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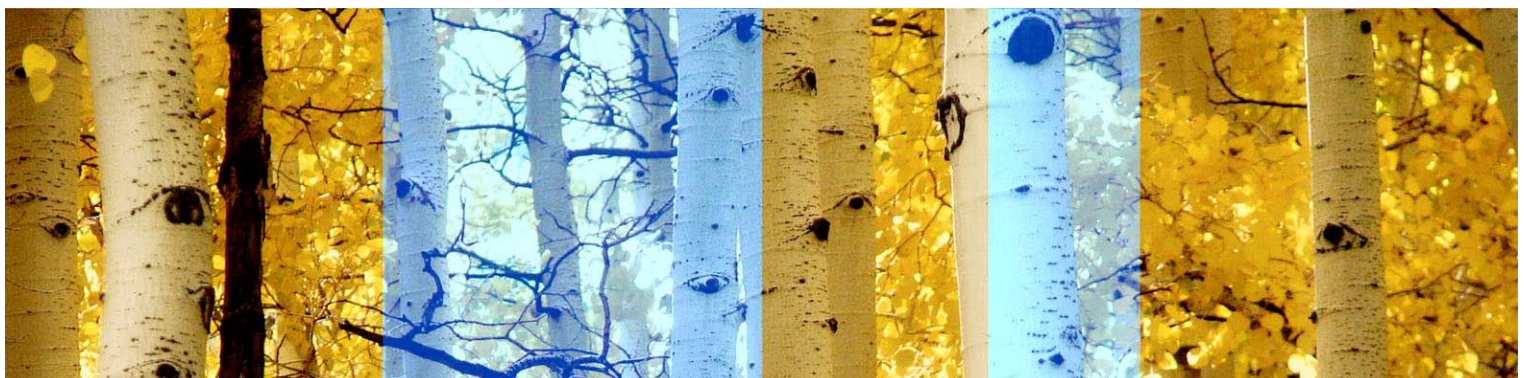
Second Evaluation of the Forest Carbon Partnership Facility

Final Report

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Helsinki, Finland
November 22, 2016

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Second Evaluation of the Forest Carbon Partnership Facility (FCPF) Evaluation Oversight Committee Assessment

November 6, 2016

Background

On behalf of the Participants Committee (PC) of the FCPF, the Evaluation Oversight Committee (OC) was established to ensure quality and timely conduct of the evaluation, dissemination of findings, and the independence of the evaluation¹. The OC comprises 3 Donor Participants, 3 REDD Country Participants, 1 Delivery Partner representative and 3 Observer representatives². The OC was supported with the advice from a Reference Group³ (RG) of two experts to assure quality of the evaluation.

The OC provided feedback to the contracted evaluation team throughout the evaluation implementation period (July 2015 – September 2016), including specifically on the Terms of Reference, the Inception Report and two drafts of the final Report.

Based on the feedback provided by the OC, RG and other stakeholders that provided comments on the preliminary final report, a revised final report was submitted by the evaluation team on September 19, 2016.

The OC wishes to highlight the following points in this context:

- (i) Based on the comments received in response to the first draft, which was shared with the PC on May 20, 2016, it became evident that the draft report did not meet the minimum quality standards for evaluation as set out by the OECD/DAC's guidance on 'Quality Standards for Development Evaluation'. The majority of comments on the draft report shared on May 20, 2016 confirmed that it fell short of presenting clear, balanced, evidence-based conclusions and needed extensive revisions and rewriting to address the technical concerns and gaps identified in the comments. This May 2016 draft report is therefore discarded as it has been

¹ The Global Program Review of the FCPF conducted by the IEG in 2012 recommended that in accordance with good practice the oversight of the global program evaluation be carried out by the program's governing body instead of the Facility Management Team. The program may opt to set up an evaluation steering committee or an oversight committee for ensuring organizational and behavioural independence of the evaluation.

