processes and a database that will serve the country for many other purposes, including helping report to the UNFCCC.

Beneficiaries are not only government officials, but also CSOs and local communities, which have been intensively engaged in consultations throughout the country. Interviewees highlighted that this increased capacity of CSOs allows them to pressure the government to continue working in REDD+ and improve the forest sector agenda.

As mentioned in Q4, FCPF helped build a strong sense of ownership in the country, and there is increasing political will to address climate change and deforestation. The Low Carbon Emission Development strategy (LEDS) recognizes forestry/REDD+ as one of the six leading sectors to promote low carbon growth; the revision of the National Forestry Sector Strategy is being making efforts to harmonize Forestry Sector plans and goals with the emerging National REDD+ Strategy; and the Constitution establishes that the competence to legislate on carbon services.

However, as mentioned in Q6-7, sectors outside of forestry have only marginally been involved in the process. The evaluators could not find evidence that the REDD+ process had significantly influenced policies outside the forest sector so far. This has implications for the long-term transformational intentions of REDD+.

The majority of CSOs recognized that the government is not yet able to make significant changes in other sectors to help address the direct and underlying drivers of deforestation. But a small group of CSO representatives argued that this is a challenging task even for the World Bank. The CSOA

highlighted that the World Bank has a strong agenda on REDD+, but other departments within the same institution are financing large infrastructure projects that are contributing to deforestation. Even though they follow some social and environmental criteria, this CSO group believes that the Bank and FCPF could work more closely together and demonstrates to the country how different sectors (e.g. infrastructure and conservation) can build synergies.

As noted in Q6, the World Bank has been promoting internal changes and has started to build more synergies between projects under different programs, such as the hydropower plans and REDD+. The evaluators believe that this process should be better communicated as it seems to be a good example on how to promote synergies between multi-sectorial programs.

Carbon and climate change begin to surface in the Constitution and in some policies such as the Low Carbon Emission Development strategy and the National Forestry Sector Strategy. However, sectors outside of forestry are still not well integrated. This is problematic because REDD+ can not be well implemented without a true cooperation in synergy with other sectors.

The lack of alignment of World Bank country priorities and the FCPF could have implications for the long-term change that the FCPF expects to contribute to. Nepal is an LDC, which still heavily relies in development assistance. To ensure long-term impact, the REDD+ agenda should move from dependence on aid to be more systematically integrated in strategic development programs for the country. Featuring as a country priority in the World Bank country program is a good start.

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

In Nepal, the Task Team Leader and the FMT focal point in the World Bank provide technical backstopping from Washington DC, and through country visits. Nepal has little interaction with the World Bank country office.

Stakeholders acknowledge that the FCPF and World Bank team have been instrumental in helping the country develop its REDD+ agenda. The Facility provides the much-needed financial support, and also guidance (e.g. on how to fill in reporting templates and ToRs to consultants), and technical assistance (e.g. on what issues to take into account when developing the ERPD).

Many interviewees mentioned that the procurement rules of the World Bank are burdensome, and drafting the Terms of Reference to implement activities or conduct studies are mostly carried by international consultants. Even though there is an acknowledgment that sometimes there is not enough national capacity to address certain complex aspects of REDD, interviewees feel that the FCPF should strive to promote a better balance between national and international experts to allow the knowledge and capacity to stay in the country.

Government interviewees mentioned that the WB rules are very different from the ones from the National Government, such as different dates to determining the fiscal year. This tends to delay the process of disbursement. Thus, the ones managing the grants need a lot of time to conciliate both processes.

Additionally, government and some CSO stakeholders believe that, given the complexity of REDD+, more technical support is needed. Thus, experts could be made available at the local World Bank office, which currently has little interaction with the REDD+ process (only procurement issues). This would likely speed up the in-country process, as questions can be addressed in Kathmandu, rather than have to contact Washington. Additionally, government and some CSOs noted that the World Bank could organize more South-South exchange programs with countries with similar challenges Nepal faces.

Despite complaints, there is a general acknowledgement that the World Bank staff is available and willing to help find ways to increase efficiency of the process. The number of visits and people engaged from the World Bank has increased over the years. Interviewees also noted that the FCPF has been very flexible on changes in schedule, granting Nepal additional time and flexibility to implement Readiness but also on the disbursement of funds.

However, CSOs mentioned that, despite the overall participatory process in the country, they are not invited to many meetings with the FCPF/WB team when they visit the country, nor receive any notes about the issues discussed. They would like to be better briefed about what is being discussed with the government, to also be able to contribute to the process. Some stakeholders highlighted that they are working in one aspect of REDD without understanding the bigger picture. They believe that FCPF could provide an overall picture of the international REDD process to help situate the individual efforts promoted in Nepal.

In conclusion, the evaluation team considers that the FCPF is performing its role satisfactorily, but there is still room for improvement. Nepal is an LDC with low technical capacity. Despite significant efforts to improve the REDD implementation Center with trained and permanent staff, they could benefit from continuous support from the local World Bank Office. Additionally, as the World Bank is in a strategic position, well aware of different countries' programs, it could assist Nepal in identifying South-South exchange partners to teach and learn from other countries.

### **Notes on Divergences and Convergences of Stakeholders' Opinions**

There were converging and diverging aspects in the interviews that are important to highlight:

#### **Convergences:**

- The FCPF has been instrumental to install a participatory process that allows different stakeholders, to come together and discuss how to address REDD+
- The interviewees believe that the FCPF instruments and processes have been mostly helpful in setting up the country's Readiness process
- The overall constructive guidance of the instruments has allowed them to understand what REDD is about and become interested in contributing to the process
- The private sector should be better engaged in the process, but the majority of stakeholders do not have innovative ideas on how to promote their active participation
- The FCPF has been very helpful and instrumental in supporting the REDD+ agenda in the country.
- Mitigation and Adaptation to climate change must be addressed in a synergetic manner

#### **Divergences**

- Despite the overall agreement that the FCPF helped promote a participatory system, stakeholders diverge in how marginalized groups, especially women, are integrated in the process. Some interviewees noted that for the first time they have a seat on the table. However, others noted that they are still not heard, and their comments are not well taken into account by other meeting participants.
- The government and some CSOs are keen to pilot ER programs alongside with Readiness. However, some CSOs noted that the country is not yet 'ready', as there is not a functioning fund to receive and distribute carbon payments, nor a benefit sharing mechanism in place.
- Some individuals question the sustainability of the country's REDD program, given that a number of donors are no longer supporting the forest sector, and Nepal is still not 'ready' for REDD
- Even though there is acknowledgement that FCPF is part of the World Bank Group and cannot change its procurement rules, interviewees believe that innovative venues can be used. Some stakeholders proposed that National rules should be followed while FCPF could still reserve its right to audit. Other stakeholders interviewed mentioned that many countries

would like, but do not have the technical skills and systems in place to manage large grants. Thus, prefer to have the World Bank managing the process and dictating the procurement procedures.

- Stakeholders also diverted on the synergies between adaptation and mitigation. Some government and CSO interviewees argue that there is a complementarity between mitigation and adaptation activities, stating that if deforestation is addressed, the ecosystem becomes more resilient, and therefore adaptable to climate change. Others, mostly CSOs, believe that the government and FCPF should make further efforts to strengthen the linkage, and balance implementation of activities between mitigation and adaptation.

## **Conclusions**

As highlighted in this report, the evaluators found enough evidence to conclude that FCPF was instrumental in helping Nepal coordinate its REDD+ agenda, improve overall knowledge, and install a participatory process that allows for continuous dialogue between state and non-state actors. As a result, there is a very strong sense of ownership in the country when it comes to REDD+.

However, there are still many governance and technical challenges ahead to effectively identify and address the multi-sectorial drivers of deforestation such as encroachment and infrastructure development. Private actors, as well as other sectors in the country need to be better engaged; and knowledge better channeled to local levels if the country wants to ensure long-term results.

Additionally, one must keep in mind that, despite advances, Nepal is still an LDC that heavily relies on Official development assistance. Until 2014, Nepal's support from the World Bank was post conflict support in the form of short programs and smaller grants. Even though there seems to be willingness from both state and non-state actors to advance the REDD+ agenda, there is a shortage of funding and the sunset dates on the Readiness and Carbon Fund need to be considered from this viewpoint.

Even though Nepal has received additional FCPF Readiness support and is currently developing its investment plan under FIP, several donors are leaving the forest sector. The multi-stakeholder forestry program (jointly funded by DFID, SDC and MFA) that was originally designed for 10 years has been discontinued. The USAID Hariyo Ban has completed all its activities, not having a continuation planned. UN-REDD only has targeted interventions in the country<sup>11</sup>. Finland's Forest Assessment support with FAO was recently completed. This exit of some of the major donors will likely leave a funding gap, which might pose an additional challenge for implementing REDD in the future for Nepal.

In addition, despite all the capacity built in the country so far, it is not yet enough to effectively grapple with the technicalities and complexities of REDD+. This is both in terms of World Bank procedures and policies, such procurement, as well as the reality of avoiding deforestation and degradation and the plus. The highly technical nature of REDD+ has, to date, made Nepal dependent on international consultants, who themselves have been challenged by the technical requirements of REDD+ and the FCPF. Interest groups, especially indigenous people, women and *dalit*, still need additional support to build their skills and articulation in order to have their voice better heard. Donors, such as NORAD, are very important to continue building their competences over time.

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<sup>11</sup>UN-REDD, based on a request by the Gov of Nepal, has been providing targeted support in identifying options for the design of an effective, efficient and equitable fund management system for REDD+ finance, and in assessing key policies and measures for addressing drivers of deforestation and forest degradation and linkages to the overall national REDD Readiness process.

As a result of inadequate deliberation, study reports and policy documents are likely to receive little input from most stakeholders. Moreover, stakeholders who feel excluded and marginalized are unlikely to gain much sense of ownership over the process. This is particularly the case for forest dependent poor. Stakeholders with little sense of ownership will have little support for REDD+ during its implementation, which could undermine REDD+ outcomes (Khatri 2012)



## List of National Stakeholders Consulted in Nepal

MDB = Multilateral Development Bank, G = Government, CSO = Civil Society Organisation, IP = Indigenous peoples/ local peoples' representation, PS = Private Sector, D = Donors and Programs

Date	Code	Consultation
1 Feb 2016	G-1	Dr. Narendra Bahadur Chand, Technical Under Secretary, REDD Implementation center, Ministry of Forests and Soil Conservation
	G-2	Mr. Yam Prasad Pokharel, Deputy Director General, Department of Forest Research and Survey, Ministry of Forests and Soil Conservation
	G-3	Mr. Prakash Mathema, Director General, Department of Forest Research and Survey, Ministry of Forests and Soil Conservation
	PS-1	Mr. Bishnu Gyawali, General Secretary, Federation of Private Forest Stakeholders in Nepal
	CSO-1	Mr. Kiran Timalsina, Chairperson, Green Governance Nepal
2 Feb 2016	R-1	Mr. Keshav Kandel, National REDD+ Technical Expert (former director of the department of forests in 2008)
	CSO-2	Mr. Govinda Paudel, Researcher, Forest Action
	CSO-3	Mr. Rahul Karki, Researcher, Forest Action
	CSO-4	Mr. Anukram Adhikary, Researcher, Forest Action
3 Feb 2016	G-4	Mr. Ram Prasad Lamsal, Joint Secretary, Chief of Climate Change, Management Division, Ministry of Science, Technology and Environment
	D-1	Mr. Bishwas Rana, Planning and Monitoring Manager, Multi-Stakeholders Forestry Program (MSFP)
	D-2	Dr. Dharam Uprety, Outcome Manager, Climate change and Forestry, Multi-Stakeholders Forestry Program (MSFP)
	CSO-5	Ms. Pasang Dolma Sherpa, National Coordinator, Nepal Federation of Indigenous Nationalities (NEFIN)
	CSO-6	Ms. Rama Alemagar, President, Himalayan Grassroots Women's Natural Resource Management (HIMAWANTI)
	CSO-7	Ms. Anita Shrestha, Project Director, Supporting Community Based Sustainable Forest Management and Economic empowerment of Women, Himalayan Grassroots Women's Natural Resource Management (HIMAWANTI)
	CSO-8	Mr. Santosh Mani Nepal, Senior Director, WWF Nepal
	CSO-9	Mr. Ugan Manandhar, Deputy Director, Climate Energy and Freshwater, WWF Nepal
	D-3	Ms. Judy Oglethorpe, Hariyo Ban Program
D-4	Mr. Keshav Khanal, Hariyo Ban Program	
4 Feb 2016	CSO-10	Mr. Suman Poudel, Executive Director, Dalit NGO Federation (DNF)
	CSO-11	Mr. Gajadhar Sunar, Board, Dalit NGO Federation (DNF)
	CSO-12	Mr. Birkha Sahi (FECOFUN)
	CSO-13	Mr. Dil Raj Khanal, Federation of Community Forestry Users, Nepal (FECOFUN)

	D-5	Dr. Chudamani Joshi, Special Advisor, Climate Change and Environment, Embassy of Finland, Kathmandu
	G-5	Mr. Resham Bahadur Dangi, Director General, Department of Forests (DoF)
25 Feb 2016 (call)	MDB-1	Rajesh Koirala, Nepal Focal Point, Facility Management Team, World Bank
29 Feb 2016 (call)	MDB-2	Dr. Abdelaziz Lagnaoui, Nepal Task Team Leader, World Bank

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	1 G1
	Informants recommended by Contact Point.	1-2	2 G5; G4
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	1 G3
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	2 G2, CSO1
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	1 PS1
	Companies involved in other forms of natural forest management (e.g. tourism, hunting, timber trade, shade cocoa).	1	0
	Companies involved in other activities affecting natural forests (infrastructure, plantations, ranching, mining, finance, etc.).	1	0
Targets within civil society	Biodiversity-oriented conservation charities (international and/or local).	1-2	5 CSO2,3,4,8,9
	Indigenous/local-people-oriented development charities (international and/or local).	1-2	2 CSO6,7
	Sub-national (local/regional) development institutions/forums.	1-2	4 CSO5, 10,11,12,13
Targets within donor agencies with programs active in the LULUCF sector.	FCPF Delivery Partner (Tier 2 and Tier 3 targets).	1	2 MDB1,2
	Others recommended by FCPF Delivery Partner, FMT, etc.	2-3	5 D1,2,3,4,5
Targets among other knowledge holders (resident/long-term consultants, politicians, etc.)	Targets of opportunity, interest and recommendation.	2-3	1 R1
All (Tier 3)	Total in each Tier 3 country	16-24	27
All (Tier 2)	Total in each Tier 2 country	2-5	

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## **Second Evaluation of the Forest Carbon Partnership Facility (FCPF)**

### **Field Visit Report**

#### **Peru**

**Authors: Petra Mikkolainen and Patricia Valdez**

### **Evaluation Objectives**

The aim of this report is to present the findings from the field visit to Peru, which will be included as an annex to the final report of the second evaluation of the FCPF. The specific objectives of the second FCPF evaluation are to:

1. Ascertain the results (outcomes and early impacts, intended and unintended) and lessons learned from the program.
2. 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 IEG3.
3. Provide findings, conclusions and recommendations with focus on the following:
  - 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 (such as the private sector and ministries of agriculture and planning) in institutional arrangements and national dialogues that are fundamental drivers of change for REDD,
  - the FCPF's position in relation to other REDD+ initiatives (for example the Forest Investment Program, UN-REDD Program and Global Environment Facility), and the role and contribution of the FCPF at the country level and within the global REDD+ architecture;
  - 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;
  - FCPF actions taken for knowledge sharing at country, regional and global level for all aspects related to the readiness process.

The evaluation covers the FCPF's engagement from July 2011 to December 2014, and includes ongoing and completed activities. The evaluation team uses the OECD/DAC Standard Evaluation Criteria of: relevance, effectiveness, and efficiency. The FCPF has now matured to a point where its relevance, effectiveness, efficiency, and sustainability can be examined using evidence and examples. Thus, the scope of the evaluation includes progress made by the FCPF in directing resources to the activities that are most likely to contribute to REDD-plus in the future, and some lessons for future REDD-plus regimes.

At the country level, the evaluation assesses the formulation of Readiness Preparation Proposals (R-PPs) and the country context of the R-PPs (though not the R-PPs themselves), which include the structure, functions and processes of each country's forest-relevant system, the existing capacity

and resources to formulate the R-PP. In addition, the country-level evaluation examines the Carbon Fund processes on-going, such as the development of the ER-PD. The evaluation aims to determine how the global processes have affected country capacity on the one hand, and how the country has contributed to international norms and standards on the other hand.

### **Purpose of the Field Visit to Peru**

As part of this evaluation process and to inform the country level analysis described above, visits to five of the 47 REDD+ participant countries were made to allow the evaluation team to deepen its analysis and understanding of the key determinants of the program implementation history, the strengths and weaknesses of the FCPF with respect to the national and local circumstances and contexts. The country level evaluation looks into the limits to the readiness and Carbon Fund processes and possible ways for improvement/lessons learned. This also involves an analysis of Country Participants' institutional capacity and risks to successful and timely implementation of the REDD Readiness process, and the identification of strengths and weaknesses of existing governance arrangements.

This country report deliberately does not generate in-country recommendations – rather it is meant to inform and enrich the evaluation findings, conclusions, and recommendations of the overall evaluation report. To contribute to the ease of reading, and to enhance comparison and consistency to examine progress, this field report is closely aligned to the layout and methods applied in the field visit process to the first evaluation, see Baastel 2011.

### **Methodology for Field Visits**

The evaluation mission to Peru was implemented over a 11-day period, from 19<sup>th</sup> January to 28<sup>th</sup> January 2016. The evaluation mission to Peru was conducted by:

- Ms. Patricia Valdez, National Consultant
- Ms. Petra Mikkolainen, Consultant – Social and Environmental Issues

A total of 46 persons were consulted and are presented in the stakeholder list attached to this report. A document review of Peru's reports was done to identify key stakeholders before the country mission commenced. The program included flexible time allocations to be able to follow up with referred stakeholders and broaden the stakeholder input to the evaluation process. The 46 stakeholders consulted included government staff both at national and regional level, national and international NGOs, Indigenous Peoples' Organizations, multilateral development bank, private sector, and independent persons. A field trip was made to Pucallpa, the capital of the Ucayali Region to consult with Regional Government representatives and local Indigenous Peoples' Organizations.

Before each consultation an interview protocol was applied in which a member of the evaluation team introduced members of the team and their objective of their consultation. The team member presented a brief overview of the FCPF and the scope of the assignment. The Chatham House rule was explained. When time allowed, a member of the team concluded the consultation with a summary of the main points with the interviewee.

### **Report Structure**

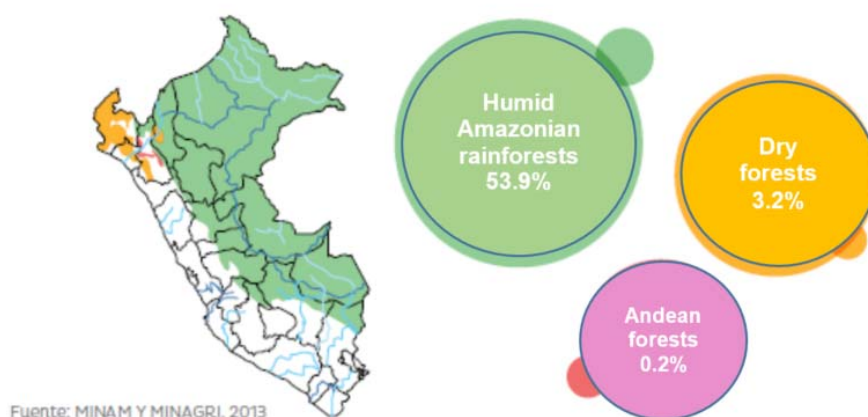
The report structure follows the field visit report template presented in the inception report and is based on 10 questions derived from the evaluation matrix.



## **Highlights of environmental, institutional, economic and political context**

Forests are the largest ecosystem in Peru; they cover 57.3% of the national territory. Most of the forests (94%) are located in the Amazon region. Peru has the second largest extension of forests in South America (CIF, 2013).

**Figure 1 Over half of the Peruvian territory is covered by humid Amazonian rainforests.**



The contribution of the Amazonian forests to the national economy is almost insignificant in financial terms. At the same time, deforestation in Peru is growing at an accelerated pace. The information included in the Global Forest Resources Assessment (FAO, 2010) is that between the years 2005 - 2010 the annual deforestation rate was 0.22%, which is low in global terms. However, the rate is increasing. More recent data included in the National Strategy on Forests and Climate Change indicates 2% loss in forests at the national level between 2001 and 2013 (MINAM, 2015).

Peruvian forests provide essential goods and services especially to indigenous peoples who inhabit vast areas of the forests. Some of them are peoples living in voluntary isolation and/or initial contact<sup>1</sup>. These populations are among those who suffer most dramatically from the impacts of deforestation and forest degradation.

In the past, deforestation has been growing fastest in the Upper Amazon region. It is an area with a history of national migration. Currently, new deforestation frontiers are located in the lowlands where the State is building new highways (FAO, 2010). In recent years, deforestation has increased particularly in the department of Ucayali due to the emergence of oil palm plantations. Until 2004, deforestation happened in units of less than 5ha. Since 2012, a parcel of 1858.25 ha was lost and, in 2013, three parcels of a total area of 6 612.11 ha were deforested for oil palm plantations (MINAM, 2015).

The National Inventory of Greenhouse Gas Emissions (Proyecto Segunda Comunicación Nacional de Cambio Climático, 2009) indicates that land use change (conversion of forests especially in the Amazon) is the main sources of emissions in the country. Emissions from the energy and agriculture sectors share the second place.

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<sup>1</sup> There are around 100 different indigenous peoples in the World, which presently live in voluntary isolation or have only sporadic contact with surrounding communities. They inhabit the most inaccessible parts of the Amazon rainforest and the Chaco forest in Paraguay. The majority of these indigenous peoples live in the Amazon region of Brazil, Peru and Bolivia. Most of them live in the border area between Brazil and Peru and in the adjoining territory between Brazil and Bolivia. There are also isolated indigenous peoples in Ecuador and Colombia and one single people, the Ayoreo, living in Paraguay. In Venezuela there are groups with sporadic contact to the surrounding society.

Source: <http://www.iwgia.org/culture-and-identity/isolated-indigenous-peoples> (Accessed 5th April 2016).

## Drivers of deforestation and forest degradation in Peruvian Amazonia:

Direct drivers include:

- Expansion of the agricultural frontier (mainly small-scale 5-30ha/plot, but increasingly medium and large scale);
- Degradation: illegal and informal mining activities and selective logging;
- Illicit activities, such as coca cultivation and informal gold mining are significant drivers in certain locations.

Indirect and underlining causes include:

- Demographic factors (population growth and migration);
- Economic factors (low profitability of sustainable practices, high demand of products from other land uses than forestry);
- Political and institutional factors (divergent sectoral strategies);
- Large infrastructure projects (highways, hydropower plants, oil drilling, etc.)

(The Carbon Fund, 2014)

Not all stakeholders agree on the analysis on the drivers of deforestation included in the ER-PIN of Peru (the list above). For example, the indigenous peoples' representatives argue that highways constitute a direct driver of deforestation. Similarly, they consider that fiscal subsidies and incentives of agrarian policies should be included in the list of indirect drivers.

As a response to the problem of deforestation, the government of Peru established a goal to conserve 54 million ha of forests and the achievement of zero net emissions from LULUCF by 2021. The target is equivalent to a reduction of 41% of the national GHG emissions relative to 2011 (announced in the COP14 to the UNFCCC). However, in the recently submitted iNDC, Peru projects a reduction of 30% of GHG emissions compared to the BAU scenario by 2030. Approximately two thirds would come from the LULUCF sector (Republic of Peru, 2015).

The barriers to REDD are related to a number of political, legal, financial and organizational challenges. However, one of the limitations that emerges repeatedly from the stakeholder consultations is the slow progress in allocating formal land titles, especially to communities in the Amazon region. The issue of land tenure is discussed more in-depth under the evaluation question No 2.

## **The World Bank Country Partnership Strategy in Peru**

The World Bank Country Partnership Strategy (The World Bank, 2012) focuses on improving equity through social services, infrastructure, and competitiveness, while preserving macro stability. The Strategy is implemented under four Objectives:

1. Increased access and quality of social services for the poor;
2. Connecting the poor to services and markets;
3. Sustainable growth and productivity;
4. Improved public sector performance for greater inclusion.

The Strategy responds to Peru's current situation where economic growth has been fast in the last decade, but the country has been facing challenges in making sure that the progress is inclusive and socially sustainable. The Government's development agenda aims at boosting productivity while overcoming social gaps.

The Strategy also recognizes that the Government faces difficulties in addressing social conflicts, particularly those linked to the extractive industries. Environmental management, including forests

and REDD+, are mentioned under the Strategic Objective of Sustainable growth and productivity. The FCPF is mentioned as one of many WBG instruments to strengthen environmental management in Peru.

### **Situation of REDD Readiness in Peru**

Key milestones in REDD Readiness preparation in Peru include:

- R-PIN of Peru was approved in 2008. IDB became the delivery partner;
- In 2009, Peru started implementing the FAO-Finland Sustainable Forest Management Program. Its main objective is to carry out an inventory of Peru's forests;
- In 2010, Peru became a FIP country;
- Between 2009 and 2014, The Ministry of Environment (hereafter referred to as "MINAM") prepared several drafts of the R-PP;
- The final version was approved in February 2014;
- Stakeholder consultations for FIP, which were ongoing simultaneously with R-PP consultations, culminated in 2013<sup>2</sup>;
- In 2013, MINAM started the formulation of the National Strategy for Forests and Climate Change. The process included an extensive stakeholder consultation in 2015, which will be completed by June 2016;
- In 2014, Peru presented an ER-PIN. It was approved in October the same year;
- In September 2014 in New York, Peru, Norway and Germany signed a joint declaration on intent for cooperation on REDD+;
- In December 2014, the UNFCCC held the COP20 in Lima; and
- In 2015, Peru presented the Forest Reference Emissions Level to the UNFCCC.

### **Progress in the Implementation of the FCPF Readiness Preparation Grant**

The required start date of the readiness preparation project was 1 June 2014 (IDB, 2014). By the end of 2014, IDB had not disbursed any funds from the grant. The execution of the specific activities foreseen in the grant agreement started in April 2015. By the end of 2015, MINAM had implemented 10% of the project budget (IDB, 2015). The Evaluation Team considers the delays significant considering that the formulation of the R-PP started in 2008. The reasons for delays are discussed in the Section 3 of this report.

The indicative budget of the REDD Readiness grant agreement per component is indicated in Table 1.

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<sup>2</sup> Currently, the government is initiating the FIP program. In this context, a new stakeholder consultation process will be carried out.

**Table 1 Indicative Budget of the REDD Readiness Grant Agreement**

<b>Cost category</b>	<b>IDB/FCPF (US\$)</b>	<b>Counterpart</b>	<b>Total (US\$)</b>
<b>I. Administration</b>	350,000	-	350,000
I.1. Support for execution unit	350,000	-	350,000
<b>II. Direct costs</b>	3,100,000	-	3,100,000
II.1 Component 1	450,000	-	450,000
II.2 Component 2	600,000	-	600,000
II.3 Component 3	625,000	-	625,000
II.4 Component 4	1,500,000	-	1,500,000
<b>III. Monitoring and evaluation</b>	200,000	-	200,000
<b>IV. Audit</b>	75,000	-	75,000
<b>Total</b>	3,800,000	-	3,800,000

Source: Readiness Preparation Grant Agreement (June 2014) available at:

<https://www.forestcarbonpartnership.org/sites/fcp/files/2014/June/Acuerdo%20de%20Cooperaci%C3%B3n%20T%C3%A9cnica%20ATN-FP-14403-PE.PDF>

The following Table 2 summarizes the current situation of REDD Readiness in Peru and the type of support that FCPF has provided to the country. The information is based on interviews and the IDB 2014 Progress Monitoring Report (PMR) for the FCPF.

**Table 2 The situation of the REDD Readiness package in Peru (January 2016)**

**National Strategy on Forests and Climate Change (includes REDD+ Strategy): *in consultation process***

- **Status:** Draft Strategy published in Sep 2015, undergoing a consultation process. First draft of a Benefit-Sharing System formulated (May 2014). The Law on Compensation Mechanisms for Ecosystem Services approved (2014).
- **FCPF support:** Formulation process of the National Strategy (stakeholder consultation events, team, office equipment, logistical support, visibility and communication) and the related institutional arrangements within the Ministry of Environment for its implementation. Closely linked with the R-PP process. Contribution to the KfW study on drivers of deforestation.

**National Forest Monitoring System: *partly completed***

- **Status:** National Forest Monitoring System under construction: module on deforestation in Peruvian Amazonia completed, to be completed with coastal and mountain biomes, and degradation data. Emission factors calculated for six Amazonian regions. Developing an early warning system for fast detection of deforestation. Proposal to include Indigenous MRV component.
- **FCPF support:** Formulation and implementation of the unit/module for forest cover monitoring (including operational and institutional management instruments), develop a short-term deforestation risk model and a real-time monitoring system, and a web tool for information sharing will be financed by FCPF in 2016.

**Forest Emissions Reference Level to reduce deforestation in the Peruvian Amazon: *partly completed***

- **Status:** National Forest Inventory completed. First version of the reference level published in December 2015. Includes only Amazonian biome and only above ground biomass. To be complemented with other components in 2016 and 2017. Under consideration how to integrate regional and project data to the national reference level.
- **FCPF support:** Study on land use classification methodology and assessment of land use change in six Amazonian regions between 2011 and 2013 (Dec 2015). Design and implementation of the virtual module of the reference level. Financing of stakeholder consultation and socialization events. Training to Regional Governments.

**Safeguard Information System: *in early steps of formulation***

- **Status:** A Roadmap for Social and Environmental Safeguards in Forest Conservation for the Amazonian Indigenous Peoples formulated. A National Information Platform on REDD+ initiatives is being established. Stakeholder Consultation Plan under development.
- **FCPF support:** Final steps for the approval of the Terms of Reference for carrying out SESA, for the formulation of EMSF and Safeguard Information System ongoing, including the Stakeholder Consultation Plan. To be implemented in 2016.

In addition, since 2014 the Ministry of Agriculture and Irrigation (hereafter referred to as “MINAGRI”) and MINAM have been promoting the development of Nationally Appropriate Mitigation Actions (NAMAs) related to coffee, cacao, biofuels, agribusiness, and livestock (MINAM, 2015).

### **Field Visit Findings**

#### **1. For what reason did Peru decide to join the FCPF in the first place, and to continue the engagement thereafter?**

Peru joined FCPF in 2008. It was an opportunity for the country to obtain technical assistance on forestry and climate change. The membership provided also possibilities for new financial support and investments.

Until 2011, the REDD+ architecture in Peru still consisted of relatively few players. The third version of the R-PP had been approved with comments and Peru had been accepted as a FIP country. The FAO-Finland Sustainable Forest Management in a Changing Climate Programme was under implementation. At that time, FCPF was a key window for Peru to learn about REDD+ and to take part in international events. The expectations for what REDD could deliver in the future were high. MINAM also launched the National Forest Conservation Program for Climate Change Mitigation providing leadership in the REDD+ arena.

After 2011, new REDD+ initiatives started arriving to Peru (e.g. KfW, JICA, Moore Foundation) while R-PP and FIP formulation processes were undergoing intensive stakeholder consultation exercises.

The country receives support from several international players, including Moore Foundation, GIZ, KfW, UN-REDD, and JICA. Peru is also a FIP pilot country. It has been challenging to the Government to plan and coordinate these parallel initiatives.

Gradually, many stakeholders started feeling frustrated with the readiness preparation. Respondents from civil society and public sectors alike commented that the international initiatives have raised unnecessarily high expectations on REDD+.

Regardless of the frustration with the readiness process, most stakeholders seem to agree that, as a concept, REDD+ is interesting, and helps with giving economic value to the forests to compete with unsustainable exploitation practices. The idea of payments for performance also receives wide acceptance across the stakeholder groups. However, the expectations are now more realistic than before.

On the other hand, some stakeholders the public sector and CSOs still strongly question the feasibility of REDD+. However, they consider that not participating in the REDD+ initiatives would also include a risk of becoming isolated from many international processes. Large grants and investments would also remain inaccessible. The situation is delicate because traditional development aid has been diminishing in Peru after the country ascended to the middle-income category. Stakeholders consider that the knowledge and information generated in REDD Readiness serves for many other purposes as well.

In conclusion, the role of the FCPF has changed along the years in Peru. In the beginning, the initiative provided early opportunities for the country to engage with the REDD+ process and to have access to financial resources in the forestry sector. Later on, as the R-PP process became stagnant, the FCPF started losing some of its good reputation. On the other hand, the FCPF has shown its ability to adapt to the country's priorities. The readiness grant is still nearly unused; therefore, the role of the FCPF is likely to increase again in the next few years in Peru. The reasons for delays are discussed in the Section 3.

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

As mentioned in the introduction, the government of Peru has ambitious plans to cut GHG emissions from the LULUCF sector. The goal has been incorporated into the National Environmental Action Plan (PLANAA) for 2011-2021. The target clearly supports REDD+ objectives. This ambitious announcement has received important international attention.

The declaration to reduce deforestation is included also in Peru's Bicentennial Plan for 2021, led by the National Centre for Strategic Planning (CEPLAN). One of the six strategic areas of the Plan deals with environment and natural resources<sup>3</sup>. However, the *indicators* of success are centred on economic parameters, such as income per capita, yearly economic growth rate, and reduction of poverty, among others.

The National Agreement<sup>4</sup> discusses sustainable development and environmental management under the heading of country competitiveness. The main message is to integrate environment with

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<sup>3</sup> The document defines six strategic areas: (i) fundamental rights and people's dignity; (ii) opportunities and access to services; (iii) State and governance; (iv) economy, competitiveness and employment; (v) regional development and infrastructure; (vi) environment and natural resources.

<sup>4</sup> The National Agreement is a strategy approved in 2002. It includes 34 public policies that are grouped under four headings: (i) Democracy and rule of law, (ii) Equity and social justice, (iii) Country competitiveness, (iv) Efficient, transparent and decentralized state. The policy No. 19 "Sustainable development and environmental management" is included under the heading iii "Country competitiveness". For example, EU considers that the strategy and its participatory formulation process could serve as a model for other countries and sub-regions (European Commission, 2007).

economic, social, cultural and land management policies. The aim is to contribute to overcoming poverty and achieving sustainable development in Peru.