² REDD countries: Argentina, Ghana, Panama and Thailand; Donors: Canada, Norway and UK; CSOs: Transparency International; International Organizations/Private Sector/UN-REDD/UNFCCC: IUCN; Indigenous Peoples: Anglophone Africa; Delivery Partner (WB/UNDP/IDB): World Bank.

³ The Reference Group was composed of one REDD+ expert and one evaluation expert to provide independent review and advice.

superseded by a substantially revised final Report dated September 19, 2016, and editorial changes in November 2016.

- (ii) After the May version of report, the evaluation team shared a preliminary final report with the OC in August 2016. Despite additional comments from the OC, and RG, the OC decided not to request further comprehensive revisions to the August version of the report in order to avoid further delays in timely consideration and implementation of the evaluation's recommendation. The OC requested the evaluation team to address a limited number of priority concerns, mainly targeted at improving the Executive Summary.
- (iii) The OC acknowledges that the evaluation has taken longer than originally anticipated and the final report is overdue. The OC prioritized assuring the overall quality of the report, deciding that a delayed, better quality report was more useful to the FCPF Participants and Stakeholders than a report which could not be considered robust and could not be acted upon.
- (iv) Whilst there remains scope for further improvement, the OC is satisfied that the September 19 version of the final report is much improved and satisfactorily meets OECD/DAC quality standards for evaluations, noting the below mentioned caveats. Balancing the need to act on the evaluation whilst the findings are still relevant, the OC has concluded that the final report is of a high enough standard to develop actions to respond to the recommendations. The final report was delivered within budget, reporting a slight underspend in the budget allocated for the country field visits due to completing 5 rather than 6 case study country visits.

Endorsement of the Final Second FCPF Evaluation Report, with Caveats

The OC wishes to thank the FCPF Participants and Stakeholders for their cooperation and time spent supporting interviews or case studies that have informed the evaluation.

The OC has reviewed the final evaluation report version of September 19, 2016 (attached herewith) and endorses it, subject to the caveats outlined below.

The following list highlights caveats to the OC's endorsement of the report. The list identifies areas that could have been further improved and/or sections that have not been endorsed by the OC:

- Endorsement of the final Report does not necessarily equate to agreement with all of the conclusions.
- Answers to a few questions agreed in the Inception Report are not supported with the same level of in depth analysis. For example, answers to evaluation questions relating to efficiency of the FCPF could have benefitted from assessment of Carbon Fund approval processes of ER Programs and how the lessons learnt from Readiness Fund could be integrated into the Carbon Fund. The section on lessons learnt in one of the drafts was rather weak; it could not be strengthened due to delays in report finalization and was therefore deleted. To some extent this limits the value of the report.
- Whilst the OC recognizes that Annex 4 (Assessment of Methodologies and Quality of Data) states that though there were limitations, there was enough information to draw findings across the portfolio. However, this is not a sufficient or appropriate explanation for the entire list of limitations described in Section 2.7 (Limitations of Data and Methods). In an evaluation, it is standard to discuss each major limitation's effect on the analysis and conclusions. The impact of the limitations described is not clear in the final Evaluation Report.

- The final report could have better reflected the context in which the FCPF operates, and the complexity of REDD+ and its implications. One of the objectives of the second evaluation was to assess the FCPF performance (relevance, effectiveness and efficiency) taking into account the complexity of REDD+ and other limitations. The report discusses the complexities of REDD+ and its implications for FCPF performance, and the proposed recommendations in a very limited way.
- Analysis in many cases flows from evidence to findings. In some cases, there is a leap that is not explained.

The response to recommendations is annexed to the evaluation report. The response has been endorsed by the OC (on behalf of the PC), Delivery Partners, and World Bank Management. As next steps the OC as mandated by the PC, will facilitate the drafting an action plan for implementation of relevant recommendations. A draft action plan will be made available at the twenty third meeting of the PC.

Endorsed by Oversight Committee for the Second FCPF Evaluation on behalf of the Participants Committee of the FCPF

November 6, 2016



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DISCLAIMER

Indufor has made its best effort to provide accurate and complete information, and execute the Assignment in accordance with the terms and conditions of the contract.