The priority of economic growth is also reflected in the Law No 30230<sup>5</sup> (July 2014), the objective of which is to facilitate the reactivation of the country's economic growth. The civil society organizations have heavily criticized this so called "super package" (Sp. *paquetazo*). The law debilitates the competencies of MINAM and the Peruvian Agency for Environmental Evaluation and Control (OEFA) in exercising environmental monitoring and control. Many stakeholders consider that now the country is even more vulnerable than before to the potential environmental damage caused by some foreign investors.

REDD+ has been welcomed to Peru as a potential solution to increase the value of standing forests. The country expects that the Amazon region would contribute more to the national economy as a result. The relatively new Forest and Wildlife Law (No 29763)<sup>6</sup> also reflects this vision. In fact, the Law has received considerable attention in Peru in the past years. The National Forest and Wildlife Service (SERFOR) has put substantial effort to the formulation process, including consultation with stakeholders. The objective is to find truly functioning legal paths to sustainable and multiple use of forests. REDD+ is also mentioned in Peru's iNDC as REDD+, as an important tool for the country to achieve its mitigation commitments (Republic of Peru, 2015)

In 2014, the Peruvian Congress approved the Law on Compensation Mechanisms for Ecosystem Services (Nº 30215), which encompasses REDD+. The international community welcomed it as a strategic and positive move a few months before the UNFCCC held the COP20 in Lima.

Land tenure is an area where the indigenous peoples and the government representatives have different views. The indigenous peoples claim that, for decades (since the 1970s), the government has incentivized conversion of forest into agricultural lands on small private properties instead of supporting the more traditional community-based natural resource management systems<sup>7</sup>. Furthermore, they argue that nearly half of deforestation in Peru occurs on undesignated lands. The National Strategy on Forests and Climate Change confirms the statement. The Strategy informs that forest areas without allocated rights have a higher percentage of accumulated deforestation, reaching 46% of the total forest loss (MINAM, 2015).

On the other hand, the government representatives remind that over 11 million hectares of indigenous community lands have already gone through the titling process. In addition, the State has allocated formal titles to non-indigenous communities that comprise nearly two million hectares of land. The third phase of the large Rural Land Titling and Registration Project (called PTRT3 and financed by the IDB) will prioritize more the indigenous communities located in Peruvian Amazonia than in the past two phases of the project. Furthermore, legal reforms are underway to strengthen the land tenure situation in favor of the communities.

It is fair to argue that the REDD+ agenda is helping to push forward the land titling process. All the four projects that are foreseen under FIP in Peru include a component for legalization, titling, and registration of property rights, totaling over US\$13 million (CIF, 2013). The FCPF and FIP actions have been planned to be complementary especially in the Regions where both programs are planning activities – San Martin and Ucayali. Furthermore, both initiatives are managed by the IDB, allowing the Delivery Partner to build synergies in planning and implementation.

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<sup>5</sup> Ley Nº 30230 (Julio 2014) que Establecen Medidas Tributarias, Simplificación de Procedimientos y Permisos para la Promoción y Dinamización de la Inversión en el País

<sup>6</sup> The Law was formulated during the years 2009 to 2011. Its regulations were completed in 2015. It is based on four fundamental elements; (i) land use planning, (ii) simplification of the procedures to facilitate legal activities, (iii) inclusion of small producers that manage secondary forests and agroforestry systems, and (iv) inclusion and respect of Indigenous Peoples.

<sup>7</sup> For example, the Legislative Decree No. 653 of 1991 provides that, for the allocation of land it was necessary to implement agricultural, farming or grazing activities. This regulatory framework initiated the promotion of agricultural activities in forest soils, which lead to widespread slash and burn practices to obtain land titles.



Especially, the areas occupied by indigenous peoples are now receiving more resources. Furthermore, while the indigenous peoples' organizations are rather critical of REDD+, they also see an opportunity for advocating land rights. They have come up with their own Indigenous REDD+ proposal<sup>8</sup> that takes into account indigenous peoples' rights and interests.

There are indications that the REDD+ processes have created positive incentives to promote sustainable development and indigenous peoples' rights in Peru, such as the improvement of tenure security. As mentioned earlier, the large land-titling program (PTRT3 by IDB), FIP, and FCPF, as well as MINAGRI's plans to promote sustainable forestry complementary interventions. On the other hand, drastic means to reactivate the country's economic growth sometimes result to conflicting incentives. For example, Peruvian Amazonia is an important area for oil production. However, socio-environmental conflicts are widespread. While conflicts over mining lead the statistics with 65.2% (148 cases) of the total conflicts, disputes over oil and gas account for 16.2% (24 cases) (CIF, 2013).

A number of national institutions brought up the insufficient alignment between the international financial contributors. Claims included lack of prioritization demonstrated by the large number of uncoordinated pilot projects and the absence of long-term vision. Furthermore, some stakeholders from the ministries pointed out that the externally funded initiatives often create parallel structures to the country's public management system. The interventions leave behind budgetary demands that are difficult to fill in once the foreign funding has ended. On the other hand, at least the FCPF has made sure that institutional arrangements are officially in place before implementation can start. This was also a requirement expressed by the Ministry of Economy and Finance.

The message from those private players that promote sustainable and deforestation free coffee and cocoa production was clear. They consider that the FCPF – or REDD+ in general – contribute little to sustainable agriculture at landscape level. These organizations hope that REDD+ would integrate into wider schemes of payments for ecosystem services that take an integrated approach. A variety of metrics (such as tons of sustainable cocoa produced, or social and biodiversity indicators) in addition to carbon would be included. They vision rural landscapes that protect natural forests, promote ecologically sustainable activities, and create livelihoods and wellbeing for local people.

It can be concluded that the FCPF intervention is responding to the national priorities considering that both the civil society, including the indigenous peoples' organizations and the public sector are in favor of REDD+. The discrepancies in the views between the respondents are not unique to Peru. The international debates focus on how REDD+ should secure co-benefits and how it could be better integrated with other interventions that support sustainable development in the partner countries.

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

The FCPF is one of the first REDD+ initiatives to enter Peru. Many stakeholders pointed out that the opportunity opened a completely new door for the country. Participation in the FCPF facilitates learning on REDD+ and provides access to international events. Another positive outcome has been that Peru has had to define its own stance on the topic. It has also had to initiate new internal dialogues on forest conservation.

The FCPF's main contribution to the readiness process in Peru has been the participatory formulation of the R-PP. This process contributed to producing the country's REDD+ strategy as well

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<sup>8</sup> The proposal is called *REDD+ Indígena Amazonica* or *RIA* in Spanish. For more information visit: <http://www.aidesep.org.pe/programas-nacionales/crisis-climatica-y-ria/>



- the National Strategy on Forests and Climate Change<sup>9</sup>. The document is still under construction. The FCPF has also assisted in making important institutional arrangements for the future implementation of REDD+. These are discussed under the Evaluation Question No 9.

Many stakeholders are dissatisfied with the slow steps of revision and approval of the R-PP. The opinion of many respondents is that other financial contributors are faster and easier to work with.

The situation can be partly explained by the fact that while the R-PP was still under formulation, other initiatives started launching REDD-related activities in Peru. As a result, MINAM redistributed the readiness activities among the different international interventions. The FCPF was concentrating more on the institutional set-up, as mentioned earlier. The interviewees from MINAM explained that the delays in the signing of the readiness preparation grant (ATN/FP-14403-PE) had several reasons. For example, the respondents mentioned the lengthy procedures in accrediting members to a Supervisory Board (*Comité Directivo*) established for the coordination on FCPF matters. According to official notifications from MINAM, the nominations continued until December 2014.<sup>10</sup> Similarly, the transfer of funds MINAM was completed only in April 2015.<sup>11</sup> The FCPF team was also recruited only in April 2015.<sup>12</sup>

Particularly, the indigenous peoples are disappointed with the FCPF. After the final endorsement of the R-PP, they had certain expectations on what the readiness grant implementation could deliver. The indigenous representatives claim that MINAM has not followed up certain plans that the parties defined together during R-PP formulation. This aspect is discussed in more detail under the Evaluation Question No 5 on stakeholder engagement.

Indigenous stakeholders also blame REDD+ in general, including the FCPF, for the arrival of “carbon cowboys”. These are individuals and private companies who have managed to sign deals with indigenous communities acts on their carbon rights. Criticism in this sense is projected to all public players in the field of REDD+. Stakeholders (especially from the civil society) think that the authorities are not assuming their responsibility to protect the communities from these negative consequences.

Now, in early 2016, the readiness grant is entering into a full implementation phase. The FCPF expects that Peru will finally progress this year with the execution of the R-PP activities foreseen under the readiness preparation grant.

#### **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+?**

The respondents were not very familiar with the methodological guidance developed by the FCPF. This is probably because, so far, other initiatives than the FCPF have been financing the technical REDD Readiness activities in Peru.

General feedback from the Ministry was that the FCPF templates were easy to use and suitable for their purposes. MINAM has recently used two templates. One of them is the Terms of Reference for a consultancy on SESA/ESMF and the other one is the periodic report template. Regarding the Common Approach to Environmental and Social Safeguards, MINAM is familiar with the concept and the institution follows IDB guidelines in ensuring that appropriate safeguard measures are taken into account. Some confusion exists inside MINAM regarding information for SESA/ESMF. The respondent expressed that they would hope more guidance from IDB in this respect.

Comments from the public sector pointed out that the international initiatives should harmonize their technical approaches. One example are the various methodologies for estimating the emissions

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<sup>9</sup> The National Strategy on Forests and Climate Change should not be confused with the National Strategy on Climate Change. The latter is a document that encompasses all sectors, not only forests.

<sup>10</sup> For example the written notification Oficio No 303-2014-EF/15.01

<sup>11</sup> Ministerial Resolution 075-2015-MINAM

<sup>12</sup> Executive Resolution No 012-2015-MINAM-VMDERN-BOSQUES

reference level. In this sense, the regional players recommended that the key institutions should agree on the technical criteria to be used in reference level estimates, and that the Regional Governments should be consulted in the process.

In some cases, the stakeholders have come up with their own instruments, such as the Indigenous MRV<sup>13</sup>. It is an independent system of territorial surveillance developed by the Interethnic Association for the Development of the Peruvian Rainforest (AIDSESEP). The indigenous peoples use modern technological tools, such as drones, to respond rapidly to illegal logging in their territories. It is not yet clear how this information will eventually contribute to the national MRV system.

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

The National Forest Conservation Program of MINAM is the body that coordinates the REDD+ related meetings. In recent years, Peru has launched several intense stakeholder consultations<sup>14</sup>. Consequently, the participatory processes have become much more systematic than before. The progress has also created demand for better quality participatory methods. Surprisingly, no permanent and formal consultation mechanisms exist with civil society<sup>15</sup>.

The country has also been going through a decentralization process in the past decades. As a result, the Regional Governments have received increased responsibilities and power. Furthermore, Peru has been strengthening the rights of the indigenous peoples through the ratification of international treaties. The most important one is the ILO-Convention 169<sup>16</sup>, which the country has complemented with a national legal framework.

In Peru, the indigenous peoples' role is a key issue in the debates on citizens' participation. This was a central topic also during the R-PP formulation. Most stakeholders recognize that the involvement of indigenous peoples has become more inclusive and concrete in the past years. This tendency is seen in other initiatives as well. For example, MINAM invited AIDSESEP and CONAP<sup>17</sup> to act as members of the Supervisory Board of FIP in October 2013.

Despite the new coordination mechanisms, the indigenous people feel that MINAM has let them down. The indigenous representatives reminded that they have a concrete deal on 15 activities in the R-PP. The specific action points include (list not exhaustive):

- Peru should reform its national land legislation to make it compatible with the international obligations on indigenous tenure security;
- The authorities should secure the land tenure of all indigenous territories. This point includes allocation of funds from the R-PP implementation budget for land titling;

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<sup>13</sup> MRV for REDD+ stands for measurement, reporting and verification. An MRV system evaluates a country's forests to estimate the associated greenhouse gas emissions and removals, including their change over time.

<sup>14</sup> For example, consultation processes to formulate the R-PP, the new Forest and Wildlife Law, and the Forest Investment Program for Peru.

<sup>15</sup> The MINAM is bound by a law approved in 2009 (Supreme Decree 002-2009-MINAM and its related regulation). The law makes the institution responsible on transparency, access to information, participation and consulting citizens on environmental matters.

<sup>16</sup> The Indigenous and Tribal Peoples Convention (1989) is an International Labour Organization Convention. It is the major binding international convention concerning indigenous peoples, and a forerunner of the Declaration on the Rights of Indigenous Peoples.

<sup>17</sup> AIDSESEP (the Interethnic Association for the Development of the Peruvian Rainforest) and CONAP (the Confederation of Amazonian Nationalities of Peru) are the two umbrella organizations that represent the indigenous peoples of the Peruvian Amazon.

- The R-PP grant should support indigenous peoples' organizations to participate more effectively in REDD Readiness activities (especially at the regional level);
- MINAM should integrate the "Amazonian Indigenous REDD+"<sup>18</sup> proposal to the National REDD+ Strategy;
- The authorities should follow the free, prior, and informed consent (FPIC) in all REDD+ interventions.

The allegation is that the Ministry has still not complied with a series of nine agreements that AIDSESEP and MINAM listed during R-PP negotiations. Furthermore, the indigenous representatives reminded that the Ministry announced the agreements in a Participants' Committee meeting in Vietnam (March 2011). In response, the Ministry has provided justifications on the argued non-compliance. They also pointed out that the October 2013 version of the R-PP contemplates the proposed changes. However, the indigenous representatives consider the responses unsatisfactory.

These negotiations have not yielded, so far, concrete results, which has affected the indigenous representatives' trust towards the environmental authority. It is also not clear to the parties where the discussions stand now. For example, the institutions apparently do not have the same understanding whether the action points constitute formal agreements or simple proposals. The Evaluation Team understands that the situation has been latent for the past years and has not caused any major direct negative impacts to the FCPF in the short run. One of the reasons is that the readiness grant implementation has also barely started.

The Team also estimates that the Indigenous organization's interest towards the FCPF has been reducing in the past years. It would be logical given that AIDSESEP has been recently engaging with several international initiatives such as the FIP's Dedicated Grant Mechanism<sup>19</sup> and the Norwegian International Climate and Forest Initiative (NICFI)<sup>20</sup>. However, MINAM will launch the SESA process during 2016, which will be financed from the FCPF readiness grant.

Indigenous Peoples have also created Indigenous REDD+ Roundtables (*Mesas REDD Indígena* in Spanish at both national and regional levels. Yet these indigenous coordinating bodies have suffered from insufficient funding in the past years. As a result, they have not been able to meet regularly. For example, in Peruvian Amazonia, long travel times are a norm. Therefore, the organizations need considerable amounts of funds to bring participants to meetings. Managerial and logistical costs also limit the functioning of the Indigenous REDD Roundtables.

In addition to the regional Indigenous representatives, the Regional Governments also claim that they should be allowed more involvement in the REDD Readiness preparation. This concerns both technical and political aspects. Currently, their experience is that the proposals often do not integrate those key elements that they find important. The central authorities should take more into account

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<sup>18</sup> Colombia, Ecuador, and Peru are part of an initiative called Amazonian Indigenous REDD+ (*REDD+ Indígena Amazónica RIA* in Spanish). It was launched in 2011. The Coordinator of Indigenous Organizations of the Amazon River Basin (COICA) leads the initiative from its headquarters from Quito, Ecuador. The proposal includes a holistic approach to REDD+, which goes beyond carbon sequestration. This initiative is an important channel for AIDSESEP to advocate indigenous peoples' rights in the REDD+ processes.

<sup>19</sup> The DGM intervention is a US\$5,5 million program to strengthen indigenous capacity and governance in land titling and forest management. A National Steering Committee composed of members from AIDSESEP and CONAP has been established to develop the project with the World Bank. The World Wildlife Fund-Peru has been selected as executive agency. For more information, visit: <http://www.climateinvestmentfunds.org/cif/node/12283> and <http://www.wwf.org.pe/en/?253276/worldbankandwwfsignagreementtobolsterindigenouactiontotackleclimatechange>

<sup>20</sup> <https://www.norad.no/en/front/about-norad/news/2015/final-selection-of-nicfi-2016-2020/>

the knowledge and experiences that exist at community, district, and regional levels on forest management. This feedback is relevant to all public initiatives regardless of the financial contributor.

The regional stakeholders reminded that their capacity to understand complex technical issues and to manage large projects has been growing in the past years. As a result, they consider themselves ready to take a leading role in the different interventions. The respondents also recognize that the increased capacities are partly a result of the workshops and training sessions funded by international initiatives. One of the key milestones for the Regional Governments has been the participation to the Governors' Climate & Forests Task Force<sup>21</sup>. The Regional Governments hopes that the international community will promote them more in future. So far, FCPF's role has been small in supporting these initiatives but R-PP implementation can offer new opportunities for stakeholder engagement based on current needs.

At the same time, the majority of the indigenous federations, municipalities, and communities still lack basic understanding of the key concepts of REDD+. Many argue that the international initiatives should invest more in consultation, participation, and information dissemination at local level. Some stakeholders reminded that the small-scale (non-indigenous) farmers also play a key role in managing the natural resources in rural Amazonia. Unfortunately, the participatory processes sometimes fail to consider them as key stakeholders. Several civil society and government representatives pointed out that consultation can also lead to false expectations. Others insist that all stakeholders should be treated as equal parties right from the beginning. That is why the initiatives should plan the consultation processes more carefully in the future.

Peru has an active NGO community composed of both national and international organizations. They also follow the international developments in the REDD arena. Some of them have put in place voluntary REDD projects. The NGOs also carry out studies and assessments for MINAM in a variety of topics related to REDD+.

A key channel for NGO participation has been the national REDD Roundtable and the regional REDD Roundtables established in 2008. These forums have managed to maintain a constant level of activity along the years excluding a few less dynamic periods.

Many NGOs value the intention of MINAM to involve a broad range of stakeholders in the R-PP formulation process. However, they also mentioned a series of shortcomings. For example, the messages are targeted mainly to people who have relatively strong technical knowledge on REDD+. Therefore, the Ministry should rethink the focus and methods of information dissemination on REDD+. Participation is real only if it builds on informed opinions of the stakeholders.

The private sector representatives expressed that, for them, the FCPF has not represented a major area of interest. They consider that the Facility in general is somewhat invisible; they do not include the FCPF at all within the key players in sustainable landscape management. The private sector players take the small agriculturalists' (of cocoa or café) point of view. They feel that REDD+ focuses too much on the carbon in the trees. They see REDD+ as a narrow approach to solving the problems in the Amazon in spite of the possible non-carbon benefits.

The Ministry received criticism on the lack of appropriate gender mainstreaming in the different projects and programs. In fact, all stakeholder groups gave the same feedback to both national and international initiatives. Women's participation still means only attending village meetings and training sessions. However, women find it difficult to participate because of their low level of technical capacity. Certain cultural norms also prevent them from contributing effectively their ideas. Women

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<sup>21</sup> The Governors' Climate and Forests Task Force (GCF) is a subnational collaboration between 29 states and provinces from Brazil, Indonesia, Ivory Coast, Mexico, Nigeria, Peru, Spain, and the United States. The GCF seeks to advance jurisdictional programs designed to promote low emissions rural development and reduced emissions from deforestation and land use (REDD+) and link these activities with emerging greenhouse gas (GHG) compliance regimes and other pay-for-performance opportunities. More information at: <http://www.gcftaskforce.org>.

reported that their point of view is crucial in forest management. They argue that female vision on forest management is more long-term, holistic and conservationist than men's. The men, in contrast, have the tendency to think more in economic terms. Furthermore, both female and male representatives of the indigenous organizations pointed out that indigenous women do want to take a more active role in decision-making. Women's leadership role is not an idea imposed from outside the cultures. The demand is growing inside the communities and organizations.

Currently, MINAM is preparing a stakeholder consultation and communication plan for the R-PP activities. The purpose is to enable the participation of all stakeholders in the preparation the REDD Readiness package. The Terms of Reference highlight the important role of all stakeholders, especially indigenous peoples. The draft plan was not yet available at the time of the country mission.

In conclusion, the progress that Peru has made in terms of stakeholder engagement is remarkable. The FCPF has contributed to this achievement. However, the evolution has opened up the floor to increased expectations from the behalf of the civil society towards the public sector. Especially, the indigenous peoples are increasingly capable of defending their opinions and claiming their rights. As a result, the environmental authorities struggle to respond to the growing demands. At the same time, the large amount of different initiatives and the complexity of REDD+ as a topic, create a challenge to the civil society organizations to follow the recent developments in the field. In Peru, it is very difficult for an outsider to understand the financing structure of the REDD Readiness activities due to its complexity.

## **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?**

The National Commission on Climate Change (CNCC) encompasses all sectors that involve greenhouse gas emissions. It is one of the oldest coordination bodies on climate change in Peru. The Government established the mechanism in 1993. It is in charge of elaborating and monitoring the National Climate Change Strategy. REDD+ is discussed within the "Emission reduction and low carbon growth" sub-group.

The officials of MINAM informed that a formal multi-sectoral committee<sup>22</sup> coordinates the design of the National Forest and Climate Change Strategy (ENCBC). The FCPF has a key role in this coordination mechanism because R-PP implementation is closely linked with the formulation of the Strategy. Once the committee has fulfilled its mandate, it will be dissolved. Similarly, for the design of the R-PP, a temporary multi-sectoral working group existed. MINAM coordinated the meetings.

For the implementation of the FCPF REDD Readiness grant, the Ministry established a Supervisory Board in 2014. This Board includes representatives from the National Forest and Wildlife Authority SERFOR, the Ministry of Economy and Finance, the Ministry of Culture, and the Regional Governments.<sup>23</sup>

The Forest and Wildlife Law created a new specialist body, the National System for Forest and Wildlife Management (SINAFOR). It is composed of several ministries as well as public institutions and agencies dealing with forests and wildlife management at the national, regional and local levels. It is also expected to coordinate between the State, the private sector and the civil society on matters

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<sup>22</sup> The committee is composed of various public entities and indigenous peoples' organizations: Ministry of Economy and Finance, MINAGRI and Irrigation, Ministry of Culture, Ministry of External Relations, National Service of Natural Protected Areas (SERNANP), the national forest and wildlife authority (SERFOR), The National Forest Conservation Program for the Mitigation of Climate Change (PNCBMCC), the Interregional Amazonian Council (CIAM), and the Amazonian indigenous peoples' organizations AIDSESEP and CONAP.

<sup>23</sup> See for example the official notification 193-2014-MINAM/DVMDERN

within its mandate (MINAGRI, 2013). The expectation is that the Law and the institutions that it has created, including SINAFOR, will bring new hope for sustainable forestry in Peru (Arias Schwartz, 2013)

In recent years, the Government has established other platforms and mechanisms for multi-sectorial dialogue that relate directly or indirectly to Amazonian forest management. The thematic areas include community-based forestry, illegal mining, sustainable agricultural production, management of waterways, land titling, and illegal logging. In addition, a high-level Multi-sectorial Commission at the level of Ministers or Deputy Ministers is responsible for the Peruvian INDC.

In conclusion, various formal and informal multi-sectorial coordination platforms exist in Peru. Many of them have a limited mandate and duration, including the ones linked to FCPF. As mentioned earlier, none of the permanent and formal mechanisms integrates NGOs. Furthermore, many stakeholders question the effectiveness of the coordination mechanisms. They believe that an evaluation of the current and past mechanisms would generate invaluable lessons to improve the practices in the future.

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

The Peruvian stakeholders were in general not familiar with specific FCPF knowledge products. This is most likely due to the relatively low visibility of the FCPF in the country. For example, none of the publications available in MINAM's special website dedicated for forests includes FCPF's logo.<sup>24</sup> Only the National Strategy for Forests and Climate Change mentions the FCPF. On the other hand, two key factors explain the low visibility. (i) MINAM has consciously assumed ownership of the REDD+ agenda in a broader context of sustainable forest management, and (ii) FCPF's contribution to the various technical studies has been small. Interestingly, the webpage that presents the different partners of international cooperation in forest conservation do not mention the FCPF. MINAM explains in the website that they coordinate efforts with GIZ, USAID, PNUD, JICA, VCS, and WWF. UN-REDD is not mentioned either, however, its logo appears lower in the website.<sup>25</sup>

A nivel de las organizaciones de la cooperación internacional, el Programa Bosques articula esfuerzos con la Cooperación Alemana al Desarrollo (GIZ), la Agencia de los Estados Unidos para el Desarrollo Internacional (USAID), el Programa de las Naciones Unidas para el Desarrollo (PNUD), la Agencia de Cooperación Internacional del Japón (JICA), el Estándar Verificado de Carbono (VCS) y el Fondo Mundial para la Naturaleza (WWF).

At the same time, the stakeholders agree that being part of the FCPF has many benefits for Peru. Access to information from international sources is vital for the country. For example, the participants highly appreciated the workshop titled "Dialogue of Indigenous Peoples of Meso and South America and the Caribbean", which was organized in Lima in August 2012. Table 3 summarizes Peru's participation in international workshops organized by the FCPF.

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<sup>24</sup> <http://www.bosques.gob.pe/publicaciones-pncb>

<sup>25</sup> <http://www.bosques.gob.pe/convenios-con-otros-actores>

**Table 3 Global and Regional Level Knowledge Sharing Promoted by FCPF – Participation by Peru**

Dates	Country	Title of Workshop	Participation by Perú
20-24 January, 2014	Antigua, Guatemala	SESA workshop	One representative from Futuro Sostenible One representative from Derecho Ambiente y Recursos Naturales
2-6 December, 2013	Bogotá, Colombia	“SESA Workshop”	Two representatives from MINAM Representatives from AIDSESP, AIDER, and Confederación Nacional Agraria.
22-24 August, 2012	Lima, Peru	Dialogue of Indigenous Peoples of Meso and South America and the Caribbean	Three indigenous peoples’ representatives from Peru.

Source: MINAM

MINAM communicates to the public through the national Forest Conservation Program. The Evaluation Team’s observation is that MINAM assumes high ownership of the National Strategy for Forests and Climate Change, which explains why the institution prefers to leave the international initiatives to the background. In fact, the interviewees considered positive that the national authority assumes the leadership. On the other hand, MINAM received some criticism from the regional players for not disseminating enough information on the status of REDD+ actions at the country level. They also wish that the authority would notify them faster on the developments of the rapidly changing international REDD+ panorama.

The Regional Government and the indigenous peoples’ organizations reminded that they are ready to communicate directly with the global programs. Currently, the international initiatives talk to the regions through the capital.

To conclude, the FCPF channels its intervention in Peru almost entirely through MINAM. While the Ministry’s ownership of the REDD+ process is important, the FCPF should consider additional ways of communicating with the various stakeholder groups in Peru. Obtaining first hand information from the civil society and indigenous peoples is fundamental for understanding how the different stakeholders perceive the situations. There is also high demand for direct knowledge sharing with the FCPF. However, the Facility should pay careful attention to adopting the knowledge products to the target groups.

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

The first evaluation of the FCPF resulted in 22 recommendations (see Baastel et al 2011). The extent to which the FCPF has responded to those recommendations is listed in the table below. The numbers refer to the original items in the first evaluation report.

**Table 4 FCPF Responses to Recommendations of the first Evaluation in Peru**

Recommendations (Baastel, 2011)	Examples of FCPF response to recommendations from the first evaluation in Peru
1. Decentralize FMT staff; provide more in- country support.	<p>In Peru, IDB is the delivery partner with a representation in Lima. The WB Task Team Leader works in Washington. The WB Peru and MINAM do not deal any of the official matters directly between the two offices.</p> <p>More country-level support would add significant value to the implementation of REDD Readiness activities in Peru. However, support staff would not have to be physically present in the country. On the other hand, he/she would have to have the same level of authority and responsibility as the current Task Team Leader. In this manner, they could provide seamless backup to each other during absences.</p>
2. Provide dedicated funds to national CSOs.	<p>The Peruvian NGO Instituto del Bien Común received a grant from the FCPF's Capacity Building Program for Southern CSO. The fund covered activities to produce a Forest Carbon Map for Indigenous Territories and Protected Areas. The project facilitated the collaboration between scientists, NGOS, indigenous organizations, and policy experts working on REDD+. It also strengthened forest carbon mapping capacities of technical staff of Coordinator of Indigenous Organizations of the Amazon River Basin (COICA), including some member organizations. The project contributed to an international initiative and a study "Forest carbon in Amazonia: the unrecognized contribution of indigenous territories and protected natural areas" by Walker et al. (2014). The map was widely disseminated in the COP20 in Lima in 2014.</p>
3. Strengthen participation of key ministries in R-PP planning processes.	<p>See notes to EQ6. In the recent years, climate action has enhanced inter-ministerial coordination in Peru. Especially, the Ministry of Economy and Finance has become more involved. The collaboration between the MINAGRI and MINAM has been reinforced and concretized. For example, forest management and monitoring, including the new Forestry Law, has obliged the two ministries to define each institution's tasks more clearly. In other fields as well, inter-ministerial coordinating bodies have been numerous. On the other hand, many stakeholders have expressed their concern that the coordination is not effective because the unsustainable and conflicting land use patterns continue to exist in the rural areas of Peru.</p>
4. Strengthen efforts to learn from previous experiences, lessons, successes, and failures in participating countries.	<p>There have not been any major efforts to learn from previous experiences, lessons, successes, and failures in Peru. However, many stakeholders expressed the demand for more systematic learning from the past interventions.</p>
5. Focus capacity building around the early building blocks of the readiness process, and around piloting in selected areas.	<p>This recommendation is not of high relevance for Peru. Before the government initiated the R-PP readiness grant implementation, funding from others sources started arriving to Peru. Therefore, the main issue has been to distribute the different budgets and tasks carefully between projects and programs to avoid overlaps.</p>
6. Actively support learning and reflection around the Strategic Environmental and Social Assessment (SESA) process.	<p>Not relevant for Peru: the consultancy to carry out SESA has not been launched yet (the Terms of Reference were under construction at the time of the country visit).</p>
7. Scale up technical and financial support to regional measures designed to foster	<p>See notes to EQ7. There is demand for more exchange and learning especially now that the R-PP implementation will start more intensively.</p>



South-South exchange and learning.	Suggestions also included that the WB could be more proactive in disseminating information and facilitating contacts.
10. While pursuing efforts to streamline the process of approval and disbursement of funds, continue to foster greater coordination with bilateral and multilateral partners at the country level.	See notes to EQ3. The R-PP formulation and implementation has suffered from rather important delays in Peru. The stakeholders attribute the interruptions to several factors, including: slowness of the FCPF and the IDB, prerequisites of internal institutional arrangements within MINAM required by the Ministry of Economy and Finance, and intensive stakeholder consultations resulting to various drafts of the R-PP. On the other hand, the coordinating role of MINAM (through the National Forest Conservation Program) has allowed harmonizing the large variety of external funding Peru has received for REDD Readiness preparation. However, criticisms from both the public sector and the civil society point out the number of pilot projects, stakeholder consultation processes, and assessments that creates burden to the local stakeholders.
12. Provide increased flexibility with respect to specific budget allocations under the Readiness grant given the rapidly evolving REDD+ financing landscape in countries where the R-PP has now long been approved.	Feedback from MINAM was clear that the FCPF has practiced high degree of flexibility in allowing other initiatives to implement activities that were originally foreseen as part the R-PP implementation. The Ministry has carefully distributed the tasks among the different programs. On the other hand, the indigenous peoples' representatives claim that the R-PP included a series of clear agreements on certain activities (which have important budgetary implications) but that these have not been complied with. On the other hand, implementation of the R-PP readiness grant was only at 10% at the end of 2015. There are no official addenda to the original contract.
16. Continue to strengthen coordination with UN-REDD, take advantage of mutual strengths and limitations in delivery mechanisms.	The leadership of MINAM has been key in coordinating the different initiatives, including FCPF and UN-REDD. Currently, this mechanism is working well; the interviewees did not report any major overlaps. However, during the R-PP formulation, it was difficult for the other partners to define their activities because the outcome of R-PP was unclear for several years.
17. Strengthen move towards greater alignment and harmonization of FCPF funds with other multilateral and bilateral sources.	See Recommendation 10.
18. Develop and implement a communication and outreach strategy to disseminate and package FCPF outcomes more widely at country level, within the World Bank and to external audiences.	In Peru, the FCPF is not widely known apart from people who are directly involved with REDD Readiness processes. Few knew the status of R-PP implementation. In Peru, MINAM reaches out to the public following its internal communication strategy.
19. Consider, in close coordination with other REDD-related funding mechanisms, measures to strengthen participation of responsible private- sector players in REDD+ processes.	FCPF's strategies, reports and other documentation mention private sector involvement in several instances. However, little evidence exists on concrete actions and engagement. Furthermore, the private sector representatives indicated that their involvement has been relatively superficial and sporadic in the processes led by MINAM. The interviewees also hoped for more structured and formal coordination mechanisms for them to understand what added value the FCPF or REDD+ in general would offer to their businesses.
21. Engage with countries on options for governance and institutional set up to ensure transparency and agreed	Peru recently approved a new law on Compensation Mechanisms for Ecosystem Services (June 2014) which defines the role of MINAM as the official body for the evaluation and approval of the PES schemes (including carbon).

approaches to benefit sharing in this operationalization.	Terms of Reference for the formulation of the benefit-sharing mechanism are under construction.
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## 9. To what extent and in what ways has the FCPF contributed to broad and long-term change beyond its short-term effects?

Stakeholders widely agree that the vast amount of new information that the country has generated as a result of the REDD Readiness preparation have great potential benefits to the country. Especially, the various maps that allow analyzing the forest trends are particularly useful. Most outputs are a joint effort of various initiatives together with the Peruvian institutions. The FCPF is one of them.

The main legacy of the FCPF in Peru relates to the R-PP formulation process and the intensive stakeholder consultations that it involved. However, this positive image of the FCPF has suffered a drawback due to the delays in the finalization of the R-PP and the slowness in launching the activities. Nevertheless, the R-PP is a document widely known among all interviewed stakeholder groups.

Many of the FCPF's achievements in Peru relate to institutional processes, which are not visible to the wider public. Examples include:

- The R-PP formulation process was a major effort that brought stakeholders around the same table. At that moment, only few international players were working on REDD+ in Peru.
- MINAGRI and MINAM carried out negotiations on the distribution of tasks between the two institutions. The former, through SERFOR<sup>26</sup>, is in charge of planning, implementing, supervising, and controlling national forest and wildlife policies as well as forest monitoring in permanent production forests. The latter manages the National Service of Natural Protected Areas (SERNANP) and the surrounding buffer zones. A legislative decree (Decreto Legislativo N° 1220) was emitted to define that forest cover monitoring is part of the National Forest Information System<sup>27</sup> and of the National Environmental Information System<sup>28</sup>. The law also established that MINAM is in charge of this activity together with SERFOR. A second official decision (Ministerial Resolution N° 324-2015-MINAM) defined that inside MINAM, the National Program for the Conservation of Forests for the Mitigation of Climate Change is in charge of managing the forest cover monitoring activity.
- The FCPF helped to reach an agreement between the National Institute of Statistics and Informatics (INEI) and MINAM for managing official information on deforestation (MINAM, 2015).

According to many interviewees, the international community has raised unrealistic expectations on REDD+. The respondents appear to feel disappointed in the readiness process and to what it has been able to offer. They would hope to see more concrete results.

The regional-level stakeholders also think that REDD+ initiatives should be based more on local knowledge. They argue that the Ministries sometimes treat community forestry almost as a new concept. In fact, local-level natural resources management has long traditions in the rural areas of Peru. NGOs are implementing dozens of voluntary REDD+ projects in the Amazon. Yet, stakeholders consider that the authorities do not analyze and learn enough from those experiences. For the local actors, REDD+— apart from few exceptions - continues being a top-down approach.

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<sup>26</sup> Servicio Nacional Forestal y de Fauna Silvestre/ The National Forest and Wildlife Service, a public institution dependent from MINAGRI.

<sup>27</sup> Sistema Nacional de Información Forestal (SNIF) in Spanish.

<sup>28</sup> Sistema Nacional de Información Ambiental (SNIA) in Spanish.

The private sector representatives (that promote sustainable agriculture) see REDD+ as one component of a wider box of tools. At best, it can supplement approaches that are more integrated. The private players call for the international community to focus on bottom-up sustainable landscape approaches. For them, it is the key solution to tackle destructive natural resource use in rural communities.

The indigenous peoples' organizations brought up the adherence to strict safeguards before moving on to the actual implementation phase of REDD+. For example, they consider that implementing REDD+ without first securing land tenure of indigenous communities involves high risks.

Likewise, the indigenous representatives are dissatisfied with the planned national REDD+ project registry. They fear that the system is going to remain as a mere list of interventions. It would mean a lost opportunity for controlling effectively the risks related to REDD+ projects. Their opinion diverges considerably from some public institutions' view. The public players believe too many restrictions at these early stages might be counterproductive to all parties.

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

In Peru, the IDB became FCPF's delivery partner in the end of 2012. In addition, the Task Team Leader in the WB provides technical backstopping from Washington. Peru has little interaction with the WB Country Office.

In MINAM, two employees are in charge of the day-to-day management of FCPF activities. One of them works in the Directorate General for Climate Change, Desertification, and Water Resources. The other one is assigned to the National Program for the Conservation of Forests for the Mitigation of Climate Change.

The Executive Coordinator of the National Forest Conservation Program is the main coordinator of the FCPF procedures (R-PP implementation grant, ER-PIN, Letter of Intent, etc.). However, the same person is also in charge of the Forest Investment Program (FIP) for Peru. The FIP has also been an intensive undertaking in Peru in recent years.

Both administrators report to their own hierarchy. The Director General of Climate Change Desertification and Water Resources leads the Climate Change Team. He reports to the Vice-Ministry of Strategic Development of Natural Resources. The Executive Coordinator of the National Forest Conservation Program also acts as the focal point for REDD+ of the National Authority for UNFCCC. He reports directly to the Vice-Ministry of Strategic Planning of Natural Resources of the Ministry of Environment.

MINAM is satisfied with the current support provided by Washington. However, the official is frequently unavailable because of duty travel. Consequently, the procedures sometimes suffer from delays. Similarly, some respondents hoped that IDB would increase the availability of its support staff for the Ministry.

The situation with the human resources for the implementation of FCPF activities in Peru is alarming. The team is clearly understaffed considering that one person in the Ministry is responsible for a large amount of tasks from procurement to technical coordination. This has probably created some degree of delays in the R-PP implementation. Even if other technical specialists work on REDD+ in the Ministry, they do not contribute directly to the FCPF. Thus, the FCPF should allocate more staff for R-PP implementation if it wishes to maintain momentum in the intervention.

The FCPF executes activities mainly through external consultancies in Peru. This modality can cause lack of continuity. It also puts burden on the administrative staff in the Ministry. More long-term technical support from the FCPF would mitigate some of the risks.

## **Notes on divergences and convergences of stakeholder opinions**

**Converging views on leverage.** Stakeholders see the Facility as an important player in the REDD+ architecture in Peru. However, it is not seen in a leadership position. When the Facility arrived to the country, it was welcomed as something new and innovative. As the years went by and other initiatives started flowing in, FCPF has been losing some of its importance.

**Divergent strategic objectives.** Stakeholders seem to diverge in their strategic objectives in the following matters:

- The indigenous peoples consider that the State should protect the rainforests and the indigenous peoples for their intrinsic value. The protection would eventually yield co-benefits to the society and the climate at large. REDD+ schemes are acceptable but only with direct benefits to the communities. It is also important to make international polluters responsible for their own emissions.
- MINAM and MINAGRI, as well as some private actors, wish to see Peru on a path to green growth. They promote sustainable and innovative use of natural resources. For example, payments for ecosystem services, including REDD+, are high on the agenda. This would lead to growth and wellbeing at all levels of the society. Negative environmental and social impacts would be reduced.
- On the other hand, many individuals question the feasibility of REDD. Yet they continue on the readiness path because it would be difficult not to follow the global tendencies. After all, the international grants create employment and increased capacities in the country. The more traditional development aid has also been diminishing in the past years.

**Divergent strategic approaches.** A corresponding divergence of approach was noticed in how to obtain these objectives, for example:

- The indigenous peoples' organizations believe that securing land tenure of indigenous territories (as well as traditional mestizo communities) is the first priority. In parallel, the interventions should promote community forestry. This is key for conserving forests and traditional cultures. The maintenance and enhancement of carbon stocks is a natural outcome of this output.
- The Ministries focus on implementing their new laws and strategies. Their priority is to create positive incentives for sustainable and multiple use of forests. This would tackle the main drivers of deforestation and forest degradation leading to a real reduction in carbon emissions. A series of non-carbon benefits would be observed as a result, as well.
- The private sector believes strongly in investing in a modern sustainable and productive landscape approach. It would build on a bottom-up approach based on the local families' and communities' needs. The approach would include eliminating perverse incentives to cut down forests. Finding large-scale upfront risk capital for building sufficiently large investments is fundamental. Adaptation to climate change is also key.

The recently formulated draft National Strategy on Forests and Climate Change is a genuine effort to reconcile the views of the different stakeholder groups into one strategy. MINAM reminded that the above-mentioned points are all included in the new approach<sup>29</sup>.

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<sup>29</sup> The National Strategy on Forests and Climate Change was launched in the end of 2015. Therefore, it was not yet available during the evaluation period (June 2011 – December 2014).

Peru's ER-PIN seems to be an intent to reconcile these different viewpoints into one strategy. However, it does not outline a prioritization of the intervention types (see Table 14 of the ER-PIN).

## **Conclusions**

In Peru, the REDD+ architecture first started building up from voluntary REDD+ schemes. Eventually, the authorities had to react to the growing demand for official guidance. Nowadays, the National Forest Conservation Program is assuming the leadership of REDD+ in the country. The authorities have clearly built strong ownership of the national REDD process.

In fact, Peru has received so many grants for REDD Readiness preparation that it has difficulties to absorb all of them. The lack of sufficient human resources allocated to manage the various projects probably slows down the progress of REDD Readiness. Similarly, the amount of initiatives and the technical knowledge that is required to follow the REDD developments overburdens the civil society organizations' capacity to contribute meaningfully to the processes.

However, the World Bank now considers that the country is ready to sign the Letter of Intent to access to the Carbon Fund. The international community is positive but cautious at the same time regarding Peru's capacity to assume the challenges.

The following 2-5 years will be a key piloting period for Peru. The progress will determine if it will have access to payments for performance.

## **Areas for Further Complementary Exploration.**

- Peru should take a conscious decision which fund it will prioritize (GCF, FIP, CF, or NICFI). Alternatively, is the country trying to fulfill the requirements for all of them? How would Peru reconcile the different criteria?
- How the FCPF could ensure sufficient backstopping for Peru during R-PP implementation? The period of highest disbursements so far is about to start.
- How should Peru take into account the demands of the indigenous peoples' organizations in the REDD Readiness process and REDD+ implementation?
- How to improve the effectiveness of the multi-sectoral coordination mechanisms? What would be a formal mechanism to carry out dialogue with civil society?
- How the Ministries could enhance dialogue with the private sector?
- How the REDD+ interventions could move from project-based to process-oriented implementation?
- How to change the communication strategy to match the messages with the information needs and level of understanding of the different target groups?

## List of National Stakeholders Consulted

MDB = Multilateral Development Bank, G = Government, CSO = Civil Society Organisation, IP = Indigenous peoples/ local peoples' representation, PS = Private Sector

Date	Code	Consultation
19 Jan 2016	G-1	+14:30-13:30 Gustavo Suárez de Freitas, Executive Coordinator, FCPF Focal Point, MINAM
	G-2	+16:00-17:00 Kenneth Peralta, Thematic Coordinator on Forests and Climate Change, MINAM
	G-3	Jorge Saenz, Coordinator of the IDB Technical Cooperation, MINAM
	G-4	Mirella Camacho, Governance and Gender Specialist, MINAM
	IP-1	Esteban Morales, Program Officer, Interethnic Association for the Development of the Peruvian Rainforest (AIDSESEP)
	IP-2	Flor Carbajal, Program Officer, AIDSESEP
20 Jan 2016	IP-3	Percy Raschid Assen Guerra, Confederation of Amazonian Nationalities of Peru (CONAP)
	PS-1	+9:00-10:00 Juan Carlos Gonzales Aybar, Director Latin America, Althelia Ecosphere
	CSO-1	+10:00-10:30 Tatiana Pequeño, Director of Institutional Development, Center for Conservation, Research and Management of Natural Areas (CIMA)
	G-5	+11:00-13:00 Eduardo Durand, Director General of Climate Change, Desertification and Water Resources, MINAM, MINAM
21 Jan 2016	G-2	Kenneth Peralta, Thematic Coordinator on Forests and Climate Change, MINAM
	IP-4	+10:00-11:00 Mauro Cairuna Urquía, Program Officer, AIDSESEP – Pucallpa
	IP-5	+17:00-18:00 Mauro Cairuna Urquía, President of the Indigenous Organization of Manantay – Pucallpa
	IP-6	Juan Pablo Ferreyros Sánchez, Technical Assistant, CONAP – Pucallpa
22 Jan 2016	IP-7	Cledy Tamara Cairuna García, Technical Assistant, CONAP – Pucallpa
	G-5	+8:00-12:00 Renan Chauano Paredes, Director of Conservation and Biological Diversity, Regional Government of Ucayali
	G-6	Segundo Rolando Reátegui Ruiz, Coordinator ACR, Regional Government of Ucayali
	G-7	Carlos Antonio Coste Valdez, Director of Forest and Wildlife Management, Regional Government of Ucayali
	G-8	Olga Marina Rios Cruz, Forestry Specialist, Direction of Forest and Wildlife Management, Regional Government of Ucayali
	G-9	Luigi Roberto Udrbas Morey, Regional Manager, Regional Environmental Authority of Ucayali

Date	Code	Consultation
	G-10	Hildebrando Collantas, Assistant, Regional Environmental Authority of Ucayali
	G-11	Lloyd López Ruiz, Project Coordinator, Regional Environmental Authority of Ucayali
	G-12	James Figueroa Flores, Coordinator, Regional Environmental Authority of Ucayali
22 Jan 2016	UN-REDD	+12:00-14:00 Erick Iván Icochea Dávila, UN-REDD Technical Adviser, Pucallpa
25 Jan 2016	G-13	+10:00-11:00 Aida Amezaga, Director of Sanitation of Agricultural Property and Rural Lands, MINAGRI
	CSO/PS-2	+12:30-14:00 Maria Mercedes Medina, National Coordinator in Peru, Sustainable Commodity Assistance Network, Peru
26 Jan 2016	G-3	+8:00-9:00 Jorge Saenz, Coordinator of the IDB Technical Cooperation, MINAM
	G-14	+10:00-11:00 Javier Roca, Director General of International Economic Affairs, Competition and Productivity, Ministry of Economy and Finance
	G-15	Rocío García Naranjo, Technical Coordinator of the Climate Change Unit, Ministry of Economy and Finance
	MDB-1	+15:00-16:00 Jaime Fernández-Baca, Climate Change Specialist, Inter-American Development Bank
	MDB-2	Eirivelthon Santos Lima, Senior Economist of Natural Resources, Inter-American Development Bank
	IP-8	+17:00-18:00 Henderson Rengifo Huallanga, President, AIDSESEP
	IP-9	Roberto Espinoza, Technical Advisor, AIDSESEP
	IP-2	Flor Carbajal, Program Officer, AIDSESEP
	IP-1	Esteban Morales, Program Officer, AIDSESEP
27 Jan 2016	CSO-3	+9:00- 11:00 Sandra Dalfiume, Assistant – Environmental Policy, Conservation International
	CSO-4	Harlem Mariño Saavedra, Specialist, Derecho, Ambiente y Recursos Naturales (DAR)
	CSO-5	Suyama Huamani, Specialist – Amazon Program, DAR
	CSO-6	Astrid Aguilar Vargas Machuca, Assistant of Climate Finance Project, PROETICA
	CSO-7	Cecilia Tacusi Oblitas, Climate Governance Program Coordinator, PROETICA
	CSO-8	Odile Sánchez De la Cruz, Grants Specialist, Peruvian Trust Fund for National Parks and Protected Areas (PROFONANPE)
	CSO-9	Tatiana Pequeño, Director of Institutional Development, Center for Conservation, Research and Management of Natural Areas (CIMA)
	CSO-10	Magaly Avila Huanca, Climate Governance Program Coordinator, PROETICA
	FAO	+13:00-14:00 Teija Reyes, Forestry Specialist, FAO
	G-16	+15:00-16:00, Fabiola Muñoz, Executive Director, National Forest and Wildlife Authority (SERFOR)
		+16:00 CONAP: Cancelled by CONAP (reason: force majeure)

<b>Date</b>	<b>Code</b>	<b>Consultation</b>
9 Feb 2016	UN-REDD	+16:00 (by email) Roxana Ramos, Specialist in Capacity Strengthening, UN-REDD support project for Peru.
10 Feb 2016	G-17	+18:00 (by email), Lucas Dourojeanni, Technical Advisor, MINAM
11 Feb 2016	G-18	+01:00 (by email), Giovanna Orcotoma, Technical Advisor, MINAM
	G-19	+01:00 (by email), Mariela Guisa, Technical Advisor, MINAM
18 Feb 2016	UNDP	+15:00-16:00 Marco Chiu, Regional Technical Advisor - REDD+, Sustainable Development Cluster, Bureau for Policy and Programme Support, Regional Center for Latin America and the Caribbean, UNDP
22 Feb 2016	MDB-3	+22:00-23:00 Leonel Iglesias, FCPF Peru Task Team Leader, GCCFL Forests and Landscapes Climate Finance, WB

46 Persons in total.



Targets for potential interview		Tier 3	
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	3: G1-3
	Informants recommended by Contact Point.	1-2	2: G4-5
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	2: G14-15
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	6: G-13, G16-19, MDB-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	1: PS-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	1: CSO/PS-2
Targets within civil society	Biodiversity-oriented conservation charities (international and/or local).	1-2	9: CSO-1, CSO3-10
	Indigenous/local-people-oriented development charities (international and/or local).	1-2	9: IP1-9
	Sub-national (local/regional) development institutions/forums.	1-2	8: G5-12
Targets within donor agencies with programs active in the LULUCF sector.	FCPF Delivery Partner (Tier 2 and Tier 3 targets).	1	2: MDB1-2
	Others recommended by FCPF Delivery Partner, FMT, etc.	2-3	2: FAO, UNDP

Targets for potential interview		Tier 3	
Overall category	Specific category	Intended	Actual
Targets among other knowledge holders (resident/long-term consultants, politicians, etc.)	Targets of opportunity, interest and recommendation.	2-3	2: UN-REDD (provincial), UN-REDD (national)
All (Tier 3)	Total in each Tier 3 country	16-24	47
All (Tier 2)	Total in each Tier 2 country	2-5	

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Annex 4

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## **Assessment of Methodologies and Quality of Data**

## Annex 4 Assessment of Methodologies and Quality of Data

The approach and methods used in this evaluation is presented as an Annex to the final evaluation report. The Annex will describe all data collection methods, analysis methods and the triangulation approach, as well as the country selection process.

This Annex to the final evaluation report, assesses the threats to validity in the evaluation design and data collected, as well as limitations in methodologies and how these limitations affect the conclusions.

This report uses the checklist approach for the assessment of threats to validity of the evaluation. The checklist presented in the worksheets below is adapted from Teddlie and Tashakkori (2009) and Bamberger et al. (2012).

### Checklist 1: Internal Threats to Validity: Overall Design Quality

1. Design Suitability: Was the design appropriate for the purpose of the study?		Ratings	
		Threat	Importance
a.	Are the methods of the study appropriate for answering the questions? Does the design match the evaluation questions?	Medium	High
<p>This evaluation design contains multiple methods – portfolio analysis, timeline creation, consultations, desk review, and field visits. The methods chosen were based on the technical proposal and further elaborated in the inception period. The methods are outlined in the evaluation matrix and are appropriate for answering different questions for the evaluation. The design of the evaluation matrix in the inception report deviates from the technical proposal and the Terms of Reference. The evaluation matrix simplifies the evaluation questions from the terms of reference and reformulates them noting that the Terms of Reference contained more than twenty questions and there was a need consolidate these. This required extensive re-consideration of the terms of reference questions by the Oversight Committee and the Evaluation team and the alignment with the new evaluation matrix.</p> <p>The alignment is inadequately explained in the inception report and the proposed final report outline was redundant as it was aligned with the Terms of reference rather than the evaluation matrix questions. Mitigation measures have been taken to demonstrate alignment between the evaluation matrix with the terms of reference questions though this led to a zero draft report, which was difficult to read in terms of logic. As a result, the report outlined was subsequently revised to align with the evaluation matrix questions.</p> <p>Not all methods were entirely appropriate for answering the evaluation questions. The scoring method initially proposed for the ER-PIN analysis was deemed by the Independent Reference Group to add limited value, and was subsequently excluded from presentation of results in the evaluation.</p>			
b.	Does the method design match the stated purpose for conducting the study?	Medium	High
<p>The objective of the evaluation is to compile lessons learned and evaluate relevance, effectiveness and efficiency of a highly complex program in 47 countries. The methods designed are aligned with best practice and guidance, and highly appropriate to the purpose for conducting the study across a portfolio. However, the data collected from the field visits proved to be high quality. To improve results of future evaluations at the programme level, more emphasis should be on field visits, as this is where the most robust data is collected, and lessons learned are able to be observed.</p>			

2. Objectivity: Are the conclusions drawn from the available evidence and is the evaluation relatively free of bias		Ratings	
		Threat	Importance
a.	Are the conclusions and recommendations presented in the executive summary consistent with and supported by the information and findings in the main report?	Low	High
The conclusions and recommendations presented in the executive summary are taken from Chapter 7 conclusions and recommendations. To demonstrate the logic chain, the table presenting findings, conclusions and recommendations presents the logic. The findings are highlighted in boxes in the report and were taken up into the table and summarized.			
b.	Are the study's methods and procedures adequately described? Are study data retained and available for reanalysis?	Low	High
The OECD DAC quality standards requires that there is an explanation of the methodology used. The evaluation's methods and procedures are described in Chapter 2 <i>Evaluation Approach and Methodology</i> to the evaluation report. Detailed description of methods and procedures is annexed to the evaluation report. The data collected from the evaluation is retained on Indufor's internal server. This includes interview notes, list of consultations, and referencing. The data is not public as the evaluation applies the Chatham House rule to protect the identity of all stakeholders consulted.			
c.	Were there any potential conflicts of interest? How did they affect the evaluation? How were they managed?	High	High
<p>During the procurement process for the FCPF 2<sup>nd</sup> evaluation, "consultants selected are required to provide information to demonstrate no conflict of interest. Specific criteria was established to determine the conflict of interest: as a member of the Participants Committee, (advisor to) a Donor Participant or (advisor to) a Carbon Fund Participant, (advisor to) a REDD Country Participant, or a member of an Ad Hoc Technical Advisory Panel".</p> <p>No core evaluation team member was contracted to implement an FCPF contract during the evaluation temporal scope (July 2011-December 2014) or the evaluation period commencing upon contract signature and concluding with the submission of the final report (June 2015-August 16th, 2016).</p> <p>While the evaluation itself cites clearly the criteria for a conflict of interest at the individual level, it is important to note that the firm carrying out the evaluation could. Indufor, the company contracted to carry out the evaluation provides consulting services to support national forest programmes, such as the FCPF and other REDD-related programmes around the world. This creates the potential for a conflict of interest and therefore requires careful management in certain aspects of the evaluation.</p> <p>Field visits were selected using a systematic application of selection criteria approved by the oversight committee.</p> <p>Indufor had the following potential conflicts of interest during the evaluation period and during the evaluation, as follows:</p> <ul style="list-style-type: none"> <li>- Lao PDR: the procurement process for the FCPF contract in Lao PDR coincided with a planned field visit to Lao PDR under the evaluation. To avoid any potential conflict of interest, to both the evaluation and to the procurement process, the field visit to Lao PDR was delayed and then cancelled. Information for Lao PDR was sourced through an interview with the FCPF focal point after the procurement process had concluded.</li> <li>- Vietnam: Quang Tri Provincial REDD+ Action Plan: Indufor submitted a bid prior to commencing the evaluation and was notified that they were selected to join the contract negotiations. One of the evaluation team members was on the proposal and immediately</li> </ul>			

withdrew from their position on the Vietnam bid explaining a potential conflict of interest. The contract was not agreed. No field visits were conducted in Vietnam.

- Uganda Benefit Sharing System: the procurement process for the bid was carried out before the evaluation commenced, however the work was implemented during the evaluation period. No field visits were conducted in Uganda for the evaluation.
- Vietnam: State Forest Enterprises: The work was contracted during the evaluation period. No field visits were conducted in Vietnam.
- Ghana MRV/REL design and implementation: The field visit to Ghana was led by Dr Julian Caldecott, who was not an employee of Indufor.
- Guyana's R-Package (financed through WWF): No field visits were conducted in Guyana for the evaluation, however comments were received from the Government of Guyana during the evaluation.

Indufor has had operations in the past five years in most of the FCPF portfolio REDD Countries whether it be through bilateral project implementation with Technical Assistance, or providing services to multilaterals (World Bank, UNDP, African Development Bank), conducting evaluations in related programs (NICFI, CIF/FIP, EU etc) as well as doing work for the private sector and NGOs. This does not create a conflict of interest for the FCPF evaluation.

In FCPF project procurement calls in which Indufor (all offices around the world) were shortlisted or called to submit a bid since July 2015-August 2016, the Evaluation team leader sent a notification email to the Evaluation Facilitator at the World Bank in all cases.

**No core evaluation team members were contracted to implement an FCPF contract before or during the evaluation.**

d.	Are data presented to support conclusions? Is evidence presented in all findings?	Low	High
Data is presented. The source of data is referenced. Conclusions are drawn from findings. The link is presented in the executive summary table which summarizes findings, conclusions and recommendations.			
e.	Have the team been explicit and self-aware as possible about personal bias, assumptions, values and bias	Moderate	Moderate
Personal bias was a potential issue in the selection of countries to visit from the portfolio. A systematic method of selecting countries was applied throughout the evaluation, which mitigated the risk of personal bias in country selection. The headquarters of the evaluation team could favor the time zone for Europe and African consultation, however this was mitigated with a systematic selection of countries their stakeholders for in-depth interviews.			
f.	Were the methods used to control for bias adequate?	Low	Low
The methods were adequate as there were very few substitutions or exclusions from data collection samples. When there was poorer data or data excluded, it was for reasons external to bias, such as difficulty in communication challenges in Africa and small islands.			
g.	Were competing hypotheses or rival conclusions considered?	Low	Low
Yes, several hypotheses and rival conclusions have been discussed, particularly with respect to efficiency.			

### Quality Assessment for each stage of the evaluation

3. Data Collection: Adequacy of the data collection methods and the quality of the data (qualitative)		Ratings	
		Threat	Importance
a.	How context rich and meaningful are the data? Is there sufficient information to provide credible/valid description of the program evaluated?	Moderate /Low	High
<p>The data collected from documents was generally of high quality and quite meaningful. The majority of documents originate from the FCPF website. Some of the documents are less formal than others (e.g. Participant Committee Resolutions, FMT notes, draft documents, guidance documents, annual reports). The evaluation presents findings applying priority to primary and robust documentation such as PC Resolutions, Final R-PPs, ER-PINs, Annual reports. Annual report 2015 created a stated challenge because it was not clear what data fell outside the temporal scope of the evaluation (December 2014) which concluded mid-way through the World Bank's fiscal year and reporting cycle. This is quite important because there is an element on consistency across data used from documents. There are notable inconsistencies between the annual reports and stakeholder experiences portrayed in the annual reports. These inconsistencies are noted in the report as appropriate. Country progress sheets lack consistency and vary in quality, but provide important basis of evidence in the evaluation. The missing data in progress reports used to assess the performance of the FCPF against its M&amp;E Framework are listed in tables annexed to the final report.</p> <p>Some data collected from the consultations was of poor quality when the stakeholder had limited knowledge on national REDD+ processes and the FCPF. This was not the case across all countries, but was generally an issue in LDCs and countries that have recently joined the FCPF. Given the broad consultations and the depth of information across the portfolio, there is sufficient information to provide credible and valid description of the program on most points of the program. With respect to the M&amp;E framework, there were data gaps in the FCPF annual reports, and these are reviewed against the relevant indicators in an Annex to the evaluation report. This was not really an issue associated with insufficient data, but rather redundancy of the indicator.</p>			
b.	Are findings consistent and replicable across data sources	Low	High
<p>Evidence was presented, analyzed and triangulated to provide consistent findings. The key findings leading to recommendations for the evaluation are also replicable across different evaluation questions, such as those for efficiency.</p>			
c.	Were data collected across a full range of appropriate settings, times, respondents?	Low	High
<p>Several methods were used to collect data and are reviewed below:</p> <p>Online survey – Of 47 countries in the FCPF portfolio, 46 countries responded to the online survey. An 98% response rate was achieved with the online survey. The online survey is aligned to the evaluation matrix questions. All respondents replied to both multiple choice and comment boxes for each question, yielding generally good qualitative and quantitative data. The responses from the online survey exceeded the Evaluation Teams' expectations and is particularly useful for answering several evaluation matrix questions. The online survey does not address the cross cutting issues such as gender and biodiversity.</p> <p>The online survey was designed to give FCPF focal points in REDD Countries the opportunity to express their viewpoints in multiple choice and open answer. Unlike the remote in-depth interviews and field visits, respondents could not ask clarifications on the question. As a result, some answers to the questions were not able to be included, when it was clear that the respondent had misunderstood the online survey question. Therefore, though the online survey went through several testing rounds in formulation, the online survey was used as additional supporting evidence when the data and responses supported this use. This came as an instruction by the</p>			



Oversight Committee to use the online survey as a support method due to the concern of a potential low response rate. There were several questions which could have made use of online survey information, but due to the length of the report being long already and strong triangulation of evidence without the online survey, presentation of several online survey questions were omitted from the draft report and final report.

The online survey did not address the government focal points' views specifically on the CSO and IP participation in REDD+ processes. Furthermore, the interviews that were conducted with CSO and IP representatives (through telephone, Skype or email) followed the protocol that focusses on two main aspects; positive and negative experiences and lessons from participating in the FCPF (except for the Tier 2 CSO and IP interviews). Therefore, the protocol that was applied to governments was more versatile than the one applied to CSOs and IPs. A consequence can be that the CSOs and IPs have expressed less elaborate answers and covering fewer issues than the government focal points.

Tier 2 in-depth interviews: The data collection process took longer than expected and multiple follow ups with key countries were required to attain phone interviews with Government representatives. Many interviews encountered communication challenges such as poor phone connections, Skype connections dropping away – this was particularly prominent for African countries, SIDS and LDCs. In some cases, the only way to collect information was requesting the informant to fill out the questions through email. Unfortunately, this diminishes the quality of the information collected, and the opportunity to solicit additional information through a person to person interview was lost. A few African countries were particularly challenging for organizing interviews, and therefore a consultant based in Africa with good connections to climate change personnel across Africa was contracted to the core evaluation team. The evaluation team also used the FMT to encourage and assist reaching out to a number of Tier 2 countries. In all, 17 countries were initially selected for in-depth interviews. Gabon was unresponsive and is currently inactive in the FCPF, therefore a decision was made to substitute Gabon with Sudan for a Tier 2 in-depth interview. Lao PDR was also placed into Tier 2 after the decision was taken to cancel a field visit mid-way in the evaluation. This takes the total of Tier 2 assigned countries up to 18. The Targets for data collection were achieved in 12 of the 17 countries, five countries require one follow-up.

The most challenging country for reaching out to the interviewees was DRC due to bad telephone lines and slow internet connection. DRC is one of the key countries for lessons learning as they were the first country to present an R-package. Therefore, the respondents from DRC provided their comments by email. The interviews with Chile and Vietnam could be carried out without any major obstacles. However, the key CSO in Chile could not be interviewed in spite of several requests.

Tier 3 Field visits: five of the six countries were visited for collecting data and making field observations. This represents only 10% of the sample and is not representative. In-depth interviews and the online survey were seen as key methods for broadening data collection to get representation. While visiting Nepal, the evaluators were also able to travel to Bhutan and meet with several government officials. The face-to-face interview enriched significantly the data collection process. In terms of duration of the field visits, Peru, Mexico, and Ghana's field mission took 2 weeks, while Nepal and Madagascar lasted only one week. The Evaluation Team feels that this did not compromise the quality of the information, as the majority of key stakeholders targeted were interviewed. The longer duration for the trips to Mexico and Peru is justifiable due to the extensive consultations conducted, including local communities, indigenous peoples and their representatives. Ghana was the first field visit, and therefore acted as the testing ground for collecting and compiling data.

General stakeholder consultations: Consultations were conducted with CSOs, IP representatives, the private sectoral, multilateral organizations and programs, and financial contributors. These consultations were extensive. A total of 139 consultations have taken place (excluding Tiers 1,2 and 3).

Most financial contributors were interviewed and the sample is quite representative with good quality data. In some cases, follow up calls were made, and interview notes were shared upon request for validation.

Even though there has not been significant private sector engagement in the FCPF so far (only 2 PC observers and 1 Carbon Fund member), the Evaluation Team were able to interview more than 20 actors. These actors are directly or indirectly associated with the REDD process and FCPF. The aim was not only to assess how private sector engagement has been so far, but also identify what could trigger the interest of the sector to participate more actively in REDD and the FCPF in the future.

The Evaluation Team reached out to the CSOs and IPs through three main channels. The main target group within the sector were the CSO and IP observers to the FCPF governance bodies. The FMT provided the contact details of 14 representatives, of which 7 provided comments. One of the contacts was undeliverable, and one person had already been interviewed during a country visit. The other five persons could not be contacted despite of several efforts. Secondly, the six intermediary CSO and IP organizations accredited by the CSO and IP Capacity Building Program were contacted by email. Five of six organizations provided comments either by email or in telephone conversations. Thirdly, contact details were collected from all the available participant lists of the FCPF workshops published in the Facility's website. 110 persons were contacted by email, and as result, five responses were received. In addition, the Team reached out to a number of key CSO informants and WB staff specialized in social inclusion. Despite some challenges in obtaining responses from the target group, a majority of the key CSO and IP representatives could be interviewed. The priority was on telephone/Skype interviews, however, some respondents preferred to provide their comments by email. Overall, the data quality is fairly good. The evaluation would have benefitted from better availability of stakeholder contact details that are included in the various FCPF documents. In many cases, only the name or the organization is mentioned. However, email or telephone number, as well as stakeholder category, are lacking.

The Evaluation Team collected views also from the Delivery Partners. The list of names that was received from the FMT included the contact details of 20 representatives in total. Over 10 representatives from FAO, IDB, and UNDP provided comments to the Evaluation Team by email or during telephone/Skype interviews. Some of the email addresses were no longer valid and some of the representatives had been interviewed during the country visits. In addition, some UN-REDD representatives were interviewed in the organization's headquarters. The sample is quite representative with good quality data.