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ABBREVIATIONS

APAC	Asia and Pacific
CAFI	Central African Forest Initiative
CBP	Capacity Building Program for Forest-Dependent Peoples
CCBA	Climate, Community and Biodiversity Alliance
CGIAR	Consultative Group for International Agricultural Research
CIF	Climate Investment Fund
CIFOR	Center for International Forestry Research
COP	Conference of the Parties
CPF	Country Partnership Framework
CPS	Country Partnership Strategy
CSO	Civil Society Organization
DAC	Development Assistance Committee (of OECD)
DRC	Democratic Republic of the Congo
e.g.	<i>exempli gratia</i> ('for example')
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
FGRM	Feedback and Grievance Redress Mechanism
FIP	Forest Investment Program
FMT	Facility Management Team
FREL/FRL	Forest Reference Emission Level and/or Forest Reference Level
FY	Fiscal Year (e.g. FY2012 – Fiscal Year 2012)
GCF	Green Climate Fund
GEF	Global Environment Facility
GHG	Greenhouse gas
GRPP	Global and Regional Partnership Program
IBRD	International Bank for Reconstruction and Development
IDA	International Development Assistance



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IDB	Inter-American Development Bank (also, IADB, BID)
i.e.	<i>id est</i> ('that is')
IEG	Independent Evaluation Group
INDC	Intended Nationally Determined Contribution
IPs	Indigenous Peoples
ISDS	Integrated Safeguards Datasheet
ISFL	BioCarbon Fund Initiative for Sustainable Forest Landscapes
JNR	Jurisdictional and Nested REDD+
LAC	Latin America and Caribbean
LDC	Least Developed Country
LoI	Letter of Intent
M&E	Monitoring and Evaluation
MRV	Monitoring, Reporting and Verification
NGO	Non-governmental organization
NICFI	Norway's International Climate and Forest Initiative
OECD	Organization for Economic Cooperation and Development
PA	Participants Assembly
PAs	Participation Agreement
PC	Participants Committee (the FCPF governing body)
PES	Payment for Ecosystem Services
PMF	Performance Measurement Framework
REDD	Reduced (GHG) Emissions from (forest/land) Deforestation and Degradation, usually termed REDD+ to reflect the inclusion of social and environmental safeguards as agreed at the 16th Conference of the Parties to the UNFCCC.
R-Package	Readiness package for reducing emissions from deforestation and forest degradation
R-PIN	Readiness Program Idea Note
R-PP	Readiness Preparation Proposal
SCD	Systematic Country Diagnostic
SDG	Sustainable Development Goals
SESA	Strategic Environmental and Social Assessment
SIDS	Small Island Developing State
TAP	Technical Advisory Panel (of FCPF)
ToR	Terms of Reference
UNDP	United Nations Development Program
UNEG	United Nations Evaluation Group
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
VCM	Voluntary Carbon Market
VCS	Verified Carbon Standard



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PREFACE

The Indufor team conducted the 2nd evaluation of the Forest Carbon Partnership Facility (FCPF) from July 2015 to 2016. An Evaluation Oversight Committee oversaw the evaluation. A Reference Group was constituted and provided independent review by a diverse and respected set of experts. More information on key roles and responsibilities is provided below.

Indufor Team: The Indufor team was selected via international competitive procurement to perform this evaluation. The core evaluation team included Ms Majella Clarke, Ms Petra Mikkolainen, Ms Marisa Camargo, and Mr Nagmeldin Elhassan. Analysts Dr Brent Matthies, Ms Karoliina Lindroos and Ms Julia Maximova supported the core team. Indufor's Quality Managers were Ms Anni Blåsten, Mr Tapani Oksanen and Mr Jyrki Salmi. Dr Marko Katila was the Quality Manager during the finalization of the evaluation reports. Dr Julian Caldecott and Dr Carmenza Robledo participated in the inception and the initial data gathering as well as to the country visits to Ghana and Mexico. Dr Julian Caldecott initially led the team, after the inception phase Ms Majella Clarke took this responsibility. Dr Carmenza Robledo provided comments to the final version. In addition, the following local experts were recruited to support the five field visits for the evaluation:

- Mr Paul Ankrah (Ghana)
- Ms Linjo Johnarson (Madagascar)
- Mr Tim Healy (Madagascar)
- Mr Anish Joshi (Nepal)
- Ms Patricia Valdez (Peru)
- Ms Elsa Esquivel (Mexico).

The Evaluation Oversight Committee was responsible for managing and supervising the evaluation to ensure the quality and timely conduct of the evaluation, and the dissemination of key findings. The Evaluation Oversight Committee reported to and updated the Participants Committee (PC) on the evaluation process, and they were responsible for endorsing the final report and organizing the presentation of evaluation findings for stakeholders. Finally, the Evaluation Oversight Committee prepared an action plan for the implementation of evaluation recommendations. The Evaluation Oversight Committee was composed of the following members:

- Donors; Tore Langhelle (Norway), Beth Nelson, Julia Raybould (UK), Nicolas Duval-Mace (Canada)
- REDD Country Participants: Suchitra Changtragoon (Thailand); Yaw Kwakye (Ghana); Rosalina Lindo (Panama); Mercedes Esperon (Argentina)
- Observer - Daniel Sapit, Indigenous Peoples (Anglophone Africa)
- Observer - Claire Martin, CSOs (Transparency International)
- Observer - Patrick Wylie, International Organization (IUCN)
- Delivery Partner Representative - Benoit Bosquet, World Bank (WB/IDB/UNDP).

The Evaluation Oversight Committee also solicited a representative from Papua New Guinea (PNG).

The Reference Group's purpose was to act in an advisory capacity to the Evaluation Oversight Committee, and it provided overall quality assurance for the evaluation. The Reference Group was not part of the Evaluation Team and was not responsible for the evaluation report. The Reference Group was composed of Dr Jürgen Blaser (REDD+ expert) and Dr Michael Wells (evaluation expert).



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ACKNOWLEDGEMENTS

The Evaluation Team and the Oversight Committee would like to thank the nearly 400 individuals from around the world – including members of civil society, indigenous groups, and the private sector; Financial Contributors and observers; multilateral development bank staff; and government officials – who provided valuable time and input during the interviews, surveys and field visits conducted for this evaluation. A full list of stakeholders consulted is provided in the Annex of the report. We also thank those who provided input during the inception phase.

Acknowledging the exceptional response rate and rich data provided by the online survey, the Evaluation Team would like to thank the 46 Reduced Emissions from Deforestation and Degradation (REDD) Country, FCPF Focal Points that participated in the Survey. In addition, the Evaluation Team would like to thank those persons who participated in the testing of the online survey tool: Aurangzeb Ashraf Awan, Irwansyah Reza Lubis, Nyoman Suryadiputra, Dewi Rizki, Stepri Hakim, Veronica Galmez, Javier Blanco and Andres Hubenthal.

We would also like to thank the staff of the FCPF Facility Management Team (FMT) at the World Bank for their efficient assistance and collegial cooperation and support throughout this process. The Evaluation Team is especially grateful to Dr Neeta Hooda of the FMT for her valuable advice and support.

The authors would like to acknowledge Dr Albion Butters for professional copy editing for this report.



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1. INTRODUCTION

1.1 Purpose and Objectives of the Evaluation

The Monitoring and Evaluation (M&E) Framework of the FCPF mandates the second evaluation of the FCPF for 2015, with the intention to allow for adjustments in order to achieve its results and targets by 2020. The second evaluation comes six years after the FCPF became operational in 2008 and coincides with an agreement on the global architecture for REDD+, known as the Warsaw Framework for REDD+, under the United Nations Framework Convention on Climate Change (UNFCCC).

The purpose of the second evaluation of the FCPF is, first, to contribute towards improving program effectiveness and delivery by providing to the program real-time learning from REDD+ implementation; and, secondly, to contribute to overall alignment with the strategic direction of the FCPF. This is to ensure that FCPF support to REDD/REDD+ Countries (herein REDD Countries) and other stakeholders remains relevant for addressing country-level needs while remaining aligned with the evolving global architecture for REDD+.