Most of the interviews for the evaluation were conducted shortly after the COP22 in December 2015, which produced the Paris Agreement. A number of stakeholders referenced the INDCs and other outcomes from the agreement and their future expectations for REDD+. The FCPF was never designed to account for this outcome, though its M&E Framework assumes that the International climate change negotiations remain favorable. It is likely, that given that the Paris Agreement was fresh on the minds of those interviewed that it could have created a tendency to answer questions on the FCPF in the context of the Paris Agreement.

d.	Did all field workers have comparable data collection protocols?	Low	Moderate
<p>All field consultants were given an interview protocol which was developed during the inception and annexed to the inception report. The interview protocol is applied for data collection for Tier 3 (field visits) and Tier 2 (in-depth interviews). The interview protocol is attached to each survey response. The interview protocol explained the context and purpose of the evaluation and the survey for data collection. The team leader explained the interview protocol to each member of the team that used survey methods to collect data. The field visits were also directed by an agreed and consistent outline of field visit reports, which was developed during the inception period and features as an annex to the inception report.</p>			

e.	Were coding and quality checks made? Did they show adequate agreement?	Low	Moderate
Quality checks were made and numbers are subject to verification from the relevant authority.			
f.	Do the accounts of different observers converge? If they do not – is this recognized and addressed?	Low	Moderate
Not all accounts from different observers converged, even when separate interviews were conducted within the same organization. The field visit reports were specifically designed to capture synergies and divergences of stakeholder accounts. In addition, the triangulation matrices are designed to specify key synergies and divergences beyond the field visits, and applied to the full evaluation process.			
g.	Were peer or colleague reviews used?	Low	High
Field visit reports were validated by the FCPF government focal point and the national consultant. In addition, internal review was conducted by three persons for the full report (including field visit reports) for quality control. The Ghana field visit report went through extensive review with the reference group to align quality issues for the other field reports. The online survey was reviewed by the Reference Group before it was launched. The final report was assigned two quality managers who are internationally respected experts, one in the field of evaluation, and another in the field of REDD+. Peer reviews were used for two iterations of the final report.			
h.	Did budget, time, data constraints affect the quality of the data? If so, were adequate measures taken to address these limitations?	High	Moderate
Budget and time constrained the good practice of visiting a representative sample of FCPF countries to make field level observations. This was mitigated to some extent by applying in-depth interviews to an additional 17 REDD countries to enrich the data collected.			
i.	Does the account reflect the local context?	Low	Low
The validation of each field report by the FCPF government focal point and national consultant is a quality procedure to make sure that the findings reflect the local context.			
j.	Did triangulation among complementary methods and data sources produce generally converging conclusions?	Medium	Medium
Generally, yes, triangulation produced converging conclusions. There were several cases which conclusions could be seen as diverging. Conclusions that were based on one stakeholders group, such as the FCPF focal points, found that on one hand knowledge sharing products were useful (online survey). On the other hand, stakeholders in REDD countries (field visits and in-depth interviews) generally found FCPF instruments a challenge to use due to limited capacity and knowledge. There is a general lack of distinction between knowledge sharing and capacity building and low awareness among different stakeholder groups of the different nuances associated with both. For the evaluation team there was lack of clarity between knowledge sharing and capacity building within the FCPF. For example, the annual report would claim knowledge products used by REDD practitioners included the Methodological framework. However, was a tool for payments for results and was not designed as a knowledge sharing tool under objective 4 of the Charter.			
k.	Are areas of uncertainty identified? Have rival explanations been actively considered?	Medium	High
Areas of uncertainty were identified. The main issue was found to be that when making several assessments REDD Countries had not advanced to the point where a robust assessment can be made at the programme level for example, on the usefulness of the SESA/ESMF. The evaluation team point this, and other examples out in the report, and note that it is one of the key limitations of the data acquired for the assignment.			

I.	Were conclusions considered accurate by those responsible for data collection (including local field consultants)?	Low	High
Considered generally accurate with limited and small revisions required by the evaluation team to improve the quality of field visit reports.			

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Annex 5

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## **Inception Report**



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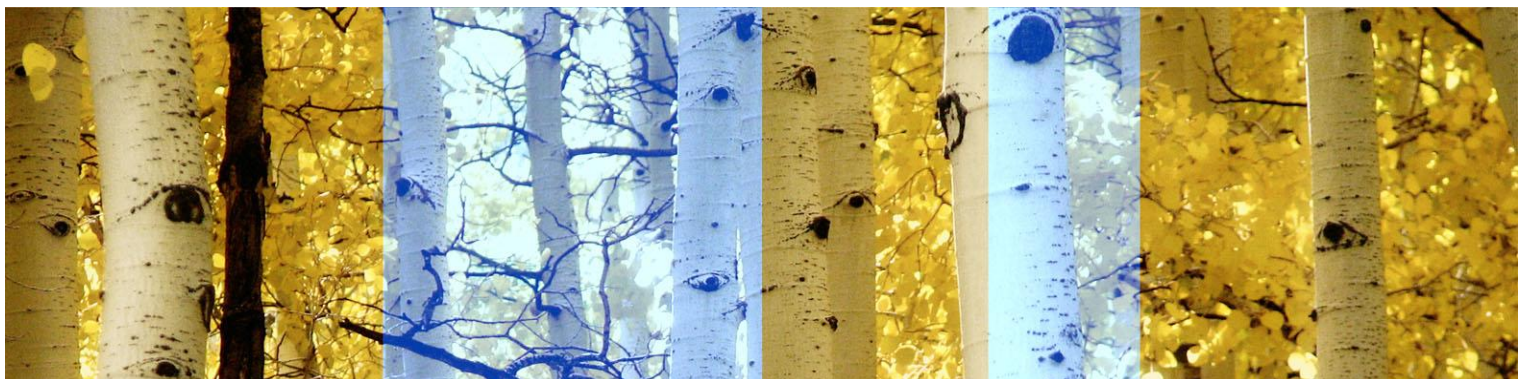
The World Bank

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

*Inception Report*

Helsinki, Finland  
November 13, 2015

7600  
ID 78071





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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 GtCO<sub>2</sub>eq/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 CO<sub>2</sub> annually. In addition, as highlighted by Houghton (2012), "no other processes or procedures alone have the potential for stopping and reversing the accumulation of CO<sub>2</sub> 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	<b>Bali Action Plan</b> 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	<b>Cancun Agreements</b>





		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	<b>Warsaw REDD+ Framework</b> 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'.

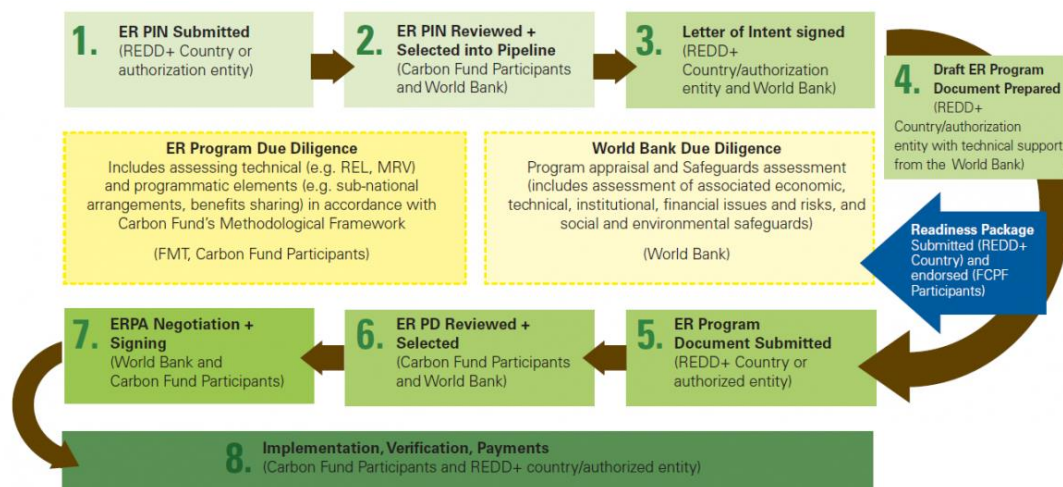
The process of preparing for REDD+ includes multiple activities that include the development of policies, laws, strategies, institutions, maps, analyses, databases and monitoring arrangements. The FCPF offers some support from the Readiness Fund to help REDD+ Country Participants achieve REDD+ readiness, 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,



	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:

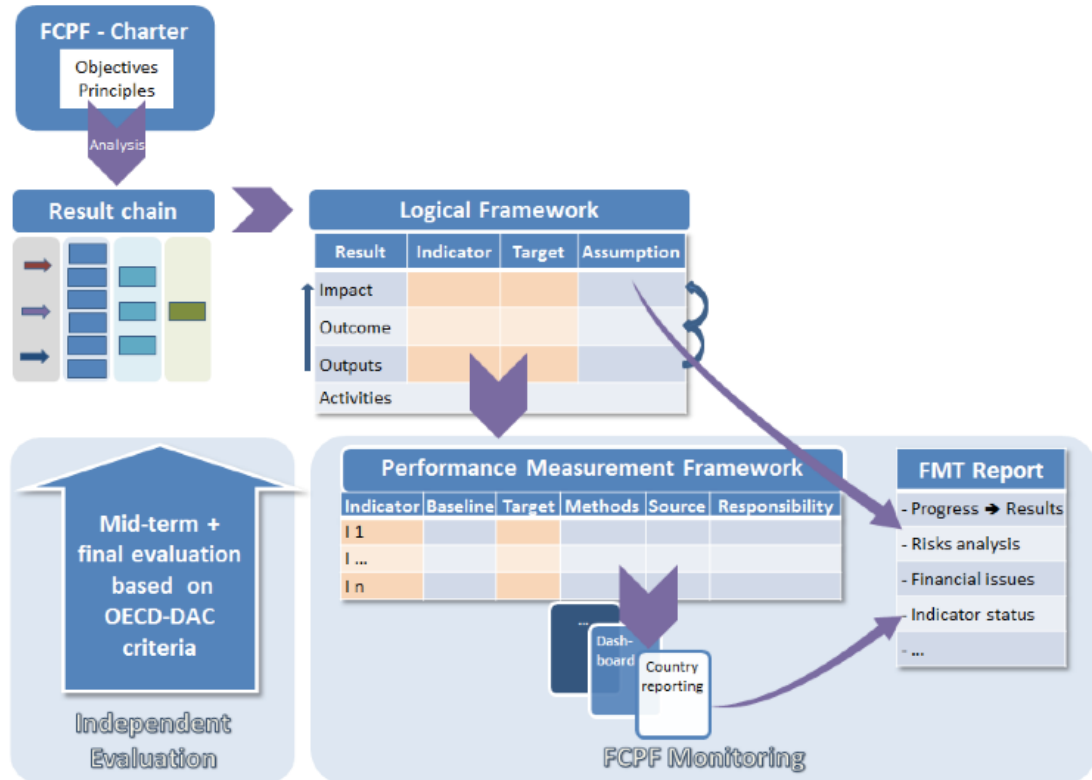
- program delivery at country level, relative to countries' strategic priorities and capacities, their use of analytical instruments developed by the FCPF, and the involvement of their various stakeholders and multi-sectoral actors;
- the role of the FCPF in relation to other REDD+ initiatives at country 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**

<b>Output and indicator</b>	<b>Targets for end Fiscal Year 2015</b>
	<b>Quantitative</b>
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.
	<b>Qualitative/pseudo-quantitative</b>
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><b>1. For what reason did countries decide to join the FCPF in the first place, and to continue the engagement thereafter?</b>  <u>ToR question(s):</u>  <b>2.4(a)</b> How do representatives of participating countries perceive the costs and benefits of participating in the FCPF?  <b>2.4(b)</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"> <li>- 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.</li> <li>- 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.</li> <li>- 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.</li> <li>- 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).</li> <li>- Seek insights on stakeholder perceptions regarding key issues on the REDD+ agenda that must be resolved going forward, how</li> </ul>	<p><b>Previous program-level FCPF evaluations</b> (Baastel, 2011; IEG, 2012; DFID, 2014): review for information relevant to key question and approach.</p> <p><b>Additional sources:</b> 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><b>FCPF documents:</b>  <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><b>On-line survey, interviewees, and group discussions:</b>  <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>



	<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"> <li>- Subjects of particular interest therefore include:</li> <li>- Why some countries and donors joined the FCPF, and others did not.</li> <li>- Why some countries prepared an ER-PIN in order to enter the Carbon Fund pipeline, while others have not yet done so.</li> <li>- Perception of the FCPF as positive, negative or neutral both in itself and relative to other actors in the REDD+ and climate change landscape.</li> <li>- Key agenda items for REDD+ in 2015 and beyond, and whether and how they can be addressed with or without FCPF support.</li> </ul>	<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 (<a href="https://www.forestcarbonpartnership.org/participants-page">https://www.forestcarbonpartnership.org/participants-page</a>).</p> <p><u>Group discussions</u>: in Tier 3 countries, mainly targeting technical advisors and civil society.</p> <p><b>Country visits</b>: 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><b>2. To what extent and in what ways has the FCPF responded to countries' strategic priorities?</b>  <u>ToR question(s):</u>  <b>2.2</b> Is FCPF support aligned to countries' emerging strategic priorities and capacities?  <b>2.5</b> 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?  <b>2.6</b> To what extent can readiness grant financing be further tailored to</p>	<ul style="list-style-type: none"> <li>- Subjects of particular interest include:</li> <li>- Whether and how the FCPF has helped countries to meet their development priorities, and specific ways in which this process might be improved.</li> <li>- 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.</li> <li>- Whether there is a need for specific Gender and Indigenous Peoples' Inclusion Plans as separate documents with defined content within FCPF requirements.</li> <li>- 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</li> </ul>	<p><b>Previous program-level FCPF evaluations</b> (Baastel, 2011; IEG, 2012; DFID, 2014): review for information relevant to key question and approach.</p> <p><b>FCPF documents</b>:</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>



<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><b>On-line survey, interviewees, and group discussions:</b>  <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.  <b>Country visits:</b> 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><b>3. To what extent and in what ways has the FCPF supported countries in preparing to undertake REDD+?</b>  <u>ToR question(s):</u>  <b>1.1</b> Has the FCPF added value to the REDD+ processes undertaken by REDD Participant Countries, and capacity development at the country level?  <b>1.2</b> How effectively are readiness activities being implemented at country level?</p>	<ul style="list-style-type: none"> <li>- Establish the extent of FCPF support for countries in preparing to undertake REDD+.</li> <li>- 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.</li> <li>- 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.</li> </ul>	<p><b>Previous program-level FCPF evaluations</b> (Baastel, 2011; IEG, 2012; DFID, 2014): review for information relevant to key question and approach.  <b>FCPF documents:</b>  <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 &amp; 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><b>1.3</b> Is overall readiness implementation aligned to the guidance provided by the Readiness Assessment Framework?</p> <p><b>1.9</b> 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><b>1.11</b> 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><b>2.3</b> Are the current FCPF objectives (and targets envisaged in the M&amp;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"> <li>- Subjects of particular interest include:</li> <li>- 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).</li> <li>- The specific lessons learned from the readiness process and whether and how these were applied to the ERP.</li> <li>- 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).</li> </ul>	<p>sustainability, connectedness, coherence, replicability and quality of design (evidence &amp; 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><b>On-line survey, interviewees, and group discussions:</b></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><b>Country visits</b>: ground-truthing and further exploration of country-specific understandings derived from the R-PPs, National REDD+ Strategies, ER-PINs and elsewhere.</p>
<p><b>4. To what extent and in what ways have the various instruments developed by the FCPF been helpful to countries in</b></p>	<ul style="list-style-type: none"> <li>- 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</li> </ul>	<p><b>Previous program-level FCPF evaluations</b> (Baastel, 2011; IEG, 2012; DFID, 2014): review for information relevant to key question and approach.</p> <p><b>FCPF documents:</b></p>



Key questions	Approaches	Information sources
<p><b>preparing to undertake REDD+?</b>  <u>ToR question(s):</u>  <b>1.7</b> 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?  <b>4.4</b> To what extent have REDD Participant Countries made use of FCPF instruments (e.g. RPPs, M&amp;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"> <li>- 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.</li> <li>- Also considered will be resources and guidance offered by the FCPF, such as the FCPF REDD+ decision support toolbox (<a href="http://www.forestcarbonpartnership.org/technical-decision-support-and-training-material">www.forestcarbonpartnership.org/technical-decision-support-and-training-material</a>).</li> <li>- Subjects of particular interest include:</li> <li>- 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 &amp; Evaluation (M&amp;E) systems; and progress reports.</li> <li>- The implications of using the various FCPF-designed instruments for issues affecting gender and indigenous peoples' issues.</li> </ul>	<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><b>On-line survey, interviewees, and group discussions:</b>  <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.  <b>Country visits</b>: ground-truthing and further exploration of country-specific understandings derived from the R-PPs, National REDD+ Strategies, ER-PINs and elsewhere.</p>
<p><b>5. To what extent and in what ways has the FCPF supported countries' efforts to achieve high</b></p>	<ul style="list-style-type: none"> <li>- Establish the extent to which all key stakeholder groups have been consulted in the readiness and ERP design processes, and have</li> </ul>	<p><b>Previous program-level FCPF evaluations</b> (Baastel, 2011; IEG, 2012; DFID, 2014): review for information relevant to key question and approach.</p>





Key questions	Approaches	Information sources
<p><b>levels of stakeholder engagement?</b>  <u>ToR question(s):</u>  <b>1.8</b> Has the FCPF, through the IPCBP, SESA and the Common Approach, been able to foster stakeholder engagement in REDD+ at the national level?  <b>4.2</b> 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"> <li>- 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.</li> <li>- 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).</li> <li>- Subjects of particular interest include:</li> <li>- Whether and how the FCPF has promoted inclusion and responsiveness, or their opposites (i.e. exclusion and unresponsiveness).</li> <li>- 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.</li> <li>- Whether there is a need for specific Gender and Indigenous Peoples' Inclusion Plans as separate documents with defined content within FCPF requirements.</li> </ul>	<p><b>FCPF documents:</b>  <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.  <b>On-line survey, interviewees, and group discussions:</b>  <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.  <b>Country visits</b>: 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><b>6. To what extent and in what ways has the FCPF supported</b></p>	<ul style="list-style-type: none"> <li>- Subjects of particular interest include:</li> <li>- The extent to which inclusive forums have been established and used by multiple sectoral</li> </ul>	<p><b>Previous program-level FCPF evaluations</b> (Baastel, 2011; IEG, 2012; DFID, 2014): review for information relevant to key</p>



Key questions	Approaches	Information sources
<p><b>efforts to involve multi-sectoral actors in countries' institutional arrangements and national dialogues?</b></p> <p><u>ToR question(s):</u></p> <p><b>1.4</b> 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><b>1.6</b> 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"> <li>- 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.</li> </ul>	<p>question and approach.</p> <p><b>FCPF documents:</b></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><b>On-line survey, interviewees, and group discussions:</b></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><b>Country visits</b>: 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><b>7. To what extent and in what ways has the FCPF promoted the sharing of knowledge among stakeholders at national, regional and global level?</b></p> <p><u>ToR question(s):</u></p> <p><b>1.10</b> 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"> <li>- 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.</li> <li>- 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.</li> <li>- Subjects of particular interest include:</li> <li>- Strengths and weaknesses in internal knowledge management (e.g. the user-friendly organization and accessibility of meaningful and useful information).</li> <li>- Strengths and weaknesses in passive knowledge sharing (e.g. the ease-of-use and helpfulness of formats and guidelines).</li> <li>- Strengths and weaknesses in active knowledge sharing (e.g. practicality and inclusiveness of means to ensure knowledge exchange among stakeholders).</li> <li>- 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.</li> </ul>	<p><b>Previous program-level FCPF evaluations</b> (Baastel, 2011; IEG, 2012; DFID, 2014): review for information relevant to key question and approach.</p> <p><b>FCPF documents:</b></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><b>On-line survey, interviewees, and group discussions:</b></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><b>Country visits</b>: 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><b>8. To what extent and in what ways has the FCPF responded to the recommendations of earlier evaluations?</b></p> <p><u>ToR question(s):</u></p> <p><b>1.12</b> To what extent has the FCPF addressed and implemented recommendations from the First Evaluation, including on program monitoring and reporting?</p> <p><b>2.1</b> How, why and to what extent has the FCPF evolved since the First Evaluation?</p> <p><b>3.2</b> 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"> <li>- 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).</li> <li>- 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 &amp; 3), fostering coordination and harmonization of funding sources (see Key Questions 1 &amp; 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.</li> <li>- 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.</li> <li>- Subjects of particular interest therefore include:</li> <li>- Awareness of the existence of earlier evaluations.</li> <li>- Awareness of specific conclusions and recommendations of earlier evaluations.</li> <li>- Awareness of any procedural, organizational, performance-related or other change that might be connected to an earlier evaluation.</li> </ul>	<p><b>Previous program-level FCPF evaluations</b> (Baastel, 2011; IEG, 2012; DFID, 2014): identify specific recommendations and the indicators of action for responding to them.</p> <p><b>FCPF documents:</b></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><b>On-line survey, interviewees, and group discussions:</b></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><b>Country visits</b>: 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><b>9. To what extent and in what ways has the FCPF contributed to broad and long-term change beyond its short-term effects?</b>  <u>ToR question(s):</u>  <b>4.1</b> 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"> <li>- 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).</li> <li>- 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.</li> <li>- 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.</li> <li>- Subjects of particular interest include:</li> <li>- 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.</li> <li>- 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.</li> <li>- Whether and how the FCPF has promoted</li> </ul>	<p><b>Previous program-level FCPF evaluations</b> (Baastel, 2011; IEG, 2012; DFID, 2014): review for information relevant to key question and approach.</p> <p><b>FCPF documents:</b>  <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><b>On-line survey, interviewees, and group discussions:</b>  <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.  <b>Country visits</b>: 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><b>10. How efficiently and effectively have the FCPF superstructure groups performed the roles expected of them?</b>  <u>ToR question(s):</u>  <b>1.5</b> To what extent has the FCPF helped countries leverage additional funding sources, and are the various funding sources being used synergistically?  <b>3.1</b> How well has the FCPF made disbursements to REDD Participant Countries from (a) the Readiness Fund, and (b) the Carbon Fund?  <b>4.3</b> 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?  <b>3.3</b> 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"> <li>- 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.</li> <li>- 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.</li> <li>- 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.</li> <li>- Subjects of particular interest include:</li> <li>- 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.</li> <li>- The extent to which disbursements from the readiness and carbon funds have been adequate and timely.</li> </ul>	<p><b>Previous program-level FCPF evaluations</b> (Baastel, 2011; IEG, 2012; DFID, 2014): review for information relevant to key question and approach.</p> <p><b>FCPF documents:</b>  <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><b>On-line survey, interviewees, and group discussions:</b>  <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>



Key questions	Approaches	Information sources
<p>and deliverables in a timely manner? The assessments should take into account the capacity and resources of the FMT.</p>	<ul style="list-style-type: none"> <li>- 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.</li> </ul>	<p>current Participants Committee Members and Observers (<a href="https://www.forestcarbonpartnership.org/participants-page">https://www.forestcarbonpartnership.org/participants-page</a>).</p> <p><u>Group discussions</u>: in Tier 3 countries, mainly targeting technical advisors and civil society.</p> <p><b>Country visits</b>: ground-truthing and further exploration of country-specific understandings derived from the R-PPs, National REDD+ Strategies, ER-PINs and elsewhere.</p>



### 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
<b>Tier 1:</b> all REDD+ Country Participants.	<b>For on-line survey (47):</b> 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.
<b>Tier 2:</b> 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.	<b>For detailed remote study (17):</b> Belize, Cambodia, Cameroon, Chile, Congo Republic, Costa Rica, DRC, Ethiopia, Gabon, Guatemala, Indonesia, Liberia, Nicaragua, Perú, PNG, Uganda, and Vietnam. <b>Notes:</b> México, Ghana, Nepal, Peru, Madagascar and Lao PDR are excluded from Tier 2 since they are in Tier 3.
<b>Tier 3:</b> countries that are likely to be most informative with regard to evaluation questions, and other selection criteria as described.	<b>For country visits (6):</b> 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 countries<sup>1</sup>. 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

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<sup>1</sup> 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 ToR<sup>2</sup>. 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.

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<sup>2</sup> 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><b>Decision to join the FCPF.</b> 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><b>Continued engagement.</b> 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><b>Perception by countries of FCPF understanding their strategic priorities.</b> 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><b>Perception by countries of the utility of FCPF in meeting their priorities.</b> 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><b>Relative disadvantage of stakeholders.</b> 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><b>Perception by countries of FCPF support for their REDD+ readiness.</b> 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><b>Perception by countries of the utility of FCPF formats, templates and frameworks in preparing to undertake REDD+.</b></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><b>Perception by disadvantaged groups of the utility of FCPF formats, templates and frameworks in preparing to undertake REDD+.</b> 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><b>Perception by all key stakeholder groups of the quality of their participation in REDD+ readiness and ERP design processes.</b> 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><b>The extent to which inclusive forums have been established and used by multiple sectoral actors.</b> 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><b>Perception by countries of their access to useful knowledge-sharing arrangements organised by FCPF.</b> 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><b>Perception by disadvantaged groups of their access to useful knowledge-sharing arrangements organised by FCPF.</b> 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><b>Perception by countries of responses that can be traced to earlier recommendations.</b> 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>



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<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><b>Evidence that changes consistent with impact and sustainability have occurred in support of REDD+ measures.</b> 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><b>Perception by countries that the FMT and delivery partners have met performance expectations.</b> 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**

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

	<b>On-line survey</b> of key informants (National REDD+ Focal Point and others), plus review of country data sheets.	<b>Detailed study</b> through analysis of R-PPs and ER-PINs and remote interviews with key informants.	<b>Country visits</b> of 5-10 days each to allow face-to-face interviews, group discussions and direct observations.
<b>Tier 1:</b> all REDD+ Country Participants	All 47 countries.		
<b>Tier 2:</b> 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: <b>APAC:</b> 4 countries. <b>LAC:</b> 6 countries. <b>Africa:</b> 7 countries.	
<b>Tier 3:</b> 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.
<b>Rationale.</b> 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.

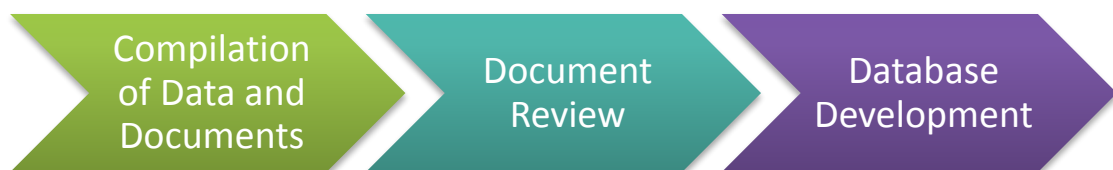
### 4.2 The Desk Review and Database Development Process

#### 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 Observers<sup>3</sup>. 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 FCPF<sup>4</sup>.

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

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<sup>3</sup> See: [www.forestcarbonpartnership.org/participants-page](http://www.forestcarbonpartnership.org/participants-page)

<sup>4</sup> 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 UNEP 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)**

<b>Country</b>	
<b>Name of ERP</b>	
<b>Responsibilities</b>	<b>Managing entity:</b> <b>Government partners:</b> <b>Civil society partners:</b> <b>Private-sector partners:</b> <b>Donors and technical partners:</b>
<b>Sources</b>	
<b>Context</b>	A description of the country, focal area(s) of the ERP, and forest sector processes.
<b>Summary</b>	A summary of what the designers of the ERP are trying to achieve, and by what means.
<b>Issues</b>	A critical analysis of the ER-PIN document, proposals, strategic assumptions and logic.
<b>Reviewer</b>	
<b>Criterion/score</b>	<b>Reasons to anticipate performance considering each criterion</b>
<b>Relevance Score:</b>	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.
<b>Efficiency Score:</b>	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.
<b>Effectiveness Score:</b>	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.
<b>Impact Score:</b>	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.
<b>Sustainability Score:</b>	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.
<b>Connectedness Score:</b>	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.
<b>Coherence Score:</b>	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).
<b>Replicability Score:</b>	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.
	<b>Quality of project design</b>
<b>Evidence &amp; reasoning Score:</b>	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.
<b>Clarity of explanation Score:</b>	A high score is given if a design conveys a complete sense of how and why the project should be implemented.
<b>Participation in design Score:</b>	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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## 8. BIBLIOGRAPHY

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Annex 1

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## **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 ...	<b>Negative?</b>	<b>Neutral?</b>	<b>Positive?</b>
Please explain your answer.			

2. Expectations of the FCPF.			
Have your expectations of the FCPF been ...	<b>Unmet?</b>	<b>Partly met?</b>	<b>Met?</b>
Please explain your answer.			

3. Benefits from the FCPF.			
Are benefits from the FCPF best described as ...	<b>None?</b>	<b>Some?</b>	<b>Many?</b>
Please explain your answer.			

4. Problems from the FCPF.			
Are problems from the FCPF best described as ...	<b>None?</b>	<b>Some?</b>	<b>Many?</b>
Please explain your answer.			



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**5. Cooperation in sharing knowledge and solving problems.**

Has following FCPF guidance tended to ...	<b>Make cooperation harder?</b>	<b>Make cooperation easier?</b>

Please explain your answer.

**6. Changes in the FCPF.**

Can the FCPF since 2012 best be described as ...	<b>Not having changed?</b>	<b>Having changed a little?</b>	<b>having changed a lot?</b>

Are changes in the FCPF best described as ...	<b>Negative?</b>	<b>Neutral?</b>	<b>Positive?</b>

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

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## **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		
<b>Other details on the background and experience of the interviewee</b>		

### 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

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## **Targets for Potential Interview**



**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

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## **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

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## 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](http://www.climateinvestmentfunds.org/cif/Forest_Investment_Program)); **5** (: [http://www.un-redd.org/Partner\\_Countries/tabid/102663/Default.aspx](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/group/imm.pdf>); **7** (: [http://www.un.org/en/development/desa/policy/cdp/ldc/ldc\\_list.pdf](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

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## **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.

<b>(Example) Evaluation Question 3. To what extent and in what ways has the FCPF supported countries in preparing to undertake REDD+?</b>	
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

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## **Format for Field Visit Reporting**



**Annex 7 Format for Field Visit Reporting**

<b>Country</b>	
<b>Personnel and itinerary</b>	
<b>Highlights of environmental, institutional, economic and political context</b>	
<b>Key evaluation question</b>	<b>Summary of stakeholder observations</b>
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?	
<b>Notes on divergences and convergences of stakeholder opinion</b>	
<b>Conclusions</b>	





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## Annex 6

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### **Summary of the Recommendations, Responses and the IEG's Assessment of Progress**

## Annex 6 Summary of Recommendations from the First Evaluation and Review by the Independent Evaluation Group

Recommendations (Baastel, 2011)	Management response (IEG, 2012)	Assessment (IEG, 2012)
1. Decentralize FMT staff; provide more in- country support.	<b>Partially Agree.</b> Do not decentralize FMT but transfer REDD+ capacity to Bank regions and assess needs for in-country assistance.	<b>Partially achieved</b> via coordination with regional Bank staff where there are forest operations. More support is needed where there is no forest sector lending portfolio.
2. Provide dedicated funds to national CSOs.	<b>No response.</b>	<b>Achieved</b> via US\$2 million to support CSO participation in FCPF.
3. Strengthen participation of key ministries in R-PP planning processes.	<b>No response.</b>	<b>Partially achieved</b> , with PC members being mostly responsible for achieving this.
4. Strengthen efforts to learn from previous experiences, lessons, successes, and failures in participating countries.	<b>Merits further discussion.</b>	<b>Partially achieved</b> via South-South knowledge exchange workshops, but PC meetings could provide more space for learning.
5. Focus capacity building around the early building blocks of the readiness process, and around piloting in selected areas.	<b>No response.</b>	<b>Partially achieved</b> via a change of focus to ERP design, but this may reduce attention to building overall readiness capacity.
6. Actively support learning and reflection around the Strategic Environmental and Social Assessment (SESA) process.	<b>Agree.</b> Countries need active support for SESA implementation.	<b>Not achieved.</b> The SESA/Environmental and Social Management Framework (ESMF) has not yet been fully implemented in any one participating country.
7. Scale up technical and financial support to regional measures designed to foster South-South exchange and learning.	<b>Agree.</b> The World Bank Group has several avenues including dedicated trust funds through which S-S exchanges can and should be promoted.	<b>Partially achieved.</b>
8. Move away from 'flat rate' commitments to Preparation and Readiness Grants to a system that provides differentially sized grants based on agreed, transparent, and universal criteria. Provide increased flexibility with respect to specific budget allocations under the Readiness grant.	<b>Agree.</b> Resource requirements for readiness as presented in the R-PPs far exceed the support currently provided by FCPF, but increased support should continue to cater to readiness activities covering analytical and capacity building activities, not pilot activities.	<b>Achieved</b> , via 'top-ups' of US\$5 million to select participating REDD countries for R-PP preparation.

9. Develop clear plans regarding the expansion of the program to new countries seeking support and criteria for their inclusion.	<b>No response.</b>	<b>Not achieved.</b> This decision will be taken at PC 14.
10. While pursuing efforts to streamline the process of approval and disbursement of funds, continue to foster greater coordination with bilateral and multilateral partners at the country level.	<b>Ongoing, Partially Agree.</b> Readiness preparation grant agreements to FCPF countries should be speeded up, but activities to be supported by the FCPF need to be identified.	<b>Not achieved.</b> The R-Package is currently being discussed, with indications from donors that a meaningful and verified assessment of countries' Readiness status could prompt future investment.
11. Continue efforts to identify delivery channels outside the World Bank.	<b>Agree.</b>	<b>Achieved.</b> IDB and UNDP have entered and a Common Approach has been developed.
12. Provide increased flexibility with respect to specific budget allocations under the Readiness grant given the rapidly evolving REDD+ financing landscape in countries where the R-PP has now long been approved.	<b>Not addressed.</b>	<b>Not addressed.</b>
13. Streamline the R-PP review process to ensure that TAP review comments are timely and that adequate time is left to country teams to address TAP comments and own the final product as well as for PC to provide comments on the latest version.	<b>No response.</b>	<b>Achieved.</b> The R-PP review process is streamlined. However, attention will need to be paid to maintaining the spirit of the TAP comments throughout the progress-reporting process. TAP lesson learned presentations are of high quality and should be encouraged as a standard feature of the PC meetings.
14. Ensure translation at key meetings and that materials developed by FCPF are available in all main languages to facilitate participation of all PC members.	<b>No response.</b>	<b>Partially achieved.</b>
15. Pursue with energy the development and operationalization of a comprehensive M&E framework for the readiness process as a way to ensure adequate feedback loops in decision-making and improvement of the Facility effectiveness.	<b>No response.</b>	<b>Partially achieved.</b> A new M&E framework has been launched by the FMT prior to the PC 11 meetings, however the framework requires further strengthening.
16. Continue to strengthen coordination with UN-REDD, take advantage of mutual strengths and limitations in delivery mechanisms.	<b>Agree.</b>	<b>Achieved.</b> The R-PP template has been standardized and formalized between the agencies.