The establishment of the FCPF governance structure and most REDD Countries' readiness processes were already underway prior to the start of the second evaluation period. In this respect, the second evaluation focused on a complete assessment of operations of the Readiness Fund, especially implementation at the country level, and early operations of the Carbon Fund. In accordance with the Terms of Reference (ToR; see Annex 1a) for this evaluation, the specific objectives of the second FCPF evaluation were:

1. To ascertain the results (outcomes and early impacts, intended and unintended) and lessons learned from the program.
2. To assess the relevance, effectiveness, and specific aspects of the efficiency of the program, taking into account the complexity of REDD+ and other limitations; and to gauge the influence of response/follow-up actions taken to address the recommendations of the first evaluation and the global program review by Independent Evaluation Group (IEG) 3.
3. To provide findings, conclusions and recommendations with a focus on the following:
 - program delivery at the country level, especially in terms of the REDD Countries' strategic priorities and capacities in Readiness and Emission Reduction Program (ERP) development, their use of analytical instruments developed by the FCPF (e.g. Strategic Environmental and Social Assessment (SESA) and the Methodological Framework), the 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 (e.g. the Forest Investment Program (FIP), United Nations Programme on Reducing Emissions from Deforestation and Forest Degradation (UN-REDD Programme) and Global Environment Facility (GEF)), and the role and contribution of the FCPF at the country level and within the global REDD+ architecture



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- consistency in operations of the Readiness Fund and the Carbon Fund, and lessons from the Readiness Fund that were relevant to the design and implementation of the emission reduction programs under the Carbon Fund
- FCPF actions taken for knowledge sharing at country, regional and global levels for all aspects related to the readiness process.

1.2 Scope of the Evaluation

The second evaluation addressed the FCPF operations during the period of July 2011 to December 2014. Many of the interviews conducted and milestones of the FCPF were in 2015 and 2016. The World Bank's fiscal year (FY) concludes at the end of June; therefore, financial reports up to June 30, 2015 provided annual data in this context. Furthermore, the Evaluation Team accounted for important developments that occurred in the FCPF and the UNFCCC during 2015. The Evaluation Team did this to ensure that conclusions and recommendations reflected the current realities and were not archaic. Therefore, it is important to note that the focus of the FCPF evaluation is on the period between July 2011 and December 2014, taking into account relevant developments and viewpoints in 2015 and 2016.

This evaluation was global in scope and included an assessment of FCPF support to 18 countries in Africa, 18 countries in Latin America and the Caribbean (LAC), and 11 countries in the Asia and Pacific (APAC) Region, which are part of the FCPF readiness portfolio. The evaluation examined experiences, lessons and perspectives in terms of both the Readiness Fund and the Carbon Fund.

The scope of the evaluation is further defined by the FCPF's M&E Framework, which was used to guide this evaluation. Central to the M&E Framework were:

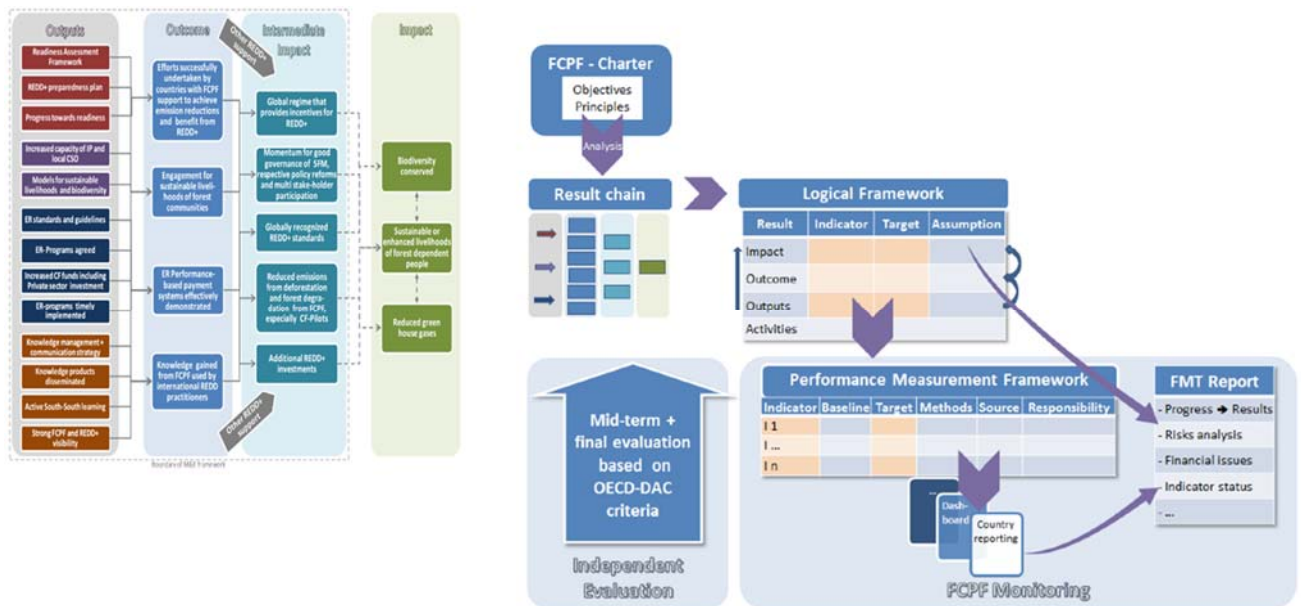
- The **Result Chain** and **Logical Framework** together provided a strategic overview of the FCPF. They support decision-making by illustrating achievement of the main results by the Facility at various levels by means of performance indicators. They include both the monitoring and evaluation efforts at the Facility level.
- The **Performance Measurement Framework (PMF)** is the internal management tool used by the Facility Management Team (FMT) to manage the collection, analysis and reporting of the performance data. It outlines proposed program indicators for each results level, targets, baselines, frequency of data collection, data sources and methods, as well as responsibilities for this data collection and consolidation.

The Evaluation Team treated the Facility-level M&E framework and the country-specific monitoring and evaluation efforts separately. At the country level, the **Readiness Assessment Framework** provided a common framework to measure countries' relative progress on core readiness activities. It represented important input for this evaluation, and it was included in the scope of the assignment. However, this evaluation does not look at each country's performance individually. Instead, it focused on assessing the portfolio-level performance of the FCPF.

Figure 1 shows the building blocks of the M&E Framework with the Logical Framework and the PMF at its center, as well as the regular FMT reporting (internal monitoring) and evaluation (external and independent) functions. The other secondary elements of the M&E framework, including other internal reporting tools such as the dashboard and country reports pictured in the diagram, were also within the scope of the assignment.



Figure 1 The FCPF M&E Framework



Source: Lafontaine et al. (2013)

1.3 Overview of the Report

The structure of the evaluation report has changed from the report outline presented in the Inception Report. The Evaluation Team and the Oversight Committee made the decision to change the final evaluation report outline, based on consensus, with the aim of improving the readability of the report. The current report outline (i.e. this report) follows the evaluation matrix questions.

The evaluation report comprises the following chapters:

Chapter 1 provides an introduction and outline of the evaluation. It presents the purpose and scope of the evaluation.

Chapter 2 presents the approach to the evaluation. It illustrates the different data collection processes, strata of data, and methodologies for analysis.

Chapter 3 provides necessary background reading to understand the context of the evaluation. It discusses the global role and relevance of the FCPF amidst the evolving international REDD+ architecture between 2011 and 2015.

Chapter 4 presents the evidence and findings on relevance. It focuses on understanding why REDD countries joined and participate in the FCPF, and the ways in which the FCPF has responded to countries' strategic priorities. A summary of key findings for the criteria for relevance concludes the chapter.