<p>17. Strengthen move towards greater alignment and harmonization of FCPF funds with other multilateral and bilateral sources.</p>	<p><b>Agree.</b> Management proposes to strengthen coordination efforts among the World Bank, IDA, FIP, GEF and other bilateral and multilateral partners to avoid duplication and to ensure sustainability and impact.</p>	<p><b>Not achieved.</b> Very little progress is being made in the area of alignment.</p>
<p>18. Develop and implement a communication and outreach strategy to disseminate and package FCPF outcomes more widely at country level, within the World Bank and to external audiences.</p>	<p><b>Agree, ongoing.</b> A communications plan will be developed by the FMT.</p>	<p><b>Not achieved.</b></p>
<p>19. Consider, in close coordination with other REDD-related funding mechanisms, measures to strengthen participation of responsible private- sector players in REDD+ processes.</p>	<p><b>Agree.</b></p>	<p><b>Not achieved.</b> Two private sector Carbon Fund participants have contributed the minimum joining fee. There is no evidence that the FCPF has strengthened private sector participation.</p>
<p>20. Beyond R-PP development, with a view to operationalizing the Carbon Fund, begin consideration and finalization of minimum readiness conditions ('triggers') required to access the Fund.</p>	<p><b>No response.</b></p>	<p><b>Partially achieved.</b> The R-Package is under discussion.</p>
<p>21. Engage with countries on options for governance and institutional set up to ensure transparency and agreed approaches to benefit sharing in this operationalization.</p>	<p><b>No response.</b></p>	<p><b>Not achieved.</b> This may be included as part of the R-Package criteria.</p>
<p>22. Ensure during the operationalization phase of the Carbon Fund that it is building on the lessons of the FCPF preparation phase.</p>	<p><b>No response.</b></p>	<p><b>Not achieved.</b> Under development.</p>



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Annex 7

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## Reference Data for REDD+ Country Participants

## Annex 7 Reference data for REDD+ Country Participants

Reference data for REDD+ Country Participants												
Member country	1	2	3	4	5	6	7	8	9	10	11	12
	R-PP	Prep. grant	FIP pilot	ER-PIN	UN-REDD partner	Mega-diversity	LDC	Delivery Partner	Deforestation rate (2005-10 annual percent change & trend)	Travel warning	SIDS &/or AOSIS	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	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
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](http://www.climateinvestmentfunds.org/cif/Forest_Investment_Program)); **5** ([http://www.un-redd.org/Partner\\_Countries/tabid/102663/Default.aspx](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/grouplmmc.pdf>); **7** ([http://www.un.org/en/development/desa/policy/cdp/ldc/ldc\\_list.pdf](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 8

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## **Portfolio Analysis**

## Annex 8 Portfolio Analysis

In order to assess the relevance of the FCPF portfolio against its objectives, this section reviews the performance of the FCPF against its Performance Measurement Framework (PMF). The linkages between the FCPF M&E Framework, its PMF, and the objectives of the FCPF were described in Chapter 1 of this report.

The PMF presented clear guidance on who collects data on what, against which targets, how, from where and at which frequency to inform both the monitoring and evaluation functions at the Facility level. To avoid redundancy of the assessment, or conclusions or recommendation in the evaluation, the portfolio analysis presents the findings within the temporal scope for the evaluation and, in addition, the results for the end of Fiscal Year 2015 (30<sup>th</sup> June 2015).

Output and indicator	Targets for end Fiscal Year 2015	Status for end of Fiscal Year 2015	Status for end of Fiscal Year 2015
1.2a Number of R-PPs endorsed by PC.	30+ R-PPs endorsed.	45	45

R-PPs are submitted to the FMT for review and approval by the PC. A decision is taken during the PC whether to approve and endorse the R-PP, and the PC makes the decision on grant allocation for the implementation of the R-PP. Prior to the end of FY11, at the beginning of this evaluation's assessment period, the PC had only endorsed 9 R-PPs. As of December 2014, a total of 45 R-PPs had been endorsed and exceeded the target of more than 30+ endorsed R-PPs. Of the 47 FCPF REDD+ Country Participants, Bolivia and Gabon were inactive and have not submitted an R-PP. Between 2011 and 2014, the time taken for countries selected into the FCPF, from R-PP approval to grant signature was 13.4 months. Furthermore, the TAP and PC commented that the quality of the R-PPs submitted had improved, particularly during FY14, confirming the mutually reinforcing learning process of the FCPF (FCPF 2014).

Output and indicator	Targets for end Fiscal Year 2015	Status December 2014	Status for end of Fiscal Year 2015
1.2b Number of Readiness Preparation Grant agreements signed.	30+ grant agreements signed.	22	35

As of June 30<sup>th</sup> 2014, a total of 22 REDD Country Participants had Readiness Preparation grant agreements signed. This was up from 3 at the end of FY11, and more than double from the previous year. The growth was partly attributable to the approval of the IDB and UNDP as Delivery Partners under the Readiness Fund with the operationalization of the Common Approach. Throughout FY15, 13 additional Readiness Preparation grants agreements were signed by Bhutan, Burkina Faso, Colombia, Côte d'Ivoire, Fiji, Lao PDR, Madagascar, Nigeria, Pakistan, Papua New Guinea (PNG), Sudan, Togo, and Vanuatu. As a result, 35 countries are now implementing REDD Readiness activities. This is above the PMF target of 30+ grants signed by 2015. During 2011 and 2012, the majority of Readiness Preparation grant agreements signed were from Africa and Asia. Costa Rica was the first country from the Latin American and Caribbean (LAC) region to sign a preparation grant in 2012. The majority of the LAC countries in the portfolio signed their preparation grant agreements in 2014, indicating regional differences in the efficiency of signing grant agreements.

<b>Output and indicator</b>	<b>Targets for end Fiscal Year 2015</b>	<b>Status December 2014</b>	<b>Status for end of Fiscal Year 2015</b>
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.	5	9

The 16<sup>th</sup> PC meeting, in December 2013, saw the first four countries present their mid-term progress reports (MTRs). Those countries were Costa Rica, Ghana, Indonesia and Nepal (FCPF 2014a). Ghana presented, in addition to its mid-term progress report, an independent evaluation. During 2014, the number increased and by June 2015, Mexico, Vietnam and the Republic of Congo had also presented their progress reports on national REDD+ readiness<sup>1</sup>. This indicates a good degree of geographical representation in the portfolio for progress on this milestone. However, the target for this output and indicator of 20 MTRs presented by June 2015 was not met. Only nine countries had presented their MTRs by June 2015. This is because most of the FCPF countries were in the early stages of implementing their R-Packages between July 2011 and December 2014.

<b>Output and indicator</b>	<b>Targets for end Fiscal Year 2015</b>	<b>Status December 2014</b>	<b>Status for end of Fiscal Year 2015</b>
2.2a Number of early ideas or ER-Programs presented by countries to the Carbon Fund.	10 ER-PINs presented.	11	20

The Carbon Fund meeting in October 2014 saw 11 countries had ER-PINs in the Carbon Fund pipeline, were or were under consideration. As of FY14, 15 countries had presented an early idea or a full-fledged ER-PIN with the aim of being selected into the Carbon Fund pipeline (FCPF 2014a). The increase in submissions was attributable to the approval of the Methodological Framework at the 8<sup>th</sup> Carbon Fund meeting in December 2013. Of the presentations in October 2014, eight ER-PINs were selected into the Carbon Fund pipeline from Chile, Costa Rica Democratic Republic of the Congo (DRC), Mexico, Ghana, Nepal, Republic of Congo, and Vietnam, favoring countries with the World Bank as their Delivery Partner. As of FY15, 24 countries had presented early ideas with the aim of being selected into the Carbon Fund pipeline, of which Guatemala and Peru were selected (both IDB Delivery Partner countries) (FCPF 2015).

Indonesia was conditionally selected into the Carbon Fund pipeline. This was because Indonesia's concept had to be revisited. In Indonesia's ER-PIN, they targeted seven districts for REDD+ results-based payments (Indonesia 2014). However, the Carbon Fund decided that 1-2 provinces would be appropriate, taking the scale of Carbon Fund activities from the district level to the provincial level. As a consequence, conditions favoring the conservation and management of large continuous areas of forest were applied to Indonesia's ascension into the Carbon Fund pipeline. Indonesia made a case for its district level approach stating that the authority responsible for licensing and monitoring was at the district level and not at the provincial level. During this time, Indonesia went through extensive institutional reform and its timber licensing system changed to the provincial level. Nevertheless, palm oil and mining licenses stayed at the district level. Consequently, Indonesia's ER-PIN remains in the Carbon Fund pipeline conditionally – though no changes to the ER-PIN have amounted.

There has been a tremendous growth in interest towards the Carbon Fund from the Country Participants, with demand to join the Carbon Fund pipeline exceeding expectations. The

geographical distribution in the Carbon Fund portfolio was quite representative of the FCPF portfolio. The process initially favored countries with the World Bank as a Delivery Partner, though this has started to change with Peru and Guatemala (with the IDB as their Delivery Partner) in the pipeline.

Output and indicator	Targets for end Fiscal Year 2015	Status December 2014	Status for end of Fiscal Year 2015
2.2b Number of REDD countries that have signed an ERPA.	At least 5 ERPAs signed.	0	0

To date no ERPAs have been signed. Costa Rica was the first country to present a Letter of Intent to the Carbon Fund, for which the maximum contract value amounted to USD 63 million, and a total maximum contract volume of up to 12 million Emission Reductions (FCPF 2013). In 2014, the DRC was the second country to enter into a Letter of Intent (LOI) with the Carbon Fund. By FY15, six more countries signed LOIs taking the total to eight LOIs. Some outstanding issues remained for three countries: Guatemala's signature was awaiting election outcomes, Indonesia's signature was pending submission of a revised ER-PIN, and Peru's signature was subject to institutional discussions (FCPF 2015).

Output and indicator	Targets for end Fiscal Year 2015	Status December 2014	Status for end of Fiscal Year 2015
2.4b Amount of ER purchases following ERPA signature.	10 M USD (US\$10 million) disbursed.	0	0

The Annual Reports for FY14 and FY15 neglect to report on Output Indicator 2.4b. Both reports deem indicators under 2.4 not applicable, as no ERPA has yet been signed (FCPF 2014; FCPF 2015).

Output and indicator	Targets for end Fiscal Year 2015	Status for end of Fiscal Year 2015:	Status for end of Fiscal Year 2015:
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.	<b>No. of CSOs/IPs in training:</b> Target met and exceeded: 30 countries	<b>Gender Targets: Not met/further disaggregation of data required.</b> 8-10 countries have reported meeting this indicator: Cambodia, DRC, Guatemala, Guyana, Madagascar, Nicaragua, Uganda and Vietnam. Possibly Republic of Congo and Costa Rica reported percentage values.

Based on a review of Annual Progress Reports for FY15, 30 Country Participants reported that CSO and Indigenous Peoples representatives had participated and benefitted from FCPF training. Of this, eight countries reported having met the gender targets of at least 20 men and 20 women and/or 20



youth representatives participating in country level training. Costa Rica and the Republic of Congo reported the gender disaggregation in percentages. In Costa Rica 75% of those trained were men, and 25% were women. In Republic of Congo, 70% of those trained were men and 30% were women. Several Country Participants reported that a large number of individuals had been trained: Cameroon (376), Ivory Coast (83), Ethiopia (1082), Mexico (201) and Tanzania (180). However, they did not disaggregate the totals and report on the gender. If the gender quotas for those five countries were met, then the overall target specified in the M&E Framework would have been met. Four REDD countries did not meet the gender targets and 29 countries did not report on the indicator.

<b>Output and indicator</b>	<b>Targets for end Fiscal Year 2015</b>	<b>Status December 2014</b>	<b>Status for end of Fiscal Year 2015</b>
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.	1	2
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.	1	2
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 15+ by 2018 20+ by 2020	1	2

Regarding the progress achieved for each of the indicators, National REDD+ Strategies were finalized with support from the FCPF in Costa Rica, DRC, and Ghana during the evaluation period. In addition, two R-Packages were submitted (Costa Rica and DRC) after December 2014 and after

the evaluation period. This was an improvement over FY11, when no strategies or R-packages had been submitted yet. As noted previously, no ER Program documents had been completed or ERPAs signed to date. Therefore, the evaluation focused on investigating whether the available National Strategies and the two R-Packages integrated indicators on non-carbon benefits for livelihoods and biodiversity.

In the case of DRC, the National Framework Strategy for REDD+, the ESMF, and the country's MRV were checked for biodiversity conservation and livelihood development indicators (DRC 2014a; DRC 2014b).

The DRC established its own national framework to guarantee the integration of social and environmental considerations into REDD+ implementation. The National Framework Strategy for REDD+ includes a comprehensive set of standards and indicators that are compatible with Cancun Agreements and other international standards such as UN-REDD, WB Safeguards, CCBA, and Care International. The current version of the National Framework Strategy for REDD+ defines in total seven principles, 25 criteria and 43 indicators (DRC 2014c). Similarly, DRC's ESMF includes data and indicators on biodiversity conservation, as well as on social aspects. DRC's MRV system does not include indicators on biodiversity or livelihoods, but outlines five indicators to follow during REDD+ implementation. They mention forest certification (e.g. Forest Stewardship Council) and strengthening and expanding the protected area network.

The FCPF Annual Report FY14 confirms that DRC envisages to manage, monitor and report on the environmental and social standards included in the National Framework Strategy through the country's Safeguards Information System (SIS).

In Costa Rica, the National REDD+ Strategy did not elaborate on specific indicators (FONAFIFO 2015a). However, according to the FCPF (2014a) Annual Report Costa Rica was working towards a comprehensive system to monitor co-benefits. That process included the revision of 35 indicators to address the safeguards in the Cancun Agreements, and to be included in the SIS. The ESMF discussed the environmental and social risks for each relevant policy, action and task outlined in the national REDD+ strategy and how they should be managed (FONAFIFO 2015b). The document did not include any specific indicators. FONAFIFO (2015b) proposed that resources should be allocated to define indicators to monitor the positive and negative impacts. The document highlighted that, for this purpose, availability of staff specialized in safeguards would be important.

Costa Rica's MRV system is presented as a part of its R-Package, and is designed to meet the requirements of national and international reporting. For example, at a national level the system has to monitor progress on compliance with the Forestry Law and the National Forestry Development Plan currently in force. Furthermore, the system has to provide information on the country's progress in complying with the UN Conventions on Biodiversity and Climate Change in relation to the forestry sector, and on reporting requirements for the Regional Strategy Programme for Managing Forest Ecosystems, among others. Costa Rica's SIS manages information with indicators on rural subsistence and applies indicators applicable to safeguards from the World Bank, the Cancun Safeguards and those of the FCPF (i.e. ESMF), and is therefore in conformance with the requirements within the M&E Framework.

The FCPF (2014a) Annual Report noted the National REDD+ Strategy of Ghana (launched in January 2015) was an example for a national REDD+ strategy which includes biodiversity conservation as one of its major strategic objectives. However, the strategy itself did not yet include specific indicators on non-carbon benefits. The plan presented in the national REDD+ strategy is to use the Climate Community and Biodiversity (CCB) standards for monitoring biodiversity impact in Ghana's future MRV system.

The technical support has seen progress in terms of achieving outputs against indicators in the M&E framework. Indicators 1.3.b. and 1.3.c. measure the percentage of countries achieving planned milestones. According to the Annual Report FY14, 17 of the 22 countries with signed grant agreements were reporting progress at the subcomponent level in the new reporting format or had submitted detailed MTRs in lieu of annual progress reporting. Six countries achieved planned milestones (Costa Rica, DRC, Ethiopia, Ghana, Indonesia, and Liberia). Five countries had mixed

progress against planned milestones (Madagascar, Mexico, Mozambique, Nepal, and Vietnam). Nine countries were in the very early stages of R-PP implementation (first year or less) and the progress at the subcomponent level was too early for assessment. Other countries used the old reporting format, which does not differentiate progress at the subcomponent level. Two countries did not submit Annual Progress Reports.

**Table 1 Performance Measurement for Effectiveness (1.3.b and 1.3.c)**

<b>Output and Indicator</b>	<b>Targets for end Fiscal Year 2015</b>	<b>Status for Fiscal Year 2014</b>	<b>Status for Fiscal Year 2015</b>
1.3.b. Percentage of countries that are achieving planned milestones according to approved Readiness Preparation grant (>USD 3.4 m)	1.3.b. At least 60% of countries have performance that is satisfactory or above	11/22 or 50% (based on GRM progress reports)	Not available.
1.3.c. Percentage of countries that are overall achieving planned milestones for sub component as per country annual reporting scale Sub Component 1 to 9	1.3.c.i. By 2015 50% of countries implementing R-PPs have performance that is 'further development required' in 50% of sub components per R-Package Assessment Framework	Too early to assess at portfolio level	66% of countries have performance that is satisfactory or above

With respect to indicator 1.3.c. the target was met and presented in FCPF (2015a). The Evaluation Team found that only 34% of Country Participants “required further development” to achieve implementation milestones, while 66% of countries implementing R-PPs reported making either significant, good or mixed progress against planned milestones.

The results indicate that the portfolio, despite its challenges is achieving planned milestones against its performance measurement framework, and that the indicators and their targets are realistic and remain relevant. These indicators measure the effectiveness of the portfolio. The performance shows that the FCPF can perform. However, the performance of Country Participants against planned milestones for the Readiness Grant would indicate improvements are still necessary, particularly with respect to country level reporting and efficiency.

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Annex 9

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## **Review of the Proposed Revised Logical Framework**

## **Annex 9 Proposed Revised Logical Framework**

### **General Note:**

The objectives of the FCPF are highly relevant to financial contributors, REDD Country Participants and to the ambition and work programs set out in the Paris Agreement, Warsaw REDD+ Framework, Cancun Agreements and UNFCCC COP Decisions. In light of many recent changes in the global context, there is a technical need to update the M&E Framework. M&E Frameworks associated with dynamic programs, especially Global and Regional Partnership Programs such as the FCPF, evolve and generally need updating.

The M&E framework was designed to monitor all key building blocks required for the performance of the FCPF as it evolved and up until 2020. The M&E Framework notes its own limitations tending to focus on the performance of outputs and indicators of effectiveness and efficiency (2 of the 5 DAC criteria). Monitoring therefore does not cover reporting against impacts or provide indicators for sustainability, and this point is duly noted in the M&E Framework document, (Baastel et al 2013).

It is worth pointing out that Financial Contributors to the FCPF use elements of the M&E Framework to report the FCPF's achievements and progress to their Governments. Several of interviewed representatives noted that they source their M&E reporting from the FMT directly, and expect to continue to do so in the future. They understained that it would be a challenge to integrate every contributors M&E needs into one framework.

The following Table provides the Evaluation Team's comments on the M&E Framework based on assessment of FCPF's current status. The observations are not meant to make final recommendations on the FCPF should modify the Framework. The final revision should be carried out once the FCPF has revisited its overall strategy based on the Evaluation.

Level	Results	Indicators	Targets by 2020 (refer to end of FY unless otherwise stated)	Assumptions	Comments
Impact I.1	The FCPF has contributed to the design of a global regime under or outside UNFCCC that provides incentives for REDD+	<p>I.1.A. Actual design of the global regime that includes REDD+</p> <p>I.1.B. Examples of how FCPF learning and experience has fed into UNFCCC REDD+ decisions</p>	<p>I.1.A. REDD+ regime recognized globally</p> <p>I.1.B. Positive experiences feeding into the design of the global regime</p>	Global climate change negotiations under UNFCCC remain supportive	<p>Difficult to assess the extent of contribution to the FCPF for these indicators. The Warsaw REDD+ Framework and COP decisions were agreed and constructed by 100+ countries that were not in the FCPF.</p> <p>But stakeholders interviewed commented that FCPF has provided a space for REDD+ actors to discuss how the mechanism can work in practice outside of the FCPF. It has contributed to build a sense of 'community' and trust between donors and countries alike, which directly contributed to keep the momentum and advance the REDD+ negotiations at international level.</p>
Impact I.2	Reduced emissions from deforestation and forest degradation from FCPF, especially CF portfolio countries	<p>I.2.A. Number of tons of CO<sub>2</sub> emissions from deforestation and forest degradation reduced in CF supported interventions</p> <p>I.2.B. Number of tons of CO<sub>2</sub> emissions from emissions for deforestation and forest degradation reduced in all FCPF supported countries</p>	<p>I.2.A. Tbd by ERPAs signed by 2015</p> <p>I.2.B. TBD from data available nationally on GHG emissions of countries</p>		No ERPAs signed as of 2015. Recommend to align indicators and target with NDCs.

Level	Results	Indicators	Targets by 2020 (refer to end of FY unless otherwise stated)	Assumptions	Comments
Impact I.3	FCPF has catalysed the creation of recognized global standards for REDD+	<p>I.3.A. Examples of non-participant countries that have adopted FCPF standards in their own REDD+ process</p> <p>I.3.B. Common approach successfully implemented</p>	<p>I.3.A. No target applicable (n/a)</p> <p>I.3.B. Common approach to Environmental and Social Safeguards for Multiple Delivery Partners is implemented and examples/lessons learnt are used in standard setting for REDD+</p>		<p>No examples of non-participant countries adopting FCPF standards (e.g. delivery partner safeguards or methodological framework).</p> <p>Common approach is under implementation. Recommendation: develop indicators that assesses the extent to which the methodological framework is used to report emissions in NDC. e.g. No. of NDCs which use the Methodological framework for reporting emissions.</p>
Impact I.4	FCFP has catalyzed investment in REDD+ (CF, and grants)	<p>I.4.A. Amount of non-FCPF investments under R-PP process in Participant countries and for implementation of ER Programs (e.g. FIP, bilateral donors, private sector)</p> <p>4.B. Examples of other mechanisms that have adopted and/or scaled up the approach piloted under FCPF</p>	No target applicable (n/a)		<p>Reporting on this indicator was misleading in the Annual Reports. The ER-PINs for example noted the non-FCPF investments, which were used as a basis for project designs, but did not report these projects in their Annual Progress report which tracks non-FCPF investments.</p> <p>Recommendation: Align the indicator with ER-PIN template reporting requirements and quality check the progress reports.</p>



Level	Results	Indicators	Targets by 2020 (refer to end of FY unless otherwise stated)	Assumptions	Comments
Impact I.5	The FCPF has generated momentum to address governance and transparency issues and policy reforms related to sustainable forest resource management and REDD+	<p>I.5.A. Degree to which decision making processes related to emission reductions and forest resource management in participant countries allow for active multi-stakeholder participation including CSOs, IPs and local communities</p> <p>I.5.B. Number of policy reforms initiated, completed or underway complying to REDD+ standards in Participants' country, potentially include issues of land tenure</p>	<p>I.5.A. Improved active multi-stakeholder participation</p> <p>I.5.B. n/a</p>		Very useful indicator. Encourage good quality reporting in the Annual Progress reports to track progress on this indicator.
Outcome 1	Efforts successfully undertaken by countries with FCPF support to achieve emission reductions from deforestation and/or forest degradation, and to benefit from possible future systems of positive incentives for REDD+ (Readiness Fund)	1.A. Number of Readiness Packages endorsed by PC.(R-Packages are in line with assessment framework)	1.A. 2 R-Packages by 2014 8R-Packages by 2015 20 + R-Packages by 2018	The incentives provided by REDD+ schemes are sufficient for purposes of Readiness Fund, submission of R-Package by REDD Participants is voluntary International negotiations for REDD+ remain supportive. There are no extraordinary circumstances in the country that prevent submission of RPs	<p>The indicator will need to have its target revised. As of January 2016, only 2 R-packages had been delivered.</p> <p>Recommendation: 2020 target of 15 R-packages.</p> <p>Recommendation: extend the timeline of the Readiness Fund to 2025 and expect to further extend the timeline, if efficiency does not improve. Alternatively, develop a sound exit strategy identifying where countries that are not fully ready could leverage additional resources to continue preparing for REDD</p>

Level	Results	Indicators	Targets by 2020 (refer to end of FY unless otherwise stated)	Assumptions	Comments
					Also revisit assumptions, as incentives were probably not sufficient given that only 2 R-packages were delivered.
Output 1.1	Readiness Assessment Framework is agreed upon and disseminate	1.1. Existence of published assessment framework on readiness package	1.1. Assessment framework published following PC14 adoption		Target has been met. Remove from framework.
Output 1.2	Countries demonstrate an adequate plan to achieve preparedness for REDD+ funding	1.2.a. 30+ R-PPs (by 2015) 1.2.b. 30+ signed grant agreements by 2015	1.2.a. 30+ R-PPs (by 2015) 1.2.b. 30+ signed grant agreements by 2015	Plans and targets were realistically assessed by technical experts before approval in view of existing baseline capacities and participant countries' contexts	Target has been met. Remove from framework.
Output 1.3	Countries progress adequately on implementation of their R-PP and Grant Agreements	1.3.a. Number of mid-term progress (MTRs) reports presented by countries that follow agreed reporting standards and are presented in a timely manner 1.3.b. Percentage of countries that are achieving planned milestones according to approved Readiness Preparation grant (>USD 3.4 m) 1.3.c. Percentage of countries that are overall achieving planned milestones for sub component as per country - annual reporting scale	1.3.a. 20+ MTRs by (2015) 25+ MTRs by (2018) 1.3.b. At least 60% of countries have performance that is satisfactory or above 1.3.c.i. By 2015, 50% of countries implementing R-PPs have performance that is 'further development required' in 50% of sub components per R-Package Assessment Framework 1.3.c.ii. By 2018, 100% of countries implementing R-PPs have performance that is 'progressing well' or	The political and socio-economic context in the Participant countries remains stable enough over the implementation period so that the capacity built remains in place	Targets are behind schedule. Very useful indicators for tracking performance.  Recommendation: Track the need for extensions requested by participant countries.

Level	Results	Indicators	Targets by 2020 (refer to end of FY unless otherwise stated)	Assumptions	Comments
		<ul style="list-style-type: none"> <li>- Sub Component 1 to 9</li> <li>1.3.d Percentage of countries with a disbursement rate that is in line with agreed Readiness Fund Preparation grant (&gt;3.4 million USD) disbursement plans of grant agreement (up to 10% variance with plans)</li> </ul>	<p>above for 80% of sub components per R-Package Assessment Framework</p> <p>1.3.d. 60%</p>		
Activities	<p>Under Output 1.1</p> <ul style="list-style-type: none"> <li>- Development of Readiness Package guidelines and Readiness Package assessment framework by PC14 (DP, PC)</li> <li>- Publication of guidelines for diffusion to the target audiences and stakeholders in the countries and at the global level Under Output 1.2</li> <li>- Technical assistance and guidance to Countries in Readiness process (DP, FMT)</li> <li>- Preparation of R-PP Assessment Notes and other procedural requirements (DP, Country)</li> <li>- Meet procedural requirements and perform due diligence after R-PP assessment by PC (Country, DP)</li> </ul> <p>Under Output 1.2</p> <ul style="list-style-type: none"> <li>- Technical assistance and guidance to Countries in Readiness process (DP, FMT)</li> <li>- Preparation of R-PP Assessment Notes and other procedural requirements (DP, Country)</li> <li>- Meet procedural requirements and perform due diligence after R-PP assessment by PC (Country; DP)</li> </ul> <p>Under Output 1.3:</p> <ul style="list-style-type: none"> <li>- Implementation of grant funding according to agreement plan (or substantially equivalent readiness preparation performance by Countries regardless of the DP)</li> <li>- Grant supervision and country level review, related to environmental and social due diligence, procurement and financial management policies and procedures of the Delivery Partners and the Common Approach to Environmental and Social Safeguards (DP)</li> <li>- Direct implementation support, including technical assistance on R-PP implementation (DP)</li> <li>- Production of mid-term progress reports by countries (Country, DP)</li> <li>- Advice from FCPF on quality of progress reports (FMT, DP, PC)</li> <li>- Coordination actions with UN-REDD, FIP, and other international REDD Programs (FMT, Countries, DP, PC, TAP)</li> </ul>				

Level	Results	Indicators	Targets by 2020 (refer to end of FY unless otherwise stated)	Assumptions	Comments
Outcome 2	Selected FCPF countries demonstrate key elements (carbon accounting, programmatic elements and pricing) of performance-based payment systems for emission reductions generated from REDD+ activities with a view to ensuring equitable benefit sharing and promoting future large-scale positive incentives for REDD+ (Carbon Fund)	<p>2.A. Number of pilots where carbon accounting, programmatic elements and pricing are operating as planned</p> <p>2.B. Number of pilots in which the benefit sharing scheme is being implemented according to plans</p> <p>2.C. Average % of monetary benefits shared with beneficiaries in approved pilots</p>	<p>2.A. A minimum of 5 (by 2017)</p> <p>2.B. All pilots that are operational with a minimum of 5 by 2017</p> <p>2.C. To be defined at the time of preparation of benefit sharing plans and ERPA signatures</p>	Interest in performance based payments remains high enough	<p>There is a need to consider how to measure “interest” in performance based payments.</p> <p>Review indicator</p>
Output 2.1	Standards and preparations in place for high-quality ER programs discussed and endorsed by CF Participants and/or PC	<p>2.1. Number and types of standards and management tools discussed and endorsed by CF participants and/or PC for ER programs including:</p> <p>a) Methodological framework and Pricing Approach</p> <p>b) Business processes (ER-PD, ER-PIN, ERPA)</p> <p>c) Legal documents (General Conditions, ERPA term sheet)</p>	<p>2.1. a&amp;b. Fully developed draft by CF7 and final version endorsed by CF8.</p> <p>2.1.c. Fully defined ERPA Term sheet by PC14 and General Conditions for ERPA endorsed by PC16</p>		<p>Even though some aspects were delayed, the indicators have been met.</p> <p>Remember that even though the ERPA general conditions (non-negotiable ones) have been agreed, commercial aspects still need to be discussed.</p>
Output 2.2	Countries have entered into the portfolio of the Carbon Fund	<p>2.2.a. Number of early ideas or ER-Programs presented by countries to the CF</p> <p>2.2.b. Number of REDD countries that have signed ERPA</p>	<p>2.2.a. 10 by 2015</p> <p>2.2.b. A minimum of 5 countries by 2015</p>	A large enough number of countries have the capacity to meet all standards and FCPF/DP administrative processes do not	<p>The number of countries in the pipeline demonstrates high level of interest.</p> <p>However the indicators for performance in emission reductions should be linked to readiness milestones,</p>

Level	Results	Indicators	Targets by 2020 (refer to end of FY unless otherwise stated)	Assumptions	Comments
				put undue burden on the CF operation	
Output 2.3	Increased levels of private sector investment for incentivizing, testing, and supporting up-scale of ER activities	2.3. Number of private sector Participants in CF	2.3. 2 new private sector participants by 2014	The international momentum for REDD+ remains	<p>The number of private sector participants in the CF is only a partial indicator of the level of private sector interest and investment. Private actors (such as the large corporations that have made pledges towards zero-def SC) can also contribute to addressing deforestation by investing e.g. in systems to track their suppliers and their own operations that have impacts on deforestation, and develop ways to mitigate this. FCPF has already acknowledged this group In Annual reports, so it needs to re-write the indicators to reflect that.</p> <p>Additionally, it is ALSO important to leverage or build on private sector investments at the country level, through the ERPs.</p> <p>Recommendation: Develop country level indicators that can track private sector participation and interest.</p>
Output 2.4	ER Programs are being implemented in a time manner	2.4.a. Amount and date of disbursements or ER Programs	2.4.a. Amount of planned investment required as per ER –PD schedules	5 REDD countries have signed ERPAs	The target will need to be updated. Recommendation: 5

Level	Results	Indicators	Targets by 2020 (refer to end of FY unless otherwise stated)	Assumptions	Comments
		according to plans 2.4.b. Amount of ER purchases following ERPA signature	2.4.b. 10M USD in FY15, 50M USD in FY16, 70M USD per annum in FY17-19, 85M USD in FY20	by 2015 (see target for Output 2.2.b)	countries have signed ERPAs by 2017.
Activities	<p>Under Output 2.1:</p> <ul style="list-style-type: none"> <li>- Development of Operational procedures, business process for ER Programs (FMT)</li> <li>- Technical review of methodology, pricing, etc. (FMT, PC)</li> <li>- Development of a working version of CF methodological framework and pricing approach adopted by PC in 2012 (FMT, PC)</li> <li>- Periodic updating of framework and pricing to reflect progress in UNFCCC process (PC, TAP, FMT)</li> <li>- Take on board feedback from pilots on integration of innovative approaches to benefit sharing in readiness planning and through ER Programs (FMT)</li> </ul> <p>Under Output 2.2:</p> <ul style="list-style-type: none"> <li>- Preparation of ER Programs (Countries, CF Participants, WB, FMT)</li> <li>- Preparation of ER-PIN according to standards for equitable sharing (Countries, CF Participants, WB, FMT)</li> <li>- Due diligence by WB on a number of ER-PINs submitted in preparation for ERPDs</li> <li>- Technical review of ER-PINs (TAP)</li> <li>- Development of activities to test equitable benefits sharing in accordance with FCPF safeguard guidelines and COP16 Decision, e.g. Forest Governance and Grievance Redress Mechanisms (Countries, DP)</li> </ul> <p>Under Output 2.3:</p> <ul style="list-style-type: none"> <li>- Dialogue, lessons sharing activities and development of knowledge products with potential financial partners (PC, FMT)</li> <li>- Interaction with, and marketing to the private sector (FMT)</li> <li>- Coordination with UN-REDD, FIP, and other international REDD programs (FMT, Countries, DP, PC, TAP)</li> </ul> <p>Under Output 2.4:</p> <ul style="list-style-type: none"> <li>- Required activities for implementation by countries</li> <li>- Pooling of investment by countries</li> </ul>				

Level	Results	Indicators	Targets by 2020 (refer to end of FY unless otherwise stated)	Assumptions	Comments
Outcome 3	Engagement of all stakeholders (Governments, CSO, IPs, private sector and delivery partners) to sustain or enhance livelihoods of local communities and to conserve biodiversity within the approach to REDD+	<p>3.a. Design of national REDD Strategies, monitoring systems and ER Programs addresses indicators for enhancement of livelihoods of local communities and for biodiversity conservation</p> <p>3.b. Actual examples on the inherent social and biodiversity benefits of REDD+ and how they are used to inform REDD+ Agenda and to scale -up results</p>	<p>3.a. All national REDD+ strategies, monitoring Systems and ER-Programs incorporate indicators related to biodiversity conservation and forest community livelihood development</p> <p>3.b. International REDD+ Agenda by 2017 is informed by documented results from ER Programs.</p>	The incentives provided by REDD + schemes are sufficient The climate for international negotiations for REDD+ remains supportive.	<p>These indicators need to be more specific and “SMART”.</p> <p>Recommendation: improve all indicators to include measureable targets.</p>
Output 3.1	Enhanced capacity of IPs and CSOs to engage in REDD+ processes at the country level	<p>3.1.a. (i) Number and types of examples of in-country REDD+ actions where IPs CSOs, and local communities participate actively.</p> <p>3.1.a. (ii) Examples of resources made available to enable active participation of IPs, CSOs, and local communities in national REDD+ readiness.</p> <p>3.1.b. Number of 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</p>	<p>3.1.a.(i) Various new examples exist with strong evidence of IP and CSO active participation and broad community support in REDD+ programs / readiness by 2015</p> <p>3.1.a.(ii) 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</p> <p>3.1.b. At least 20 men and 20 women and/or 20 youth reps. participated and/or trained per country, in a</p>		<p>These indicators need to be more specific and “SMART”.</p> <p>Recommendation: improve all indicators to include measureable targets.</p>

Level	Results	Indicators	Targets by 2020 (refer to end of FY unless otherwise stated)	Assumptions	Comments
		aspects/related aspects of REDD  3.1.c. Examples of IPs and REDD country-CSO representation in institutional arrangements for REDD+ at the national level	minimum of 15 participant countries by 2015  3.1.c. Examples in all REDD Participant countries, of institutional arrangements for national REDD readiness where IPs and CSOs are represented		
Output 3.2	Pilots have been successfully implemented on ways to sustain and enhance livelihoods and conserve biodiversity	3.2.a. Number of countries where stakeholder engagement platforms proposed in R-PPs have taken up work and meet regularly  3.2.b. Number of countries with R-Packages and ER Programs submitted to FCPF that demonstrate:  3.2.b.i. Ways to maintain or enhance livelihoods including at local levels are integrated into design of national REDD+ strategies, monitoring systems, and ER-Program design  3.2.b.ii. 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	3.2.a. All countries that have signed Readiness grants  3.2.b.i. 100% of all R-Packages and ER Programs implemented  3.2.b.ii. 100% of all R-Packages and ER Programs implemented Integrate best practices  3.2.b.iii. 10+ countries by 2015 15 + by 2018 20+ by 2020		Pilot projects are relevant only to ERPs. Therefore, the indicators and targets need to reflect this.  Recommendation: Each country should provide a technical self-assessment of their R-Package demonstrating which elements of livelihoods and conservation of biodiversity have been accounted for in the R-Package.



Level	Results	Indicators	Targets by 2020 (refer to end of FY unless otherwise stated)	Assumptions	Comments
		3.2.b.iii. 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			
Activities	<p>Under Output 3.1: Provision of capacity building training Programs (FMT, DP)</p> <ul style="list-style-type: none"> <li>- Participation by IPs and CSOs in capacity building programs (Observers, REDD Countries.)</li> <li>- On-going management of Indigenous Peoples capacity building program on REDD+ (\$200k per year, for FY09-13)]</li> </ul> <p>Under Output 3.2: Coordination of, and feedback on R-PINs, R-PPs and R-Packages</p> <ul style="list-style-type: none"> <li>- Technical review of R-Packages (FMT, TAP)</li> <li>- Provision of guidance on FCPF social and environmental due diligence (SESA guidelines, etc.) (FMT)</li> <li>- Through the analytical work conducted in the SESA, identification of priorities and opportunities for enhancing livelihoods and conserving biodiversity and use of proven models and tools for the development of Emission Reduction Programs (Countries, DP)</li> <li>- Coordination with UN-REDD, FIP, and other international REDD programs (FMT, Countries, DP, PC, TAP)</li> </ul>				
Outcome 4	Knowledge gained in the development of the FCPF and implementation of Readiness Preparation Proposals (under the Readiness Fund) and Emission Reductions Programs (under the Carbon Fund) broadly shared, disseminated and used by international REDD practitioners	<p>4.A. Number of new countries/ stakeholders requesting to become FCPF: -observers -members</p> <p>4.B. Examples of utilization of/or reference to FCPF knowledge products</p>	<p>4.A. A number of new requests to become: -country Observers (2015) -country Members (2015)</p> <p>4.B. An increasing number of examples exist by 2015 and remains stable afterwards until 2020</p>	<p>The incentives provided by REDD + schemes are sufficient</p> <p>The international negotiations climate for REDD+ remains supportive</p>	<p>4.A This indicator is no longer relevant as the Readiness Fund is not accepting new countries to the portfolio.</p> <p>4.B Keep this indicator.</p> <p>Develop more relevant indicators.</p>

Output 4.1	<p>Knowledge products and lessons from piloting of REDD+ in general and FCPF activities in particular are developed and disseminated, in accordance with global knowledge management and communication framework strategy and annual work plans</p>	<p>4.1.a. Approved framework communications strategy for knowledge management and communication at the global level and up - to-date annual work plan for its implementation presented to the PC every year</p> <p>4.1.b. Number of knowledge products distributed via workshops, publications, websites or other media</p> <p>4.1.c. Number of people reached, by type of knowledge product and type of audience (including website site counts)</p> <p>4.1.d. Examples of activities undertaken including at national level to generate and institutionalize awareness on REDD+ such as through inclusion of REDD+ in curricula in schools and universities</p>	<p>4.1.a. Strategy approved by PC in FY2013 Updated work plan presented to the PC every year</p> <p>4.1.b. Tbd in strategy/work plan</p> <p>4.1.c. Tbd in strategy/work plan</p> <p>4.1.d. Tbd in strategy/work plan</p>	<p>4.1.a This indicator is still relevant.</p> <p>4.1.b The current website structure of the FCPF does not allow to count the number of downloads of the published documents. This is an important shortcoming in the software. The Evaluation Team recommends the FCPF to reconsider the type of technology used to allow more efficient and useful monitoring of the website users' behavior.</p> <p>4.1.c The Evaluation Team recommends to keep this indicator.</p> <p>4.1.d. This indicator relies on the country reporting. The inconsistent quality of the country reports compromises the usefulness of the indicator.</p> <p>Given the challenges to include private sector so far, specific 'knowledge products' should be target to them. Alternatively, the FCPF could target other stakeholders, which could further engage the private sector in activities. E.g. DRC, Ivory Coast, Ghana, and Chile have shown that they were able to successfully engage PS in</p>
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Level	Results	Indicators	Targets by 2020 (refer to end of FY unless otherwise stated)	Assumptions	Comments
					<p>their ER programs. Lessons on how they did it could be further shared.</p> <p>The general recommendation is to rethink the FCPF's communications and knowledge sharing strategy. The indicators should be formulated according to an updated strategy.</p>
Output 4.2	Participants actively engage in South-south-learning activities	<p>4.2.a. Number of S-S learning activities and/or events connecting FCPF countries</p> <p>4.2.b. Total number of participants to South-South knowledge exchange activities by category:            -REDD member countries (men/women)            -non-REDD member countries (men/women)            -IP/CSO representatives from region (men/women)            -Private sector representatives from region (men/women)</p>	<p>4.2.a. Increase in 2013-14 -tbd in work plans</p> <p>4.2 b. Increase in 2013-14 -tbd in work plans</p>	Events managed directly by the countries (not organized by FMT itself) are timely and effectively planned to feed into the process of learning and involve all key stakeholders	<p>4.2.a The Team recommends to keep this indicator.</p> <p>4.2.b. Some events include expert to expert or South-North exchanges. The Team recommends to revise the indicator to a wider array of types of exchanges.</p> <p>Furthermore, the number of people tells little about what added value the events offered to the participants. Consider including a more qualitative indicator to measure the value of the learning activities.</p>

Level	Results	Indicators	Targets by 2020 (refer to end of FY unless otherwise stated)	Assumptions	Comments
Output 4.3	Strong visibility of REDD+ and FCPF	<p>4.3.a. Number of neutral/positive mentions of FCPF and REDD+ issues in different key media worldwide per X period</p> <p>4.3.b. Number of negative mentions of FCPF and REDD+ issues in different key media worldwide per year</p>	<p>4.3. a. Increase in neutral and positive mentions worldwide - tbd in work plans</p> <p>4.3.b. Decrease of negative mentions worldwide</p>	International momentum for REDD+ remains high enough to generate media interest	4.3.b. The number of appearances tells little about the importance of the news item. Furthermore, it may be difficult to define which articles are negative, neutral or positive, as some articles can include all three types of comments. It is also difficult to define whether spin-off articles should be counted as independent postings or bundled with the original one. The FCPF should also be more specific about which media sources. These should include e.g. reports/blogs/news targeting the business sector also. The recommendation is to replace this indicator with a more useful one.
Activities	<p>Under Output 4.1:</p> <ul style="list-style-type: none"> <li>- Development of framework strategy (FMT) for knowledge management and communication at the global level and annual work plans</li> <li>- Analysis and capitalization for media on key REDD+ topics, lessons learned, and knowledge management (e.g., MRV, Reference Levels) (FMT at the global level; Countries at the regional and national levels, FMT)</li> <li>- Sharing of cross-country experiences, developing and sharing guidance documents (e.g., social inclusion, role of private sector) with individual REDD Country Participants (Countries, PC, FMT)</li> <li>- Development of initiatives to engage partners in dialogue on good practice in KM and global knowledge management (DPs, FMT)</li> <li>- Networking activities of FMT staff (e.g. coordination with UN-REDD, FIP etc. presentations held at non-FCPF conferences, participation in REDD+ workshops or related initiatives)</li> </ul>				

Level	Results	Indicators	Targets by 2020 (refer to end of FY unless otherwise stated)	Assumptions	Comments
	Under Output 4.2: <ul style="list-style-type: none"> <li>- Conduct of Global and Regional Dialogues with IPs (DPs, PC, Countries, Observers, FMT)</li> <li>- Completion of South-south-learning activities,</li> <li>- Organization of workshops, PC knowledge-sharing panels at the PC meetings, multi-stakeholder and public consultation of all key documentation,</li> <li>- Participation of FMT's in relevant international fora and expert meetings,</li> <li>- Use of PC members' feedback to their own institutions are used as means to help disseminate the knowledge gained in the FCPF (DPs, PC, Countries, Observers, FMT)</li> <li>- Close coordination with UN-REDD, FIP, and other international REDD programs (FMT, Countries, DP, PC, TAP) Under Output 4.3:</li> <li>- Press releases</li> <li>- Marketing activities,</li> <li>- Etc.</li> </ul>				

Source: Indufor



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## Annex 10

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### **An In-depth Analysis for Each of the Outputs and Indicators Applied to the FCPF Portfolio**

## Annex 10 An In-depth Analysis of the Outputs and Indicators Applied in the FCPF Portfolio

### 1. Country Participant Data

Data points for each of the Country Participants was compiled to evaluate the efficiency of their progress during the evaluation period through the FCPF processes from the selection of the R-PIN to the Signing of the REDD Readiness Preparation Grant (Table 1). The blue highlighted cells indicate the steps of the FCPF REDD Readiness process that occurred either entirely or partially during the evaluation period (2011-2014).

**Table 1 Country Participants and the associated data used to evaluate the efficiency of their progress through the FCPF REDD Readiness process steps.**

Country	HDI	Reviews Needing Revision	a) R-PIN Selected	b) PA Signed by Country	c) First R-PP Draft Submitted to PC	d) Completeness Check	e) REDD+ RP Grant Signed
Argentina	0.836	2	2008-10-15	2009-01-05	2010-06-14	2014-03-04	2015-10-15
Belize	0.715	2	2013-03-15		2013-06-15	2015-03-04	2016-01-30
Bhutan	0.605	3	2011-12-15		2013-09-15	2014-02-05	2015-03-19
Burkina Faso	0.402	4	2012-11-05		2012-04-15	2013-11-23	2015-01-28
Cambodia	0.555	3	2009-03-15	2009-04-17	2011-03-04	2013-07-26	2013-12-25
Cameroon	0.512	3	2008-10-15	2009-01-05	2012-08-06	2013-01-11	2013-02-12
CAR	0.350	3	2009-03-15	2009-04-07	2011-01-15	2013-05-13	
Chile	0.832	4	2011-01-06		2012-09-05	2013-10-04	2014-01-29
Colombia	0.720	3	2008-10-07		2011-05-17	2011-10-12	2015-04-29
Congo, DRC	0.591	4	2008-07-15	2008-08-16	2010-01-10	2010-07-21	2011-03-24
Congo, ROC	0.433	3	2008-10-15	2008-12-08	2010-04-19	2011-09-22	2012-10-01
Costa Rica	0.766	2	2008-07-15	2008-10-16	2010-06-15	2011-04-15	2012-06-29
Cote d'Ivoire	0.462	3	2011-07-21		2013-09-15	2014-06-04	2014-09-29
Dominican Republic	0.715	2	2011-12-06		2012-12-13	2014-07-15	2015-06-10
El Salvador	0.666	5	2009-03-15	2009-05-28	2012-05-31	2013-02-19	2014-01-23
Ethiopia	0.442	2	2008-10-15	2008-12-09	2011-03-08	2011-05-25	2012-10-23
Fiji	0.727	3	2013-01-15		2013-10-15	2014-02-22	2015-05-13
Ghana	0.579	3	2008-07-15	2008-08-20	2009-09-10	2010-12-23	2011-08-12
Guatemala	0.627	5	2009-03-15	2009-04-07	2011-08-15	2013-04-03	2014-04-03
Guyana	0.636	4	2008-07-15	2008-08-20	2009-05-22	2012-12-15	2014-02-07
Honduras	0.606	6	2009-03-15	2010-03-27	2012-01-25	2013-03-21	2014-05-28
Indonesia	0.684	1	2009-03-15	2009-10-21	2009-06-16	2009-06-16	2011-06-11
Lao PDR	0.575	3	2008-07-15	2008-10-03	2010-10-01	2010-12-23	2014-08-11
Liberia	0.430	5	2008-07-15	2008-10-02	2011-01-15	2012-03-19	2012-06-29
Madagascar	0.510	4	2008-07-15	2008-08-12	2010-01-22	2014-06-09	2015-05-19
Mexico	0.756	2	2008-07-15	2009-08-28	2010-02-15	2011-04-15	2014-03-27
Mozambique	0.416	4	2009-03-15	2009-05-27	2011-08-15	2013-02-08	2013-07-12
Nepal	0.548	2	2008-07-15	2008-09-08	2010-04-19	2010-10-17	2011-03-29
Nicaragua	0.631	5	2008-10-15	2008-11-24	2011-04-15	2013-03-17	2013-12-26
Nigeria	0.514	3	2009-10-22		2011-10-15	2014-08-05	2015-02-25
Pakistan	0.538	3	2013-01-30		2013-10-15	2014-09-10	2015-06-12
Panama	0.780	2	2008-07-15	2008-08-14	2009-05-16	2014-09-19	2015-12-30
PNG	0.505	5	2008-10-15	2009-02-20	2012-08-15	2013-12-09	2015-10-04
Paraguay	0.679	3	2008-10-15	2008-12-15	2014-04-15	2015-03-23	
Peru	0.734	4	2008-10-15	2008-11-25	2010-05-15	2013-12-15	2014-05-30
Sudan	0.479	3	2011-12-06		2013-11-08	2014-10-12	2015-04-03
Suriname	0.714	5	2009-03-15	2009-12-29	2009-09-15	2013-06-24	2014-05-31
Tanzania	0.521	2	2009-03-15	2009-06-24	2010-06-15		
Thailand	0.726	3	2009-03-15	2009-12-29	2013-01-13	2013-12-27	2015-01-21
Togo	0.484	4	2013-01-30		2013-07-29	2014-06-26	2015-10-15
Uganda	0.483	4	2008-10-15	2008-12-18	2011-01-10	2012-05-11	2013-10-07
Uruguay	0.793	3	2013-01-30		2013-07-31	2015-04-01	2015-10-11
Vanuatu	0.594	4	2008-10-15	2009-09-17	2012-08-06	2013-10-07	2015-04-24
Vietnam	0.666	5	2008-07-15	2008-07-24	2010-10-12	2011-11-18	2012-09-11

Sources: FCPF 2011b; FCPF 2015c; FCPF 2016; UNDP 2015

For the variables *R-PIN Selected*, *Partnership Agreement Signed by Country Date*, *REDD Readiness Preparation Grant Signed*, *Invited into CF Pipeline*, and *LOI Date* data was from the FCPF (2011b) *FCPF Dashboard*, FCPF (2015c) *FCPF Dashboard*, and FCPF (2016) *FCPF Carbon Fund*

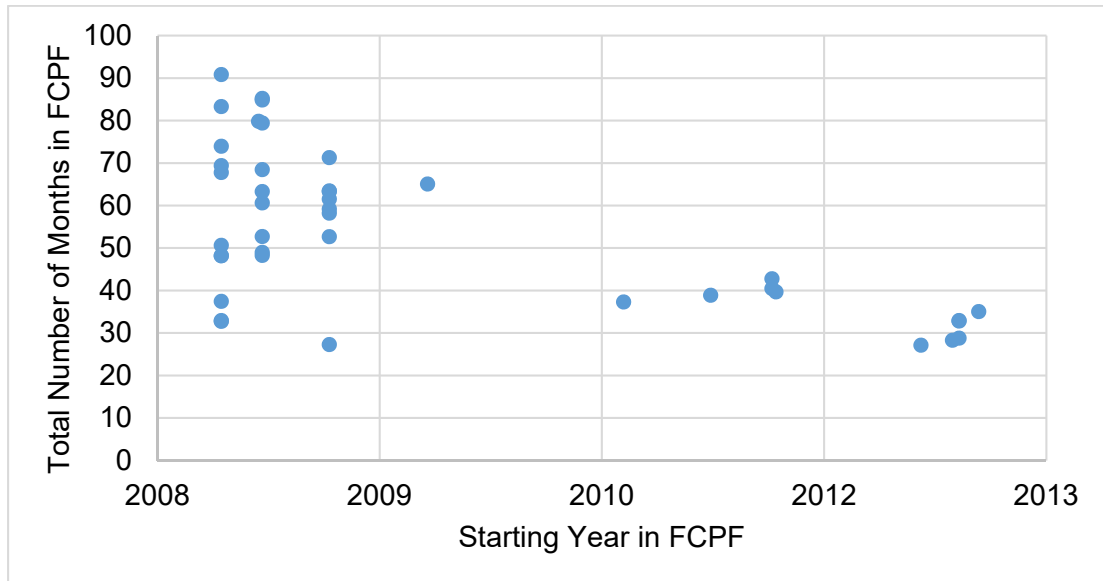
*Dashboard.* For the variables *Number of R-PP Reviews Requiring Revision*, *First R-PP Draft Submitted to PC*, and *Completeness Check* data was from the latest individual Country Participants' TAP review and Completeness Check reports (see Main Document – References Section 8.3). The Human Development Index (HDI) values are from the UNDP (2015) *Human Development Report 2015: Work for Human Development*. The Evaluation Team cross-referenced dates between the *Completeness Check* and the *Final Submitted Date* in the FCPF (2015c). The Evaluation Team used the official date of the *Completeness Check* for consistency and comparison between countries when the dates deviated by greater than a month. Bolivia, Gabon, Kenya, and Tanzania had no reported actions during the evaluation period (2011-2014) and Evaluation Team omitted them. In the case of countries that joined after 2011, the Evaluation Team used the date that they expressed an interest to join the FCPF as a replacement for the *R-PIN Selected* date or, in the case of Chile, from the revised R-PIN. The *Number of R-PP Reviews Requiring Revision* includes both TAP reviews noted within the publically available TAP review documents and any requests by the PC for the Country Participant to resubmit/revise their R-PP prior to acceptance in the Completeness Check. For the R-PPs, the PC requested that Guyana and Madagascar revise their R-PPs twice. All data was based on public availability and reporting for each country by the FCPF on their website. Conclusive verification was difficult due to differences in the TAP review report formats. There were discrepancies about the starting dates (i.e. date a country joined the FCPF) for some of the REDD Countries, but data requested was not provided. Therefore, the data publically available online was used.

**Table 2** Average, maximum and minimum number of months that each country in the FCPF portfolio took between different milestones in the REDD Readiness program.

Milestone	Mean (months)	Maximum (months)	Minimum (months)
From selection of R-PIN to PA signed	3.6	13.6	0.3
From PA signed to first R-PP draft	22.9	64.9	0.0
From first R-PP draft to Completeness Check	18.6	65.1	0.0
From Completeness Check to RP Grant signed	13.4	44.2	1.1



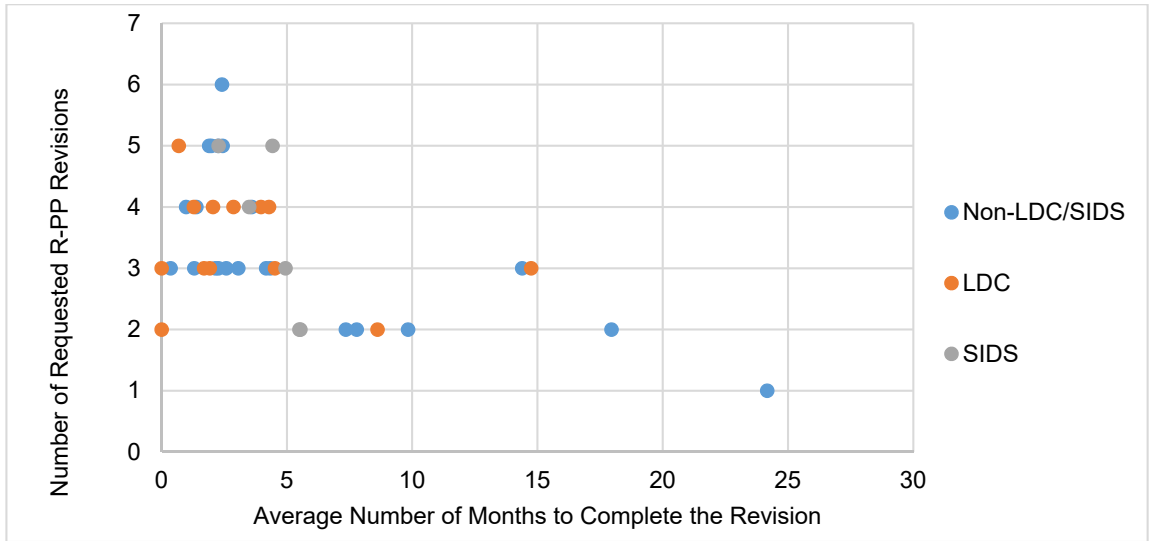
**Figure 1 Relationship between the starting year for each REDD Country in the FCPF and the time between starting and the signing of the Readiness Preparation Grant Agreement.**



## 2. Further Analysis

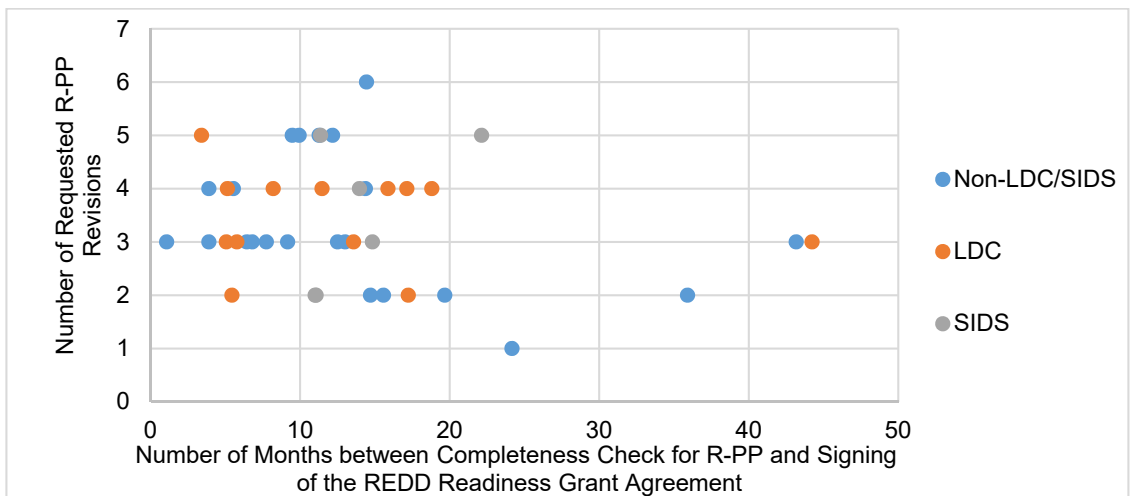
Further demonstrating the lack of development-level dependence on the progress through R-PP acceptance, in **Figure 2**, the number of requested R-PP revisions for each FCPF country development-level designation (LDC – Least Developed Country, SIDS – Small Island Developing Country, or Non-LDC/SIDS) is regressed on the Y-axis in comparison to the Average time each country took to revise their R-PP between each request (Variable T2 in Table 3). In Figure 2, the same countries and the number of requested revisions show, along with the number of months between the Completeness Check and the signing of the FCPF REDD Readiness Preparation Grant, the differences between different countries. Figures 2 and 3 demonstrate that there are limited differences between LDC, SIDS, and Non-LDC/SIDS Country Participants when it comes to the number of requested R-PP revisions and the time it takes to resubmit an R-PP revision request. They also demonstrate that the number of months between the Completeness Check and the signing of the FCPF REDD Readiness Preparation grant is not LDC/SIDS dependent, nor is it related to the commitment to the process by the Country Participant (where average time it takes to respond to a revision request is used as a proxy for the level of commitment to moving quickly through the entire process).

**Figure 2** The number of requested R-PP revisions for each country development-level type and the corresponding average number of months that country took to revise their R-PP after the request.



Sources: FCPF 2015c; individual Country Participants' TAP Review and Completeness Check reports – see References Section 8.3

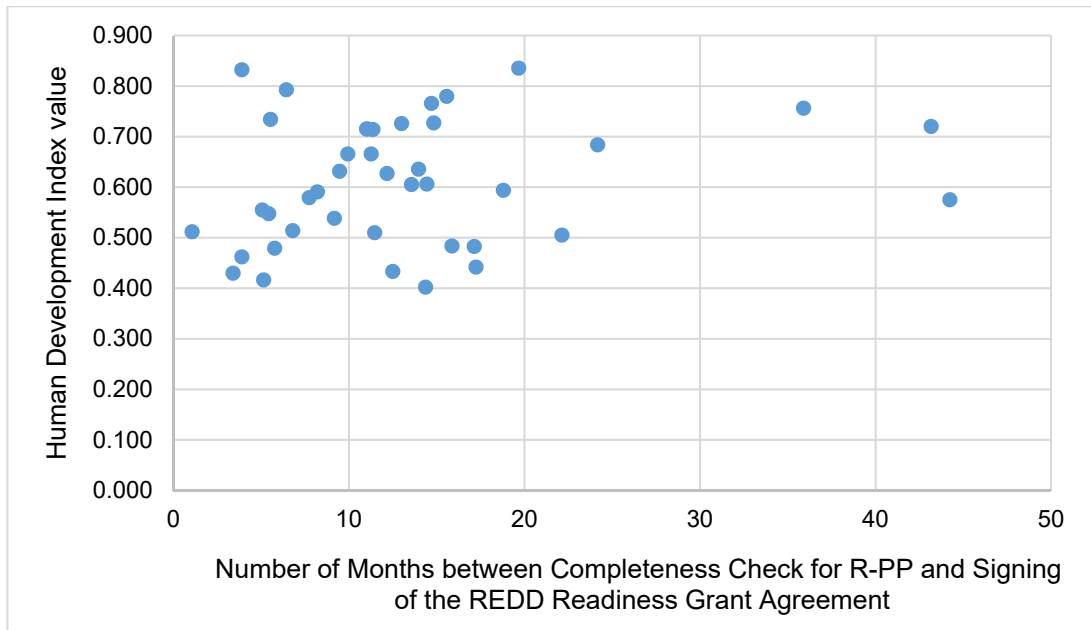
**Figure 3.** The number of requested R-PP revisions for each country development-level type and the corresponding number of months between the Completeness Check for the R-PP and the signing of the REDD Readiness Grant Agreement.



Sources: FCPF 2015c; individual Country Participants' TAP Review and Completeness Check reports – see References Section 8.3

In **Figure 4**, the HDI level of each Country Participant also does not seem to have an impact on the length of time it takes to progress from the Completeness Check to signing of the FCPF REDD Readiness Preparation grant. Rather, highly developed Country Participants and LDC's both seem to take between <5 to >20 months to sign the grant agreement, with the exception of a few Country Participants where it takes a considerably longer time.

**Figure 4** The Human Development Index value for each Country Participant and the corresponding number of months between the Completeness Check for the R-PP and the signing of the REDD Readiness Grant Agreement.



Sources: FCPF 2015c; UNDP 2015



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Annex 11

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## **Triangulation Matrices**

## Annex 11 Triangulation Matrices

<b>Evaluation Question 1. For what reason did countries decide to join the FCPF in the first place, and to continue the engagement thereafter?</b>	
<p><b>Primary Documentary Evidence:</b></p> <ul style="list-style-type: none"> <li>• Delivery Partner agreements (e.g. Grant Agreements)</li> <li>• REDD Country documents (e.g. R-PPs, R-PINs)</li> <li>• PC and TAP reviews</li> </ul>	<p><b>Key Informants (by stakeholder group):</b></p> <ul style="list-style-type: none"> <li>• Online survey by REDD Country focal points (respondent numbers: 2, 5, 6, 13, 14, 17, 20, 21, 22, 26, 28, 31, 32, 35, 37, 41, 44, 46, 48, 51, 52, 55, 58, 62, 64, 67, 68, 70, 71, 72, 74, 76, 78, 79, 82, 84, 87, 88, 91, 95, 96, 97, 99, 100, 101, 104)</li> <li>• Tier 2 stakeholders (Multilaterals, Delivery Partners, Financial Contributors, NGOs, Other CSOs and Key Informants, Forest Dependent Indigenous Peoples / Forest Dwellers, Government)</li> <li>• General stakeholders (Multilaterals, Delivery Partners, Other International Organizations, Financial Contributors, NGOs, Other CSOs and Key Informants, Forest Dependent Indigenous Peoples / Forest Dwellers, Government)</li> </ul>
<p><b>Secondary and supporting documentation for review:</b></p> <ul style="list-style-type: none"> <li>• UNFCCC documents (e.g. INDCs)</li> </ul>	
<p><b>Stakeholder comments (presented by stakeholder number to preserve Chatham House Rule):</b></p> <ul style="list-style-type: none"> <li>• See field visit reports for stakeholder comments on evaluation matrix question 1.</li> </ul>	
<p><b>Observations on common emerging themes:</b></p> <ul style="list-style-type: none"> <li>• FCPF financial and technical support has filled gaps in capacity and knowledge regarding REDD Readiness programs.</li> <li>• FCPF support for multi-stakeholder participatory processes facilitated greater levels of country ownership and commitment, and engaged a broad range of stakeholders in the REDD Readiness process.</li> <li>• The FCPF has created a structured approach to REDD Readiness (e.g. documentation and steps) that did not exist previously, and facilitated inter-sectoral coordination at the country level.</li> <li>• The FCPF's requirement that REDD countries address national REDD+ management arrangements and institutionalization of REDD+ was important, but limited to the country level (i.e. sub-national jurisdictions are not as REDD 'ready').</li> <li>• The FCPF process has supported REDD Countries in achieving UNFCCC requirements at the country level (e.g. submission of INDCs).</li> </ul>	
<p><b>Key synergies between data sources:</b></p> <ul style="list-style-type: none"> <li>• There was general agreement on the leading role of the FCPF in structuring REDD Readiness process among stakeholder groups.</li> </ul>	<p><b>Key divergences between data sources:</b></p> <ul style="list-style-type: none"> <li>• Important divergences occurred between the different REDD countries, based on stakeholder responses, regarding the need for sub-national readiness programs in some countries and not in others.</li> </ul>

	<ul style="list-style-type: none"> <li>There was divergence within the evidence regarding the FCPF in supporting UNFCCC requirements across the portfolio. Some stakeholders and documents demonstrated that relevance was high, and others that it was limited (e.g. contribution to the development of INDCs).</li> </ul>
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**Independent Assessment Findings:**

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

**Conclusions:**

The REDD Countries decided to join the FCPF to obtain access to financial and technical support for REDD+ Readiness. The FCPF provided structure and a common framework for REDD+ Readiness in the absence of a global agreement on REDD+ prior to the Warsaw REDD+ Framework adopted in November 2013. Through the structured process of developing R-PINs, R-PPs and implementing readiness, the FCPF provided a common starting point and a consistent pathway to follow for REDD Readiness. Of the portfolio of 47 REDD Countries that joined the FCPF, 45 (95.7%) continued to actively participate and engage in the FCPF during the evaluation period to benefit from financial and technical support for REDD+ Readiness.

All REDD Country Participants followed different paths and had unique national circumstances which shaped their experience in the FCPF. Therefore, the opinions about participating in the FCPF are diverse.

**Evaluation Question 2. To what extent and in what ways has the FCPF responded to countries' strategic priorities?**

<p><b>Primary Documentary Evidence:</b></p> <ul style="list-style-type: none"> <li>Carbon Fund Dashboard</li> <li>FCPF Monitoring and Evaluation Framework</li> <li>FCPF Performance Measurement Framework</li> <li>FCPF Annual Reports</li> <li>FCPF website</li> <li>FCPF Dashboard</li> </ul>	<p><b>Key Informants (by stakeholder group):</b></p> <ul style="list-style-type: none"> <li>Online survey by REDD Country focal points (respondent numbers: 2, 5, 6, 13, 14, 17, 20, 21, 22, 26, 28, 31, 32, 35, 37, 41, 44, 46, 48, 51, 52, 55, 58, 62, 64, 67, 68, 70, 71, 72, 74, 76, 78, 79, 82, 84, 87, 88, 91, 95, 96, 97, 99, 100, 101, 104)</li> <li>Tier 2 stakeholders (Multilaterals, Financial Contributors, NGOs, Other CSOs and Key Informants, Forest Dependent Indigenous Peoples / Forest Dwellers, Government)</li> </ul>
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<ul style="list-style-type: none"> <li>• REDD Country documents (e.g. R-PPs, ERPs, ER-PINs, R-Packages, National REDD+ Strategy Frameworks)</li> </ul>	<ul style="list-style-type: none"> <li>• General stakeholders (Multilaterals, Delivery Partners, Financial Contributors, NGOs, Other CSOs and Key Informants, Forest Dependent Indigenous Peoples / Forest Dwellers, Government)</li> </ul>
<p><b>Secondary and supporting documentation for review:</b></p> <ul style="list-style-type: none"> <li>• National development strategy documents for REDD Countries</li> <li>• World Bank documents (e.g. Country partnership strategies)</li> <li>• UNFCCC documents (e.g. COP Decisions and Resolutions, INDCs)</li> </ul>	
<p><b>Stakeholder comments (presented by stakeholder number to preserve Chatham House Rule):</b></p> <ul style="list-style-type: none"> <li>• See field visit reports for stakeholder comments on evaluation matrix question 2.</li> </ul>	
<p><b>Observations on common emerging themes:</b></p> <ul style="list-style-type: none"> <li>• Alignment between the FCPF and country level strategic priorities was variable across the portfolio, which demonstrated that this was a reflection of both the countries' development interests and the FCPF's response approach. Links to REDD+, as a national priority, came through REDD Countries' interests in, for example, addressing co-benefits (e.g. poverty alleviation), transparency and consultation, and mitigation and adaptation to climate change.</li> <li>• World Bank Country Partnership Strategies were largely deficient of alignment with REDD+ for nearly all field visit countries.</li> <li>• Financial Contributors noted the importance of forests in addressing climate change, and their contributions were driven by the need to mobilize global REDD+ efforts.</li> </ul>	
<p><b>Key synergies between data sources:</b></p> <ul style="list-style-type: none"> <li>• World Bank Country Partnership Strategies in the field visit countries, and responses from stakeholders and Financial Contributors aligned to show that strategic priorities were variable between stakeholders and across the portfolio.</li> <li>• World Bank Country Partnership Strategies and other national development strategy documents for field visit countries also demonstrated alignment with each other around the limited recognition of REDD+.</li> <li>• Financial Contributors expectations on the Carbon Fund were largely aligned with the FCPF documentation and data in noting that it has been slow to move on results-based financing.</li> </ul>	<p><b>Key divergences between data sources:</b></p> <ul style="list-style-type: none"> <li>• Divergences were found between the FCPF and REDD Countries national priorities and among REDD Countries in the portfolio, with countries prioritizing different needs, evidenced in responses and documentation than those supported by others and the FCPF.</li> <li>• Financial Contributors responses diverged from those of Focal Points concerning if the FCPF had fully met their expectations.</li> </ul>

**Independent Assessment Findings:**

- The FCPF was generally seen as an important program for launching national REDD+ processes in many REDD Countries, and it responded to those countries' priorities for which there had been minor or no delays in the program's mobilization.
- The FCPF did not respond well to all REDD Countries' priorities and needs, and there were several REDD Countries in the portfolio which experienced poor response performance from the FCPF. Examples include Madagascar, with support placed on hold during its political crisis, and Guyana's challenges with its Delivery Partner.
- Slow processes and bureaucratic requirements have been the cause of unmet and partially met expectations by some REDD Countries.
- There are variations in integrating the REDD+ agenda into the country engagement strategies of Delivery Partners. Some strategies are more integrative than others.
- Most Financial Contributors had common strategic priorities to which the FCPF has responded appropriately.
- The majority of Financial Contributors expected that the FCPF would perform more efficiently, while several Financial Contributors felt that efficiency was set by REDD Countries.

**Conclusions:**

For REDD Countries, the FCPF has responded to most REDD Countries' strategic priorities for REDD+ and climate change through its R-PP formulation process and the implementation of REDD Readiness. Some REDD Countries received a limited response, usually due to external factors affecting the program. The country-executed approach of the FCPF allowed flexibility to respond to the priorities of REDD Countries; that is, the REDD Countries determined the strategic priorities, which varied from country to country and were based on the role of forests within their development context.

Most REDD Countries acknowledged the importance of the FCPF for its role in kick-starting the REDD+ National Strategy process, consultations and raising awareness. These processes were recognized as fundamental for elevating the strategic importance of REDD+ within national development priorities. In-depth interviews also found that some REDD Countries had expectations of the FCPF and hoped that it would support their efforts to meet contributions stated in their INDCs to the UNFCCC.

There were variations in integrating the REDD agenda into the country engagement strategies of Delivery Partners. Some strategies integrated it more than others. For example, Indonesia's Delivery Partner country partnership strategy had a strong focus on REDD+ and its role in sustainable development, while the Delivery Partner country partnership strategies for Peru and Ghana were focused on supporting those countries' economic growth agendas.

The FCPF responded to the strategic priorities of Financial Contributors by constructing the first multilateral REDD+ Results Based Framework to be used for piloting incentives for REDD+.

**Evaluation Question 3. To what extent and in what ways has the FCPF supported countries in preparing to undertake REDD+?**

**Primary Documentary Evidence:**

- Carbon Fund Methodological Framework
- Carbon Fund Dashboard

**Key Informants (by stakeholder group):**

- Online survey by REDD Country focal points (respondent numbers: 2, 5, 6, 13, 14, 17, 20, 21, 22, 26, 28, 31, 32, 35, 37, 41, 44, 46, 48, 51, 52, 55, 58, 62, 64, 67, 68, 70, 71, 72, 74,



<ul style="list-style-type: none"> <li>• FCPF Monitoring and Evaluation Framework</li> <li>• FCPF Performance Measurement Framework</li> <li>• FCPF Annual Reports</li> <li>• FCPF website</li> <li>• FCPF Dashboard</li> <li>• First evaluation report (Baastel 2011)</li> <li>• REDD Country documents (e.g. R-PPs, ERPs, ER-PINs, SESA reports, ESMF matrices, National REDD+ Strategy Frameworks)</li> <li>• Participants Committee meeting documentation (e.g. Decisions, Presentations)</li> </ul>	<p>76, 78, 79, 82, 84, 87, 88, 91, 95, 96, 97, 99, 100, 101, 104)</p> <ul style="list-style-type: none"> <li>• Tier 2 stakeholders (Multilaterals, Delivery Partners, UN and Other International Organizations, Financial Contributors, NGOs, Other CSOs and Key Informants, Forest Dependent Indigenous Peoples / Forest Dwellers, Private sector, Government)</li> <li>• General stakeholders (Multilaterals, Delivery Partners, UN and Other International Organizations, Financial Contributors, NGOs, Other CSOs and Key Informants, Forest Dependent Indigenous Peoples / Forest Dwellers, Private sector, Government)</li> </ul>
<p><b>Secondary and supporting documentation for review:</b></p> <ul style="list-style-type: none"> <li>• UN-REDD Programme documents (e.g. Technical Resource Series documents, Policy Briefs)</li> <li>• Inter-American Development Bank documents (e.g. Policy briefs, Technical notes)</li> <li>• Forest Investment Program documents (e.g. Fact Sheet, reports)</li> <li>• UNFCCC documents (e.g. COP Decisions and Resolutions)</li> <li>• Financial Contributor documents (e.g. Government policy papers)</li> </ul>	
<p><b>Stakeholder comments (presented by stakeholder number to preserve Chatham House Rule):</b></p> <ul style="list-style-type: none"> <li>• See field visit reports for stakeholder comments on evaluation matrix question 3.</li> </ul>	
<p><b>Observations on common emerging themes:</b></p> <ul style="list-style-type: none"> <li>• Key benefits of the FCPF have been capacity building, technical support, financial support, knowledge-sharing, informing and supporting REDD+ processes, and strengthening institutions.</li> <li>• Key challenges of being part of the FCPF process have been: <ul style="list-style-type: none"> <li>○ efficiency (e.g. disbursements, procurement procedures);</li> <li>○ navigation of Delivery Partner policies (i.e. capacity to adequately address requirements);</li> <li>○ technical issues (e.g. how to align differing reporting requirements);</li> <li>○ level of alignment with UNFCCC and other global REDD+ efforts (e.g. costly duplication of safeguards to adhere to different processes' requirements);</li> <li>○ level of financing available (i.e. uniform grant disbursements in a portfolio with wide variation between country circumstances); and</li> <li>○ management of expectations (e.g. some stakeholders were already expressing expectations about what might be achieved through results-based payments).</li> </ul> </li> <li>• The FCPF has demonstrated robust evidence that readiness is progressing. It has successfully met its targets for: accepting new REDD Countries to the portfolio, achieving REDD Readiness actions at the country level (e.g. R-PPs, ER-PINs), capitalizing the Readiness and Carbon Funds. However, other targets, such as the number of ERPAs, MTRs and R-Packages, have not been met.</li> </ul>	

<ul style="list-style-type: none"> <li>• There were general concerns about what it means to be REDD 'Ready', especially regarding the extent to which centralized readiness reflects actual readiness.</li> <li>• The extent to which the FCPF is able to deliver results-based impacts on the ground and how REDD Countries should fill funding gaps, were two major concerns for the future of the FCPF that emerged.</li> </ul>	
<p><b>Key synergies between data sources:</b></p> <ul style="list-style-type: none"> <li>• Stakeholder and documentary evidence both demonstrate that many REDD Countries have increased their capacity, knowledge-sharing, stakeholder engagement and institutional processes through participation in the FCPF.</li> <li>• Stakeholder and documentary evidence both confirm that there are inefficiencies for some REDD Countries related to the disbursement of finance from the FCPF and in procuring for REDD activities under the FCPF.</li> <li>• Comparison between primary and secondary documentary evidence supported stakeholder responses about the misalignment between differing reporting requirements for global REDD+ efforts.</li> <li>• Concerns, based on documentary evidence of inefficiencies and stakeholder responses, were aligned around if and to what extent the FCPF is able to deliver results-based impacts (i.e. emissions reductions) on the ground.</li> </ul>	<p><b>Key divergences between data sources:</b></p> <ul style="list-style-type: none"> <li>• There was divergence between documentary and stakeholder evidence regarding what it means to be REDD 'Ready', especially to what extent country level (i.e. centralized) readiness reflects actual readiness (e.g. local level readiness vs. country level readiness).</li> <li>• There was divergence between stakeholders about the adequacy of the level of financing available through the FCPF in relation to country need (e.g. size, readiness, and capacity).</li> <li>• There was a divergence between understanding of some stakeholders about the role of the FIP in supporting readiness, and documentary evidence regarding participation of Country Participants in the FIP. Additionally, evidence diverged around the question of how REDD Countries should fill readiness funding gaps.</li> </ul>
<p><b>Independent Assessment Findings:</b></p> <ul style="list-style-type: none"> <li>• The FCPF has contributed to national REDD Readiness with recognizable country-driven benefits. The FCPF provided an opportunity to build capacity, strengthen institutions, share knowledge, receive technical and financial support, and inform and support national processes all around REDD+.</li> <li>• The challenges arising from FCPF support included the efficiency of the Program at the country level, technical issues, complying with Delivery Partner policies, managing expectations, the level of financing (especially for Emission Reduction Programs), and the alignment of the FCPF with other global efforts.</li> <li>• The FCPF has provided extensive support in preparing countries to undertake REDD Readiness planning (i.e. R-PPs) and its initial implementation. Many REDD countries were able to foster the national REDD+ agenda and demonstrate ownership of REDD+ processes.</li> <li>• The FCPF demonstrated limited effectiveness in supporting countries to undertake advanced stages of REDD+ Readiness.</li> <li>• There is a lack of clarity on how Emission Reduction Programs under the Carbon Fund will be financed to ensure that they can yield emission reductions. There are different viewpoints on how</li> </ul>	

this could occur, but no common guidance on how to finance the program implementation costs upfront.

**Conclusions:**

The FCPF was effective in supporting REDD Countries to undertake the planning stages of REDD+ Readiness and to initiate preliminary steps towards REDD+ Readiness implementation. This is evident from the number of R-PPs endorsed and Grant Agreements signed by FY15, which exceeded the targets stated in the M&E Framework. The FCPF succeeded in delivering financial and technical support to most REDD Countries in addition to general recognition of contributing to capacity building and knowledge sharing on REDD Readiness. However, the support from the FCPF was not without its challenges; efficiency in disbursements at the country level, navigating Delivery Partner policies, and technical complexities led to delays in the FCPF Program advancing in accord with expectations. As a result, the FCPF has had limited effectiveness in reaching advanced stages of readiness at the portfolio level, with only nine Mid-Term Reviews presented by June 2015 (the target was 20 Mid-Term Reviews).

The FCPF has not been effective in supporting REDD Countries to pilot a Results-Based Framework for emission reductions. As of December 2015, no REDD Country had signed an ERPA, despite the stated ERPA targets for 2015. On the other hand, the number of ER-PINs has exceeded the target, and the FCPF has been particularly effective in generating interest from REDD Countries to pilot REDD+ and develop ERPs.

REDD Countries have mounting concerns about how to manage growing expectations from different stakeholders. In addition, REDD Countries are coming to the realization that REDD+ is going to be a challenge to implement according to a set schedule and that there are still milestones which can potentially be achieved, like additional financing, although there is no assurance that this financing will be made available. They recognize that clear messages need to be sent from the FCPF in order to effectively manage stakeholder expectations.

**Evaluation Question 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+?**

<b>Primary Documentary Evidence:</b>	<b>Key Informants (by stakeholder group):</b>
<ul style="list-style-type: none"> <li>• Carbon Fund Methodological Framework and Results Based Framework</li> <li>• Carbon Fund Dashboard</li> <li>• FCPF Monitoring and Evaluation Framework</li> <li>• FCPF Annual Reports</li> <li>• FCPF website</li> <li>• FCPF Dashboard</li> <li>• First evaluation report (Baastel 2011)</li> <li>• REDD Country documents (e.g. R-PPs, ERPs, ER-PINs, SESA reports, ESMF matrices, National REDD+ Strategy Frameworks)</li> </ul>	<ul style="list-style-type: none"> <li>• Online survey by REDD Country focal points (respondent numbers: 2, 5, 6, 13, 14, 17, 20, 21, 22, 26, 28, 31, 32, 35, 37, 41, 44, 46, 48, 51, 52, 55, 58, 62, 64, 67, 68, 70, 71, 72, 74, 76, 78, 79, 82, 84, 87, 88, 91, 95, 96, 97, 99, 100, 101, 104)</li> <li>• Tier 2 stakeholders (Multilaterals, Delivery Partners, UN and Other International Organizations, Financial Contributors, NGOs, Other CSOs and Key Informants, Forest Dependent Indigenous Peoples / Forest Dwellers, Private sector, Government)</li> <li>• General stakeholders (Multilaterals, Delivery Partners, UN and Other International Organizations, Financial Contributors, NGOs, Other CSOs and Key Informants, Forest Dependent Indigenous Peoples / Forest Dwellers, Private sector, Government)</li> </ul>

<ul style="list-style-type: none"> <li>• Participants Committee meeting documentation (e.g. Decisions, Presentations)</li> <li>• PC and TAP reviews</li> <li>• REL Toolkit</li> </ul>	
<p><b>Secondary and supporting documentation for review:</b></p> <ul style="list-style-type: none"> <li>• UNFCCC documents (e.g. COP Decisions and Resolutions)</li> <li>• Independent consultancy documents (e.g. REL and MRV reports)</li> <li>• World Bank documents (e.g. Integrated Safeguards Data Sheets)</li> </ul>	
<p><b>Stakeholder comments (presented by stakeholder number to preserve Chatham House Rule):</b></p> <ul style="list-style-type: none"> <li>• See field visit reports for stakeholder comments on evaluation matrix question 4.</li> </ul>	
<p><b>Observations on common emerging themes:</b></p> <ul style="list-style-type: none"> <li>• There are generally effectiveness challenges with the FCPF REDD Readiness process, which are reflected in the ability for REDD Countries and stakeholders to understand, use, and implement the various tools and instruments.</li> <li>• Generally, R-PPs were viewed positively, had contributed to REDD Readiness, and are aligned with global REDD+ efforts.</li> <li>• ER-PINs contributed to REDD Country ownership of the REDD Readiness process due to the template's ease-of-use, but added to concerns about management of stakeholder's expectations.</li> <li>• Easier to use tools were helpful in supporting REDD Readiness, but complex tools slowed down readiness progress and sometimes were misaligned with other global agreements for REDD Readiness.</li> <li>• Not all tools and instruments have been effectively utilized in the REDD Readiness process so far. For some tools and instruments, there was either evidence of a protracted development process (e.g. Methodological Framework), a lack of evidence about their uptake (e.g. Results Based Framework), or a lack of applicability across the entire FCPF portfolio (e.g. REL Toolkit).</li> </ul>	
<p><b>Key synergies between data sources:</b></p> <ul style="list-style-type: none"> <li>• Documentary evidence and stakeholder responses both demonstrated that there were inefficiencies in how long it took for REDD Countries to receive disbursements and sign grant agreements, slowing readiness progression.</li> <li>• Comparison between documentation and among stakeholder responses found alignment around the RAF being the most user-friendly instrument, and the Methodological Framework being the most complex.</li> </ul>	<p><b>Key divergences between data sources:</b></p> <ul style="list-style-type: none"> <li>• SESA requirements resulted in divergent views among stakeholders. Many acknowledged the need for safeguards and consultations, but others found the justification and guidance to be lacking. Documentary evidence supported the view that justification was lacking, especially in the context of multiple and misaligned safeguard approaches for global REDD+ efforts.</li> </ul>
<p><b>Independent Assessment Findings:</b></p> <ul style="list-style-type: none"> <li>• The R-PP template was applied extensively across the FCPF portfolio and was a helpful tool in the planning of REDD Readiness.</li> </ul>	

- The ER-PIN template and its formulation process demonstrated national ownership of the document.
- The ER-PIN template provided no guidance on how to manage uncertainty and stakeholder expectations during formulation consultations.
- The Readiness Assessment Framework was viewed as the most helpful tool, providing structure to chart the progress of implementation of REDD Readiness.
- The template for annual country progress reporting for monitoring and evaluation was well-structured. The traffic light system made reporting simple, but with a variable quality of data.
- The variable quality of data provided by annual country progress reporting across REDD Countries was not suitable for portfolio-level reporting on all aspects of the M&E Framework.
- There is one country example (Guyana) where the application of the Methodological Framework will result in two national Forest Reference Emission Levels for a REDD Country. One Forest Reference Emission Level has already demonstrated conformance with the UNFCCC. Another Forest Reference Emission Level will need to be developed to show conformance with the Methodological Framework.
- There are several Methodological Framework requirements that are more restrictive than UNFCCC requirements (e.g. degradation, adjustment of reference levels, and technical assessment process).
- Financial Contributors weighed the time taken between formulating the Methodological Framework with robustness and addressing the complexity of issues as they arose, making the point that this is the first multilateral framework for results-based payments for REDD+.
- Different stakeholder groups who had varied interests had strong and divergent opinions about the Methodological Framework.
- The FCPF has operationalized the Common Approach, including alignment of safeguard and stakeholder engagement policies relating to matters pertaining to the Common Approach. These efforts have led to increased collaboration between the Delivery Partners as well as with UN-REDD.
- Apart from the joint efforts with UN-REDD, there is no other evidence that the FCPF has contributed to global standards for REDD+ through the implementation of the Common Approach.
- Reporting on the Common Approach lacks consistency across the portfolio, creating challenges for portfolio-level monitoring and evaluation of the Common Approach.
- It is too early to determine the extent to which the IDB and UNDP have implemented the Common Approach, considering that the countries that they are responsible for are only in early stages of REDD Readiness implementation.
- There continues to be a disconnect between UNFCCC and FCPF safeguard requirements. Several systems are required to be in place, which creates additional work for REDD Countries.
- REDD Countries required more in-depth, constant and tailor-made support to implement the guidelines on SESA/ESMF, stakeholder engagement, grievance redress and disclosure of information included under the Common Approach. Capacity building was required, especially in terms of how to navigate different safeguard policies at the country level.

**Conclusions:**

FCPF planning templates for the R-PP and ER-PIN were helpful to REDD Countries in their efforts to commence the formulation of REDD Readiness plans or ideas for Emission Reduction Programs. The

Readiness Assessment Framework was viewed as the most helpful FCPF instrument. It was easy to use and provided a common structure for REDD Readiness.

There were FCPF instruments which were not as useful, difficult to use, or required further clarity. The Methodological Framework, though viewed as robust by Financial Contributors, was viewed as the most technically complicated instrument, and REDD Countries were concerned that considerable technical assistance would be required to demonstrate compliance.

The viewpoints on the SESA/ESMF revealed that there was a disconnect between FCPF safeguard requirements and the UNFCCC. There were expectations that the SESA/ESMF would create participatory processes, but at the same time, REDD Countries felt the additional work. They had hoped for a process that they could use to meet the UNFCCC safeguards, to meet both institutional safeguards through the SESA/ESMF and the UNFCCC safeguards.

The FCPF launched the REDD+ Decision Support Tool too late for some REDD countries to use it. Nonetheless, many countries in the FCPF portfolio can still benefit from the toolkit in the future.

After the approval of the Common Approach in 2011, the FCPF completed the necessary steps to operationalize the system, including independent assessment of the potential Delivery Partners' safeguard policies and signing of transfer agreements with the IDB and UNDP. Furthermore, the FCPF collaborated with the UN-REDD to further elaborate the guidance provided under the Common Approach (such as the stakeholder engagement guidelines) contributing to building global standards for REDD+. The REDD Countries whose REDD Readiness Grants were managed by the IDB and UNDP were in early stages of REDD Readiness implementation; therefore, the evaluation did not have enough evidence to establish to what extent the Common Approach is implemented in the FCPF. Furthermore, the reporting on the Common Approach lacked consistency across the portfolio.

**Evaluation Question 5. To what extent and in what ways has the FCPF supported countries' efforts to achieve high levels of stakeholder engagement?**

<b>Primary Documentary Evidence:</b>	<b>Key Informants (by stakeholder group):</b>
<ul style="list-style-type: none"> <li>• Carbon Fund documents</li> <li>• FCPF documents on the Common Approach, Capacity Building Program for Forest Dependent Peoples and Southern Civil Society Organizations</li> <li>• FCPF Annual Reports</li> <li>• FCPF website</li> <li>• First evaluation report (Baastel 2011)</li> <li>• PC documents (e.g. R-PP template, PC Decisions)</li> <li>• REDD Country documents (e.g. R-PPs, ER-PINs, ToRs for SESA, R-PPs, R-Packages, Annual Progress sheets)</li> <li>• SESA Terms of Reference</li> </ul>	<ul style="list-style-type: none"> <li>• Online survey by REDD Country focal points (respondent numbers: 2, 5, 6, 13, 14, 17, 20, 21, 22, 26, 28, 31, 32, 35, 37, 41, 44, 46, 48, 51, 52, 55, 58, 62, 64, 67, 68, 70, 71, 72, 74, 76, 78, 79, 82, 84, 87, 88, 91, 95, 96, 97, 99, 100, 101, 104)</li> <li>• Tier 2 stakeholders (Multilaterals, Delivery Partners, UN and Other International Organizations, NGOs, Other CSOs and Key Informants, Forest Dependent Indigenous Peoples / Forest Dwellers, Private sector, Government)</li> <li>• General stakeholders (Multilaterals, Delivery Partners, UN and Other International Organizations, NGOs, Other CSOs and Key Informants, Forest Dependent Indigenous Peoples / Forest Dwellers, Private sector, Government)</li> </ul>

<p><b>Secondary and supporting documentation for review:</b></p> <ul style="list-style-type: none"> <li>• FCPF and UN-REDD Country Needs Assessment report</li> <li>• UNDP documents (e.g. Progress Reports)</li> <li>• Other documentation on the Common Approach (e.g. MEMO to the FCPF – Jenkins (2011))</li> <li>• World Bank documents (e.g. Procedural notes)</li> </ul>	
<p><b>Stakeholder comments (presented by stakeholder number to preserve Chatham House Rule):</b></p> <ul style="list-style-type: none"> <li>• See field visit reports for stakeholder comments on evaluation matrix question 5.</li> </ul>	
<p><b>Observations on common emerging themes:</b></p> <p><b>Global level</b></p> <ul style="list-style-type: none"> <li>• The Common Approach was a valuable means of achieving harmonization among Delivery Partners, but stakeholders still struggle to understand them relative to UNFCCC requirements.</li> <li>• There is a lack of mainstreaming with regard to the stakeholder engagement guidelines across the FCPF documentation.</li> <li>• There are has been mixed evidence regarding the level of engagement that IPs and CSOs can expect to have at the global level of the FCPF. Although they have Observer status and separate funding, there is limited transparency in the documentary evidence and funding levels risk leaving them behind on REDD Readiness. For Women, the evidence suggests they are at even greater risk without achieving formalization of Observer status through the appropriate procedures.</li> </ul> <p><b>Country level</b></p> <ul style="list-style-type: none"> <li>• Stakeholder engagement at the country level is variable, with some countries reporting, enacting, and maintaining their mechanisms. Other REDD Countries have been more superficial in their reporting, and using their mechanisms only to fulfil requirements at certain stages in FCPF program. The same situation emerged from the evidence regarding safeguards development and implementation.</li> <li>• There were largely positive views regarding the stakeholder engagement benefits that have come from the FCPF program, particularly concerning the R-PP development process. However, slow progress in readiness has been lamented by stakeholder groups concerned and the mainstreaming of gender issues is still a challenge.</li> </ul>	
<p><b>Key synergies between data sources:</b></p> <ul style="list-style-type: none"> <li>• The benefits of harmonization through the Common Approach were supported across the Delivery Partner related documentary evidence.</li> <li>• There was wide alignment between the different stakeholder groups in supporting the view that the FCPF program (specifically the R-PP) had led to benefits regarding country level stakeholder engagement.</li> </ul>	<p><b>Key divergences between data sources:</b></p> <ul style="list-style-type: none"> <li>• Stakeholder engagement guidelines mainstreaming is not evident between different FPCF documents. There is divergence in the emphasis that they place on referencing and supporting the use of the guidelines.</li> <li>• Intentions of the FCPF in achieving global level stakeholder engagement diverge from the stakeholder responses and supplementary documentary evidence on the level of engagement actually achieved.</li> <li>• There is a major divergence across the portfolio in terms of the degree that they have engaged stakeholders and developed safeguards at the country level, as evidenced by divergence in stakeholder and documentary evidence on the</li> </ul>

quality and transparency of these processes for individual countries.

***Independent Assessment Findings:***

- There has been an increase in overall IP and CSO engagement in the FCPF at the global level since the first evaluation.
- IP and CSO Observers still consider the partnership between them and the FCPF as being constructive and positive.
- There was a lack of resources for the Observers to fulfil some of their tasks as described in their Terms of Reference, especially regarding exchanges and communication in the time between meetings.
- The implementation the CBP's Phase II has been delayed, which has led to a limited response to the IP's and CSO's expectations of capacity building.
- The budget allocation for CBP is comparably small, compared to its objectives.
- There is a lack of availability and clarity on the formality of the CBP documentation, including Phase I, which does not allow for an evidence-based assessment of the CBP's achievements against its expected results.
- There is wide acceptance among all stakeholder groups that FCPF REDD processes at the country level, especially the R-PP formulation, have been rather inclusive.
- The main points of criticism are the lack of involvement at sub-national levels and misunderstandings of what REDD+ benefits are over time.
- The main source for funding for IPs and CSOs to engage in the FCPF at the country level is through the Capacity Building Program.
- The FCPF reporting mechanism does not collect direct feedback from country-level stakeholders.
- Gender considerations are widely mentioned in FCPF guidance documents, but there was limited evidence of full and effective participation of women in country-level actions.
- Gender mainstreaming in the FCPF has centered around collecting gender-disaggregated data (i.e. the M&E Framework), while other core aspects of gender mainstreaming (e.g. plans for gender inclusion and gender analysis) have received less or no attention.
- Emission Reduction Programs' processes offer the potential for private sector engagement at several levels; however, there is demand for more clearly formulated business cases and that would attract the private sector actors' interest and offer opportunities to de-risk.
- The threshold to join the Carbon Fund (USD 5 million) was considered a barrier for smaller private sector actors to engage in the Carbon Fund.

***Conclusions:***

The FCPF has strengthened stakeholder engagement in several ways during the evaluation period, such as by increasing the number of Observer seats in the FCPF governance structure, by organizing global dialogue events, and by the provision of funding to IPs and CSOs through the Capacity Building Program.

The Capacity Building Program demonstrated both strengths and weaknesses. On the positive side, Phase I achieved the implementation of approximately 30 small grant projects in the REDD Countries. Furthermore, in Phase II, regional intermediary organizations will manage calls for proposals independently through a new delivery mode, which will provide IPs and CSOs with much higher



ownership of their programs. On the other hand, the slow onset of Phase II has raised concerns among the stakeholders about their ability to contribute effectively in the FCPF. Furthermore, the informal nature of the CBP (i.e. lack of clear program documents, indicators of success, and reports) created challenges for an evidence-based evaluation of the Capacity Building Program against its expected results.

The FCPF has also provided a framework for stakeholder engagement, especially through R-PP formulation processes. However, the lack of a comprehensive gender-mainstreaming strategy and deficiencies in private sector engagement at the country level constitute a weakness in the FCPF.

The FCPF Program's country reporting mechanism did not collect direct feedback from IP and CSO country-level stakeholders, and therefore there is a risk of bias and presenting government viewpoints.

**Evaluation Question 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><b>Primary Documentary Evidence:</b></p> <ul style="list-style-type: none"> <li>• First evaluation report (Baastel 2011)</li> <li>• Independent Evaluation Group FCPF evaluation (IEG 2012)</li> <li>• REDD Country documents (e.g. R-PPs, ER-PINs, National REDD+ Strategy Frameworks)</li> <li>• Participants Committee meeting documentation (e.g. Decisions, Presentations)</li> <li>• PC documents (e.g. R-PP template, PC Decisions).</li> </ul>	<p><b>Key Informants (by stakeholder group):</b></p> <ul style="list-style-type: none"> <li>• Online survey by REDD Country focal points (respondent numbers: 2, 5, 6, 13, 14, 17, 20, 21, 22, 26, 28, 31, 32, 35, 37, 41, 44, 46, 48, 51, 52, 55, 58, 62, 64, 67, 68, 70, 71, 72, 74, 76, 78, 79, 82, 84, 87, 88, 91, 95, 96, 97, 99, 100, 101, 104)</li> <li>• Tier 2 stakeholders (Multilaterals, NGOs, Other CSOs and Key Informants, Forest Dependent Indigenous Peoples / Forest Dwellers, Private sector, Government)</li> <li>• General stakeholders (Multilaterals, NGOs, Other CSOs and Key Informants, Forest Dependent Indigenous Peoples / Forest Dwellers, Private sector, Government)</li> </ul>
<p><b>Secondary and supporting documentation for review:</b></p> <ul style="list-style-type: none"> <li>• FCPF and UN-REDD Country Needs Assessment report</li> <li>• National development strategy documents for REDD Countries</li> <li>• World Bank documents (e.g. Country partnership strategies)</li> <li>• REDD Country documents (e.g. Multi-stakeholder meeting minutes, Stakeholder consultation reports)</li> <li>• EU-FLEGT Facility website</li> </ul>	
<p><b>Stakeholder comments (presented by stakeholder number to preserve Chatham House Rule):</b></p> <ul style="list-style-type: none"> <li>• See field visit reports for stakeholder comments on evaluation matrix question 6.</li> </ul>	
<p><b>Observations on common emerging themes:</b></p> <ul style="list-style-type: none"> <li>• Institutionalizing REDD+ at the country level has resulted in been beneficial in many REDD Countries across the portfolio, both for REDD Readiness preparations (e.g. creating national ownership) and for broader impacts (e.g. involvement in a transparent multi-sectoral national dialogue).</li> <li>• The degree of engagement by non-governmental sectors and other Ministries in the multi-sectoral processes in each REDD Country was dependent on country-specific circumstances. Restructuring</li> </ul>	

of Government institutions and institutional arrangements, rent seeking by Ministries interested to retain a higher level of control of the Readiness process and funding, and/or irregular or impermanent engagement by the Government with other sectors were some examples of how multi-sectoral support was weaker in some countries relative to others.

- A major engagement challenge was with non-forestry related actors, who often have a role in driving or preventing deforestation but are not actively integrated into the institutional arrangements and national dialogues in a manner that reflects that role.
- Synergies with other similar programs (e.g. EU-FLEGT Facility) that have already enacted broad multi-sectoral engagement at the country level had increased the success of engagement under the FCPF for some REDD Countries.
- Generally, the private sector has not been engaged effectively nor their interest leveraged across the portfolio; though some examples of effective engagement were noted.
- Reporting on stakeholder engagement varied widely across the portfolio; with some REDD Countries reporting with a high level of transparency and accuracy and other countries reporting limited or no detailed information.

***Key synergies between data sources:***

- Documentary evidence demonstrates that multi-sectoral participation has been a key impact of REDD, which is aligned with findings for a number of stakeholders across the portfolio and generally to the FCPF.
- Documentary, stakeholder and field visit evidence all demonstrated that multi-sectoral coordination occurring under other programs (e.g. EU-FLEGT Facility) was synergistic with those promoted within the FCPF process.
- Documentary evidence and responses from general stakeholders aligned in finding that reporting about multi-sectoral engagement was of variable quality across the portfolio.

***Key divergences between data sources:***

- There were divergences among stakeholders as to the permanence and meaningfulness of the engagement by Country Participants in enacting multi-sectoral participation at the country level. This diverged also from the guidance and aims of the documentary evidence.
- There were divergences in the documentary evidence and between stakeholders as to the degree that non-forestry sector actors are engaged in the REDD Readiness processes, with only some countries actively engaging sectors associated with either driving or preventing deforestation (e.g. agriculture /mining /environmental conservation).
- Private sector engagement challenges were variable across the portfolio, as evidenced by both successful and unsuccessful experiences in different countries. While it was acknowledged that private sector engagement was a country-driven activity, some stakeholder responses noted that further guidance from the FCPF for countries would be helpful.

***Independent Assessment Findings:***

- The R-PP effectively documents the institutionalization of REDD+ in national readiness management arrangements. It also provided guidance on how to include multi-sector actors in institutional arrangements.
- National institutions led coordination at the country level, but the extent of their effectiveness was highly variable. Some of the results can be attributed to the FCPF, which provided financial support for national REDD+ institutions.

- Taking leadership of cross-sectoral dialogues and processes is political. National institutions leading REDD+ processes are vulnerable to the aftereffects of elections (e.g. institutional restructuring and organizational restructuring).
- The extent of and approaches to the involvement of the multi-sectoral actors in institutional arrangements and dialogues for REDD+ are country-specific and vary across the portfolio.
- The formality and reporting on multi-sectoral arrangements was found to be variable during field visits.

**Conclusions:**

Noting that only a REDD Country's government can make the decision to institutionalize REDD+, the Evaluation Team found that the FCPF was, to a certain extent, supporting REDD Countries instituting REDD+ at the country level and providing a basis for arrangements for cross-sectoral, multi-stakeholder dialogue. Nevertheless, a weakness was revealed that this was largely an ephemeral or transitory process in many REDD Countries.

The FCPF provided financial support and tools to document the support towards efforts to involve multi-sectoral actors in institutional arrangements and national dialogues. The R-PP and ER-PIN templates were well designed to document the institutionalization of REDD+ in national readiness management arrangements and provide guidance for what is expected in cross-sectoral coordination. Financial support was used to establish national REDD+ offices, which were tasked with reaching out to multi-sectoral actors. REDD Countries responded by establishing or identifying arrangements that indicated that multi-sectoral arrangements were in place and then documenting them. However, the implementation and extent to which REDD Countries have used these institutional arrangements to involve multi-sectoral actors varied across the portfolio. Usually these institutional arrangements have political linkages and are vulnerable to political processes, such as elections.

Some REDD Countries noted the arrangements in their documents, but had difficulty in arranging regular meetings and ensuring active participation from different sectors. Some REDD Countries were open about their efforts to involve multi-sectoral actors in dialogues and placed regular meeting notes online, but this later point cannot be attributed to the FCPF. Ultimately, it will be on the REDD Countries to ensure that the process is employed in practice.

**Evaluation Question 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><b>Primary Documentary Evidence:</b></p> <ul style="list-style-type: none"> <li>• FCPF Annual Reports</li> <li>• FPCF workshop agendas, presentations, participation lists, and final reports</li> <li>• FPCF Monitoring and Evaluation Framework</li> <li>• FPCF website</li> <li>• FCPF newsletters</li> <li>• Participants Committee meeting documentation (e.g. Decisions, Presentations)</li> </ul>	<p><b>Key Informants (by stakeholder group):</b></p> <ul style="list-style-type: none"> <li>• Online survey by REDD Country focal points (respondent numbers: 2, 5, 6, 13, 14, 17, 20, 21, 22, 26, 28, 31, 32, 35, 37, 41, 44, 46, 48, 51, 52, 55, 58, 62, 64, 67, 68, 70, 71, 72, 74, 76, 78, 79, 82, 84, 87, 88, 91, 95, 96, 97, 99, 100, 101, 104)</li> <li>• Tier 2 stakeholders (Delivery Partners, NGOs, Other CSOs and Key Informants, Forest Dependent Indigenous Peoples / Forest Dwellers, Government)</li> <li>• General stakeholders (Multilaterals, Delivery Partners, NGOs, Other CSOs and Key</li> </ul>
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<ul style="list-style-type: none"> <li>• Carbon Fund Methodological Framework</li> <li>• REDD Countries' Annual Progress Sheets</li> </ul>	<p>Informants, Forest Dependent Indigenous Peoples / Forest Dwellers, Government)</p>
<p><b>Secondary and supporting documentation for review:</b></p> <ul style="list-style-type: none"> <li>• FCPF and UN-REDD Country Needs Assessment report</li> </ul>	
<p><b>Stakeholder comments (presented by stakeholder number to preserve Chatham House Rule):</b></p> <ul style="list-style-type: none"> <li>• See field visit reports for stakeholder comments on evaluation matrix question 7.</li> </ul>	
<p><b>Observations on common emerging themes:</b></p> <ul style="list-style-type: none"> <li>• The Readiness Assessment Framework has been the most useful knowledge product of the FCPF.</li> <li>• The REDD Country Progress Sheets provide little added value for monitoring of the FCPF portfolio.</li> <li>• Knowledge-sharing events are useful for exchanging information and creating networks, especially some South-South learning has been successful.</li> <li>• The FCPF website is challenging to use in a transparent and easily accessible manner, especially for some stakeholder groups.</li> <li>• Information availability is hindered by language skills (e.g. translation) and knowledge capacity (e.g. knowledgeable about certain topics) of various stakeholders.</li> <li>• Standardization and quality of information is variable, and sometimes with limited accessibility.</li> <li>• Knowledge-sharing needs and expectations diverge among REDD Countries (i.e. more or less advanced countries).</li> </ul>	
<p><b>Key synergies between data sources:</b></p> <ul style="list-style-type: none"> <li>• Success in FCPF knowledge-sharing activities demonstrated through documentary evidence and stakeholder responses.</li> </ul>	<p><b>Key divergences between data sources:</b></p> <ul style="list-style-type: none"> <li>• FCPF Annual Reports are not aligned in systematically reporting on REDD Countries' Annual Progress sheets; stakeholders confirmed that some of the information in the Progress Sheets has limited added value.</li> <li>• Divergent views expressed by stakeholders on the usefulness of FCPF website, both among different stakeholder categories (e.g. Tier 2 vs. general stakeholders) and within stakeholder categories.</li> <li>• Views on the benefits of knowledge-sharing diverged between stakeholders, as some saw their country as predominantly learning and other saw their country as providing more knowledge than learning.</li> </ul>
<p><b>Independent Assessment Findings:</b></p> <ul style="list-style-type: none"> <li>• The REDD Country Focal Points perceived the FCPF to be a useful platform for knowledge sharing for REDD+. However, the degree of importance of the FCPF as a knowledge-sharing platform differs from country to country.</li> <li>• Examples of utilizing FCPF knowledge products existed, but systematic reporting on stakeholder feedback of FCPF knowledge products was unavailable.</li> </ul>	

- Although the FCPF Draft Framework Strategy for Knowledge Management and Communications is being implemented, it is based on internal working documents instead of a formal and complete strategy document.
- The M&E Framework does not provide a useful tool for monitoring and evaluating the success of FCPF's knowledge-sharing and communications activities.
- The FCPF has continued providing several opportunities every year for REDD Countries to actively participate in South-South learning in collaboration with other institutions working on REDD+.
- Only limited evidence was available to demonstrate how the FCPF measured learning from its knowledge-sharing activities.
- Stakeholder viewpoints and experiences on the usefulness of the FCPF website and the materials that it contains were divergent, but the opinions were not linked to any stakeholder group specifically.
- The FCPF has increased its visibility and the availability of documents on its website and on social media during the evaluation period. However, materials tailored for different audiences were scarce, including translations.
- IPs and CSOs had low visibility in the FCPF website.

**Conclusions:**

At the global level, the FCPF has promoted knowledge sharing between stakeholders at the global level through its website, social media and global events during and between its PC meetings. The FCPF has also continued to provide several opportunities per year for active global and regional South-South learning in collaboration with other institutions working on REDD+. In this context, the vast majority of REDD Country Focal Points considered the FCPF to be a useful platform for knowledge sharing, while all REDD Countries relate differently to the FCPF as a knowledge-sharing platform. Similarly, the FCPF has targeted certain stakeholder groups less than others, such as the private sector, IPs and CSOs, with its knowledge-sharing activities, especially at the country level. Furthermore, the lack of a formal Strategy for Knowledge Management and Communications without a clear definition of terms and the absence of systematic data collection and reporting meant that progress on the Framework Strategy on Knowledge Sharing and Communication could not be fully evaluated.

**Evaluation Question 8. To what extent and in what ways has the FCPF responded to the recommendations of earlier evaluations?**

<p><b>Primary Documentary Evidence:</b></p> <ul style="list-style-type: none"> <li>• FCPF Annual Reports</li> <li>• FCPF documents (e.g. on the Common Approach, Rules of Procedure, Review templates)</li> <li>• FCPF Monitoring and Evaluation Framework</li> <li>• First evaluation report (Baastel 2011)</li> <li>• FMT management response</li> <li>• Independent Evaluation Group FCPF evaluation (IEG 2012)</li> </ul>	<p><b>Key Informants (by stakeholder group):</b></p> <ul style="list-style-type: none"> <li>• Tier 2 stakeholders (Multilaterals, Delivery Partners, UN and Other International Organizations, Financial Contributors, NGOs, Other CSOs and Key Informants, Forest Dependent Indigenous Peoples / Forest Dwellers, Private sector, Government)</li> <li>• General stakeholders (Multilaterals, Delivery Partners, UN and Other International Organizations, Financial Contributors, NGOs, Other CSOs and Key Informants, Forest Dependent Indigenous Peoples / Forest Dwellers, Private sector, Government)</li> </ul>
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<ul style="list-style-type: none"> <li>• PC documents (e.g. R-PP template, PC Decisions and Resolutions).</li> </ul>	
<p><b>Secondary and supporting documentation for review:</b></p> <ul style="list-style-type: none"> <li>• FCPF and UN-REDD Country Needs Assessment report</li> <li>• Other country level documents (e.g. Annual reports on REDD+)</li> </ul>	
<p><b>Stakeholder comments (presented by stakeholder number to preserve Chatham House Rule):</b></p> <ul style="list-style-type: none"> <li>• See field visit reports for stakeholder comments on evaluation matrix question 8.</li> </ul>	
<p><b>Observations on common emerging themes:</b></p> <ul style="list-style-type: none"> <li>• Most of the recommendations of the first evaluation were either achieved or partially achieved. However, some of the recommendations were not achieved or at least need more efforts to be fully achieved.</li> <li>• For some of the recommendations, there was a high level of achievement across the portfolio and for others there was a wide variation in the level of achievement between REDD Countries. Contributing factors to successful achievement included the centralization of the recommendation (i.e. was it required at the global level or country level or local level), and the individual role of the FCPF and REDD Countries in driving achievement (i.e. was it the FCPF's, countries', or a joint responsibility for achievement).</li> <li>• Recommendations concerning communications, private sector participation and engagement, the Carbon Fund, and governance and institutional improvements were noted as needing further attention or, in the case of the latter, as lacking evidence.</li> </ul>	
<p><b>Key synergies between data sources:</b></p> <ul style="list-style-type: none"> <li>• As noted in other sections of the final report, there were key synergies between the evidence documents that demonstrated either achievement, partially achievement or lack of achievement for each of the recommendations.</li> <li>• Enhanced co-ordination between the FCPF and UN-REDD was demonstrated through documentation and stakeholder responses.</li> <li>• A lack of achievement regarding the first evaluation's recommendations directed at the Carbon Fund was noted by documentary evidence and stakeholder responses.</li> </ul>	<p><b>Key divergences between data sources:</b></p> <ul style="list-style-type: none"> <li>• Wide variation across the portfolio, in terms of co-ordination with the private sector, and other partner organizations (e.g. bilateral programs) and programs (e.g. PES), was confirmed through documentary evidence and stakeholder responses. There were divergences both in the degree of and continuity of co-ordination, and in the number of linkages achieved.</li> </ul>
<p><b>Independent Assessment Findings:</b></p> <ul style="list-style-type: none"> <li>• Most recommendations were achieved or partly achieved, and those that were not achieved continued to be weaknesses during the second evaluation period.</li> </ul>	

**Conclusions:**

Response to the previous evaluation was provided by means of several avenues, specifically the response of World Bank management, PC/PA decisions, FMT notes and REDD Country actions.

This evaluation found that the FCPF had either achieved or partially achieved most of the recommendations from the first evaluation. The Evaluation Team found that the recommendations from the first evaluation that had been agreed on but not implemented also represented key points of weakness in this evaluation: namely, engagement with the private sector and the FCPF's Communications and Knowledge Management Strategy.

Overall, the FCPF was only partially compliant with the OECD DAC Evaluation Quality Standards with respect to *Standard 4.2: Systematic response to and follow up on recommendations*. The response of World Bank management complied with the standard. The PC did not issue a response to the first evaluation recommendations, even though they were targeted in the evaluation report. Therefore, the PC did not comply with the OECD DAC Evaluation Quality Standards.

**Evaluation Question 9. To what extent and in what ways has the FCPF contributed to broad and long-term change beyond its short-term effects?**
**Primary Documentary Evidence:**

- FCPF Monitoring and Evaluation Framework
- FCPF Annual Reports
- FCPF website
- FCPF Dashboard
- Paris Agreement
- UNFCCC COP Decisions
- REDD Country documents (e.g. R-PPs, ERPs, ER-PINs, R-Packages, National REDD+ Strategy Frameworks)

**Key Informants (by stakeholder group):**

- Online survey by REDD Country focal points (respondent numbers: 2, 5, 6, 13, 14, 17, 20, 21, 22, 26, 28, 31, 32, 35, 37, 41, 44, 46, 48, 51, 52, 55, 58, 62, 64, 67, 68, 70, 71, 72, 74, 76, 78, 79, 82, 84, 87, 88, 91, 95, 96, 97, 99, 100, 101, 104)
- Tier 2 stakeholders (Multilaterals, Delivery Partners, UN and Other International Organizations, Financial Contributors, NGOs, Other CSOs and Key Informants, Forest Dependent Indigenous Peoples / Forest Dwellers, Private sector, Government)
- General stakeholders (Multilaterals, Delivery Partners, UN and Other International Organizations, Financial Contributors, NGOs, Other CSOs and Key Informants, Forest Dependent Indigenous Peoples / Forest Dwellers, Private sector, Government)

**Secondary and supporting documentation for review:**

- Other secondary literature (e.g. Kishwan 2014)

**Stakeholder comments (presented by stakeholder number to preserve Chatham House Rule):**

- See field visit reports for stakeholder comments on evaluation matrix question 9.

**Observations on common emerging themes:**

- The Results Chain reflects the piloting nature of the initiative.
- No emissions reductions have been measured and rewarded.
- Not many REDD Countries in advanced REDD Readiness.

<p><b>Key synergies between data sources:</b></p> <ul style="list-style-type: none"> <li>• Emission Reductions have not been implemented “timely”.</li> </ul>	<p><b>Key divergences between data sources:</b></p> <ul style="list-style-type: none"> <li>• Targets are realistic/unrealistic.</li> <li>• The FCPF is a global standard.</li> <li>• The Common Approach is successfully implemented (see Question 5).</li> </ul>
<p><b>Independent Assessment Findings:</b></p> <ul style="list-style-type: none"> <li>• The FCPF has been catalytic in responding to and structuring a program for REDD+ Readiness, with the R-PP and Readiness Assessment Framework, based on UNFCCC COP Decisions and Agreements. It is unclear to what extent FCPF learning and experiences have fed into UNFCCC REDD+ COP decisions.</li> <li>• It is unclear to what extent the FCPF will reduce emissions in the long term, as it has yet to pilot the legal aspects of its incentive mechanism (i.e. ERPA). The strong demand to join the Carbon Fund and intentions stated in INDCs by REDD Countries indicate that the FCPF Program has potential to contribute to emission reductions in the future.</li> <li>• Joint FCPF-UNREDD templates and guidance improve the potential for globally recognized standards for REDD+.</li> <li>• Land tenure was viewed as an important prerequisite for successful implementation of REDD+. However, it was viewed as a key risk and potential barrier to the implementation of Emission Reduction Programs.</li> <li>• The FCPF has contributed to improved participatory decision-making processes and governance, especially at the global level.</li> </ul>	
<p><b>Conclusions:</b></p> <p>The findings show that the FCPF has put some important rudimentary processes in motion, but it is still unclear to what extent these processes and their outputs will lead to long-term change. Furthermore, there are external and internal factors learnt during the evaluation period which have the potential to affect the FCPF’s contribution to the achievement of long-term change. These include processes that can cause delays to impacts (e.g. external: UNFCCC, internal: design of Results-Based Framework).</p> <p>Of the fourteen outputs in the FCPF results chain, at least seven (50%) were not attained at the time of this evaluation. The findings above show that the intermediate impacts designed in the initial theory of change were dependent on the successful operationalization of the Carbon Fund or that most REDD Countries in the portfolio were in the advanced stages of REDD Readiness implementation (i.e. had disbursed at least 50% of their initial FCPF financing and conducted a Mid-Term Review). Critical assumptions in the design of the logical framework did not take into account the potential risks to efficiency within the program, or how results and outputs, as well as intermediate impacts, are linked with disbursement efficiency as well as technical efficiency (input and time required to achieve an output).</p> <p>There are intermediate impact indicators, but they require a larger number of REDD Countries to be in the advanced stages of REDD implementation (I.3.B SESA, I.2.B MRV) before a fair assessment can be made. There are some intermediate impacts for which there was not available evidence to produce a finding or make a judgement on the likelihood of attaining intermediate impact. Land tenure was an area where there is emerging evidence of a growing risk that has not been considered in the logical framework as an assumption, and it could affect the attainment of intermediate impacts. The only impact assumption made in the Proposed Revised Logical Framework was that “Global climate change</p>	



negotiations under the UNFCCC remain supportive,” which was the case throughout the evaluation period. The issues above reiterate the importance of efficiency in the FCPF program.

**Evaluation Question 10. How efficiently and effectively have the FCPF superstructure groups performed the roles expected of them?**

<p><b>Primary Documentary Evidence:</b></p> <ul style="list-style-type: none"> <li>• Carbon Fund Dashboard</li> <li>• FCPF Monitoring and Evaluation Framework</li> <li>• FCPF Performance Measurement Framework</li> <li>• FCPF Annual Reports</li> <li>• FCPF website</li> <li>• FCPF Dashboard</li> <li>• REDD Country documents (e.g. R-PPs, ERPs, ER-PINs, R-Packages, National REDD+ Strategy Frameworks)</li> <li>• PC Resolutions</li> <li>• GRPPs Sourcebook (2007)</li> </ul>	<p><b>Key Informants (by stakeholder group):</b></p> <ul style="list-style-type: none"> <li>• Online survey by REDD Country focal points (respondent numbers: 2, 5, 6, 13, 14, 17, 20, 21, 22, 26, 28, 31, 32, 35, 37, 41, 44, 46, 48, 51, 52, 55, 58, 62, 64, 67, 68, 70, 71, 72, 74, 76, 78, 79, 82, 84, 87, 88, 91, 95, 96, 97, 99, 100, 101, 104)</li> <li>• Tier 2 stakeholders (Multilaterals, Delivery Partners, UN and Other International Organizations, Financial Contributors, NGOs, Other CSOs and Key Informants, Forest Dependent Indigenous Peoples / Forest Dwellers, Private sector, Government)</li> <li>• General stakeholders (Multilaterals, Delivery Partners, UN and Other International Organizations, Financial Contributors, NGOs, Other CSOs and Key Informants, Forest Dependent Indigenous Peoples / Forest Dwellers, Private sector, Government)</li> </ul>
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**Secondary and supporting documentation for review:**

- CIF Evaluation (ICF 2014)

**Stakeholder comments (presented by stakeholder number to preserve Chatham House Rule):**

- See field visit reports for stakeholder comments on evaluation matrix question 10.

**Observations on common emerging themes:**

- Tailor-made technical support from the FMT contributes to improved efficiency at the country level.
- The FMT and Delivery Partners provide important technical support to REDD Countries in most cases.
- The Readiness Fund had resulted in more leveraged finance than the Carbon Fund

<p><b>Key synergies between data sources:</b></p> <ul style="list-style-type: none"> <li>• Disbursements at the Country level have been slow</li> <li>• The Methodological Framework is technically complex and took longer to develop than expected.</li> <li>• Efficiency of the program has been poor, and has affected the effectiveness and achievement of results.</li> </ul>	<p><b>Key divergences between data sources:</b></p> <ul style="list-style-type: none"> <li>• There are diverse viewpoints and expectations on Delivery Partners for the FCPF.</li> </ul>
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## ***Independent Assessment Findings:***

### **Readiness Fund**

- The Readiness Fund continued to attract contributions between FY11–FY15.
- The efficiency of the Readiness Fund has improved and grants have doubled on an annual basis since 2011.
- The Readiness Fund was still not meeting one of the efficiency targets set forth in its M&E Framework (i.e. 60% of countries with a disbursement rate, which is in line with the agreed Readiness Preparation grant).
- The cost-item of REDD Methodology support was lower than expected in FY15 because there were fewer R-Packages submitted than expected.
- Poor efficiency in country-level disbursement has affected the effectiveness of the FCPF in supporting REDD Readiness implementation.
- The criteria for the allocation of additional financing under the Readiness Fund did not take into account the full proposal for improvement under the first evaluation's recommendation on differentially sized grants.

### **Carbon Fund**

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

### **Outputs**

- REDD Countries require compliance with Delivery Partners' due diligence procedures and their national legislation to procure goods and services under the FCPF.
- Navigating procurement policies and the due diligence procedures of Delivery Partners created a challenge for REDD Countries and commonly led to delays in country-level disbursements.
- The level of development of a REDD Country (e.g. middle-income, LDC) had an insignificant impact on the efficiency of their total process time.
- Streamlining processes for signing Grant Agreements and submission of the R-PP demonstrated improvements in efficiency, and REDD Countries that recently joined the FCPF have benefited.

### **Leveraging**

- Templates for planning programs (e.g. R-PP, FIP Investment Plan template) included guidance and instructions for reporting leveraging and co-financing opportunities at the country level.
- The UN-REDD Programme and bilateral programs provided the bulk of co-financing and leveraged resources for REDD Readiness.
- Inefficiencies in REDD Readiness disbursements and program implementation led to misalignments in the coordination of some national REDD Readiness efforts. There were some cases where bilateral and multilateral programs financed activities initially scheduled for the FCPF, in order to ensure progress on national REDD+ processes.

- REDD Countries and some multilateral staff viewed the FIP as an important program for supporting REDD+ and a core source of financing for filling larger gaps in national REDD+ financing.
- There is ambiguity in reported leveraged financing in FCPF Annual Reports for the implementation of R-PPs and implementation of ERPs. The reported amounts are not consistent with stakeholder interviews or ER-PIN documentation. The discrepancy can be partially attributed to the Annual Country Progress Reporting.

#### **The Performance of Superstructure Groups**

- Tailor-made technical support from the FMT contributes to improved efficiency at the country level.
- The FMT and Delivery Partners provide important technical support to REDD Countries in most cases.
- There is a lack of clarity to what extent the FCPF gets priority for country-level portfolio management across the FCPF portfolio. Financial Contributors expect high priority to be placed on the FCPF because of the technical support needed by REDD Countries.
- There were no annual country reports to the FCPF from the World Bank as Delivery Partner. The IDB and the UNDP were required to provide annual country reports as part of their Transfer Agreements.

#### **Conclusions:**

##### **Disbursement**

The performance of the FCPF has been inefficient, especially with respect to disbursement, which has affected the FCPF's effectiveness in achieving outputs. Some of the inefficiencies were due to external factors beyond the FCPF's control and other factors were internal to the FCPF.

REDD Readiness implementation across the portfolio has not advanced according to targets or expectations (MTRs, R-packages). There were both external and internal reasons for the slow progress.

The Carbon Fund also experienced inefficiencies, but for different reasons than the Readiness Fund. The Carbon Fund's Results-Based Framework required development. Considerable resources went into developing a robust (though technically complex) Methodological Framework and developing guidance and procedures for rewarding results from emission reductions. As a consequence, the Carbon Fund did not disburse financing for emission reductions during the period of the evaluation, even though it continued to acquire significant capitalization.

##### **Leveraging**

Through triangulation of documents with stakeholder comments, this evaluation found that the Readiness Fund has resulted in more leveraged financing than the Carbon Fund. This contradicted the FCPF Annual Report 2015 (FCPF 2015a). The Evaluation Team determined that REDD Readiness financing was slow to be disbursed and, as a result, the FIP and bilateral programs filled financing gaps. This had an unintentional leveraging response. The plans and documents of the FCPF (and FIP) presented well-reasoned design processes with the intention of leveraging and synergizing. However, the realities on the ground were very different in many REDD Countries. It can be argued that the FCPF helped to leverage additional funding sources, but due to weak synergy with complementary programs, mainly due to disbursement inefficiency, an unintentional leveraging response resulted.

##### **The Performance of Superstructure Groups**

There are diverse viewpoints on, and expectations surrounding, the performance of Delivery Partners for the FCPF. In most cases, REDD Countries acknowledged that staff working for Delivery Partners

had either facilitated or provided technical support. Financial Contributors mentioned that further support was needed to push through REDD Country-led processes, such as procurement to implement REDD Readiness. Financial contributors also expected FCPF Delivery Partners to provide stronger technical support, not only to the FCPF, but to other multilateral programs. The FMT increased its human resources and had a positive effect on improving efficiency, as it provided more country-tailored technical support. As a result, the Carbon Fund has attracted a supply of ER-PINs that exceeded its target.



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Annex 12

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**The Evaluation Report's Conformance with the OECD/DAC  
Quality Standards: Self Assessment**

## ANNEX 12 Quality Assurance Self-Assessment for the FCPF Evaluation

To check that the OECD DAC Quality Standards have been applied throughout the 2nd Evaluation Report of the FCPF, the evaluation team have developed a tool to check that the quality of the report meets the minimum OECD DAC quality standards. When deviating from, or going beyond the standards, further explanations are given. The standards come from Chapter Three of the OECD DAC (2010) Quality Standards for Development Evaluation: Implementation and Report.

### Implementation and Report

Standard	Criteria	Self-Assessment	
3.1 Evaluation Team	A transparent and open procurement procedure is used for selecting the evaluation team. The members of the evaluation team possess a mix of evaluative skills and thematic knowledge. Gender balance is considered and the team includes professionals from partner countries or regions concerned.	Competitive bidding led to selection of the Evaluation Team. Evaluation Team consisted of 17 persons representing different skills and knowledge. The Team Leader was changed at the end of inception period. Another core team member finished her contract mid-way through the evaluation process. Any team substitutions were proposed and approved by the client representative. The Evaluation Team possessed a mix set of evaluation skills and experience, including large program evaluations. Thematic skills in the team included REDD+, social inclusion, safeguards, institutions, GHG inventories, climate negotiations, corporate social responsibility, etc.	✓
3.2 Independence of Evaluators Vis-À-Vis Stakeholders	Evaluators are independent from the development intervention, including its policy, operations and management functions, as well as intended beneficiaries. Possible conflicts of interest are addressed openly and honestly. The evaluation team is able to work freely and without interference. It is assured of co-operation and access to all relevant information.	The Evaluators have not been previously contracted for the implementation of the FCPF. During the Evaluation, potential conflicts of interests of the contracted company (Indufor) and its sister organizations were promptly reported to the Evaluation Facilitator. The Evaluation Team members were not engaged in implementing FCPF contracted work prior to or during the evaluation. The Evaluation Team communicated intensively with the FCPF FMT and the World Bank. These discussions have not, however, influenced the team's independence.	✓
3.3 Consultation and Protection of Stakeholders	The full range of stakeholders, including both partners and donors, are consulted during the evaluation process and given the opportunity to contribute. The criteria for identifying and selecting stakeholders are specified. The rights and welfare of participants in the evaluation are protected. Anonymity and confidentiality of individual informants is protected when requested or as needed.	A list of Delivery Partners and Donors, as well as REDD Countries and Observers to the FCPF was shared with the evaluation team, and given the opportunity for a consultation during the evaluation process. Criteria for selecting and identifying REDD Country stakeholders for different interview protocols is explained and categorized (tier 1,2,3) to reflect the level of depth of interviews. The Chatham House Rule for protecting anonymity of stakeholder respondents was applied throughout the evaluation process. The stakeholder consultation process was extensive.	✓

3.4 Implementation of Evaluation Within Allotted Time and Budget	The evaluation is conducted and results are made available to commissioners in a timely manner to achieve the objectives of the evaluation. The evaluation is carried out efficiently and within budget. Changes in conditions and circumstances are reported and un-envisaged changes to timeframe and budget are explained, discussed and agreed between the relevant parties.	There have been changes to the time and budget of the evaluation. Changes to the timeline have been discussed and agreed between the Evaluation Team and the FCPF FMT Facilitator in consultation with the Oversight Committee. Submission dates and commenting periods have been agreed. Changes in conditions to the evaluation such as the number of field visits have been communicated to the Participants Committee.	✓
3.5 Evaluation Report	The evaluation report can readily be understood by the intended audience(s) and the form of the report is appropriate given the purpose(s) of the evaluation. The report covers the following elements and issues: See 3.6-3.15 below.	The evaluation Report is structured to follow the OECD DAC Guidance. The evaluation target is a complex program, and therefore the evaluation report requires extended presentation of evidence. As a consequence, the report is of considerable length.	✓
3.6 Clarity and Representativeness of Summary	A written evaluation report contains an executive summary. The summary provides an overview of the report, highlighting the main findings, conclusions, recommendations and any overall lessons.	The evaluation report contains an Executive Summary. The summary provides an overview of the report presenting the content of chapters in the final evaluation report. The main findings, conclusions and recommendations are presented in a summarized table in the executive summary. The executive summary presents a key lesson.	✓
3.7 Context of the Development Intervention	The evaluation report describes the context of the development intervention, including: policy context, development agency and partner policies, objectives and strategies; development context, including socio-economic, political and cultural factors; institutional context and stakeholder involvement. The evaluation identifies and assesses the influence of the context on the performance of the development intervention.	The report conforms to all specifications. Chapter 3 describes the development intervention: Policy context is described in Section 3.1 Development agency and partner policies, objectives and strategies, such as World Bank Forest Action Plan FY16-20 and bilateral programs are described in Section 3.1. The international context including UNFCCC developments, SDGs and NY Declaration on Forests is presented in Section 3.1 and 3.2. The evaluation identified the influence of the context, such as UNFCCC developments on the performance of the intervention in Section 3.3	✓
3.8 Intervention Logic	The evaluation report describes and assesses the intervention logic or theory, including underlying assumptions and factors affecting the success of the intervention.	The report conforms to all specifications. Sections 1.1 and 1.2 of the Evaluation Report present the intervention logic, results chain, performance measurement framework, draft proposed logical framework under the FCPF M&E Framework. In addition, Section 6.1 provides an analysis of the intervention logic, including the underlying assumptions affecting the results chain.	✓

<p>3.9 Validity and Reliability of Information Sources</p>	<p>The evaluation report describes the sources of information used (documents, respondents, administrative data, literature, etc.) in sufficient detail so that the adequacy of the information can be assessed. The evaluation report explains the selection of case studies or any samples. Limitations regarding the representativeness of the samples are identified. The evaluation cross-validates the information sources and critically assesses the validity and reliability of the data. Complete lists of interviewees and other information sources consulted are included in the report, to the extent that this does not conflict with the privacy and confidentiality of participants.</p>	<p>The evaluation report conforms to all specifications: Chapter 2 describes sources of information used (documents, respondents, administrative data, literature, etc.) in sufficient detail so that the adequacy of the information can be assessed. Section 2.4 explains how the selection criteria for categorizing the samples was applied. The selection criteria applied across the 47 REDD Countries is cross referenced to Annex 5 in the inception report, which presents an extensive and detailed analysis of how field visits were selected. Section 2.7 presents key data limitations, especially with respect to representativeness of the samples identified and Annex 4 Assessment of Methodologies and Quality of Data also discusses limitations of the methods and data in extensive detail analyzes the validity and reliability of the data. Annex 11 Triangulation Matrices presents cross validation of information sources for each evaluation question. See Annex 2 for complete stakeholder lists.</p>	<p>✓</p>
<p>3.10 Explanation of the Methodology Used</p>	<p>The evaluation report describes and explains the evaluation methodology and its application. In assessing outcomes and impacts, attribution and/or contribution to results are explained. The report acknowledges any constraints encountered and how these have affected the evaluation, including the independence and impartiality of the evaluation. It details the techniques used for data collection and analysis. The choices are justified and limitations and shortcomings are explained.</p>	<p>The evaluation report conforms. Chapter 2 presents the evaluation approach and methodology. Attribution vs. contribution is discussed in section 2.7, and also, when relevant to the results, is discussed within the context and analysis of the evaluation question, such as evaluation question 9 (Section 6.1). See Section 2.5 Data Analysis Methods. Limitations are discussed in Annex 4 Assessment of Methodologies and Quality of Data. The report acknowledges issues affecting the evaluation such as the independence in footnotes with the date and time listed. The choices of methods are justified under Chapter 2.</p>	<p>✓</p>
<p>3.11 Clarity of Analysis</p>	<p>The evaluation report presents findings, conclusions, recommendations and lessons separately and with a clear logical distinction between them. Findings flow logically from the analysis of the data, showing a clear line of evidence to support the conclusions. Conclusions are substantiated by findings and analysis. recommendations and any lessons follow logically from the conclusions.</p>	<p>The evaluation report conforms. The report presents findings in boxes and presents conclusions in Section 7.1 and recommendations in Section 7.2. The Executive Summary presents the logical chain of findings, conclusions and recommendations in a table demonstrating that conclusions are substantiated by findings and recommendations and lessons flow from conclusions presented in the table in the executive summary. Assumptions and judgment criteria for the underlying</p>	<p>✓</p>



	Any assumptions underlying the analysis are made explicit.	analysis are presented within the context for each evaluation question.	
3.12 Evaluation Questions Answered	The evaluation report answers all the questions detailed in the TOR for the evaluation. Where this is not possible, explanations are provided. The original questions, as well as any revisions to these questions, are documented in the report for readers to be able to assess whether the evaluation team has sufficiently addressed the questions, including those related to cross-cutting issues, and met the evaluation objectives.	The Evaluation report conforms. The evaluation report presents answers to questions, with the relevant heading. The Evaluation Report deviates from the Evaluation Questions in the ToR, and reformulated new questions in the inception period under the guidance of, and in agreement with, the oversight committee. This is documented in the inception report, Annex 4 Assessment of Methodologies and Quality of Data and Section 2.7 limitations of the methods and data. Cross cutting issues were identified in the relevant question (Section 5.3).	✓
3.13 Acknowledgement of Changes and Limitations of the Evaluation	The evaluation report explains any limitations in process, methodology or data, and discusses validity and reliability. It indicates any obstruction of a free and open evaluation process which may have influenced the findings. Any discrepancies between the planned and actual implementation and products of the evaluation are explained.	The evaluation report conforms. See section 2.7 on limitations to the data, methods and process. Annex 4 Assessment of Methodologies and Quality of Data provides further explanations on limitations and discusses and scores the validity of data. Annex 4 also acknowledges changes in the evaluation against planned and actual products, such as field visits and Tier 2 interviews.	✓
3.14 Acknowledgement of Disagreements within the Evaluation Team	Evaluation team members have the opportunity to dissociate themselves from particular judgements and recommendations on which they disagree. Any unresolved differences of opinion within the team are acknowledged in the report.	Conforms. The Evaluation Team has discussed the findings extensively and reached consensus on all findings, conclusions and recommendations.	✓
3.15 Incorporation of Stakeholders' Comments	Relevant stakeholders are given the opportunity to comment on the draft report. The final evaluation report reflects these comments and acknowledges any substantive disagreements. In disputes about facts that can be verified, the evaluators investigate and change the draft where necessary. In the case of opinion or interpretation, stakeholders' comments are reproduced verbatim, in an annex or footnote, to the extent that this does not conflict with the rights and welfare of participants.	A commenting period occurred and the draft evaluation report was circulated with FCPF stakeholders by the Evaluation Facilitator of the FMT. The evaluation report reflects these comments and includes factual corrections, and tries to incorporate the recommended improvements from comments. There was a case where a stakeholder's opinion was produced in verbatim as a footnote, without referencing the name or organization of the stakeholder. The evaluators presented, with the delivery of this report, their response to comments in a matrix explaining how and whether the comment was taken on board.	✓



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