Chapter 5 addresses the effectiveness of the FCPF at the country level. It explores how the FCPF instruments and processes have performed, and it presents stakeholder viewpoints on the applicability of FCPF instruments, mechanisms and processes. In addition, Chapter 5 reviews how the FCPF has changed since 2011, taking into account the recommendations from the first evaluation. It explores what aspects of the FCPF to replicate in other programs or across the portfolio.



Chapter 6 evaluates the impact, sustainability and efficiency of the FCPF. It assesses the results chain of the FCPF processes, analyzing to what extent these processes go beyond the short term and can catalyze long-term change. Chapter 6 also assesses the efficiency of the FCPF with respect to its outputs, ability to leverage and disbursements. It also evaluates the performance of the FCPF’s superstructure groups. A summary of key findings for the criteria for impact, sustainability and efficiency concludes the chapter.

Chapter 7 presents the conclusions and recommendations for the FCPF.

The evaluation results presented in Chapters 4, 5, and 6 follow a common structure in order to provide consistency and readability. Each section starts with an **evaluation question** presented under its relevant evaluation criteria heading. The evaluation question is based on the evaluation matrix presented in the Inception Report (Annex 5), and they are reproduced in Table 1 below. The **context** provides an introductory section with the necessary background and judgement criteria for analysis in relation to the specific evaluation question. The **answer** to the evaluation question is then given. The answer is different from the conclusions, which are formulated according to the OECD/DAC criteria in Chapter 7. The **analysis and findings** section follows from the answer and presents evidence which has been triangulated to arrive at a finding.

Table 1 presents the alignment of the report structure with the OECD/DAC criteria and the evaluation matrix questions.

Table 1 Report Alignment with Evaluation Questions

Report Section	Evaluation Matrix Question
Relevance	
4.1	For what reason did countries decide to join the FCPF in the first place, and to continue the engagement thereafter?
4.2	To what extent and in what ways has the FCPF responded to countries’ strategic priorities?
Effectiveness	
5.1	To what extent and in what ways has the FCPF supported countries in preparing to undertake REDD+?
5.2	To what extent and in what ways have the various instruments developed by the FCPF been helpful to countries in preparing to undertake REDD+?
5.3	To what extent and in what ways has the FCPF supported countries’ efforts to achieve high levels of stakeholder engagement?
5.4	To what extent and in what ways has the FCPF supported efforts to involve multi-sectoral actors in countries’ institutional arrangements and national dialogues?
5.5	To what extent and in what ways has the FCPF promoted the sharing of knowledge among stakeholders at national, regional and global levels?
5.6	To what extent and in what ways has the FCPF responded to the recommendations of earlier evaluations?
Impact, Sustainability and Efficiency	
6.1	To what extent and in what ways has the FCPF contributed to broad and long-term change beyond its short-term effects?
6.2	How efficiently and effectively have the FCPF superstructure groups performed the roles expected of them?



2. EVALUATION APPROACH AND METHODOLOGY

2.1 Evaluation Approach

The evaluation applied international best practices and guidance in order to ensure an objective, independent, transparent and evidence-based evaluation process, as well as to ensure a participatory, inclusive and open process throughout the assignment. This evaluation used the Organization for Economic Cooperation and Development (OECD) Development Assistance Committee (DAC) (2010) *Quality Standards for Development Evaluation* as a guide to the various elements that comprise a development evaluation.

The OECD/DAC criteria of relevance, efficiency, effectiveness, impact and sustainability to guide the structure of the final report. In addition, the Evaluation Team applied three additional sub-criteria:

- **connectedness:** to assure that activities of a short-term nature are carried out in a context which takes longer-term and interconnected problems into account;
- **coherence:** to assess whether the investment synergized with or interfered with other plans and actions;
- **replicability:** to assess the extent to which lessons emerged during the process to improve actions in the future or in other programs.

The FCPF is a Global and Regional Partnership Program (GRPP). The Evaluation Team applied the IEG (2007) Sourcebook for Evaluating Global and Regional Partnership Programs: Indicative Principles and Standards to this evaluation, since GRPPs have certain features with implications for the evaluation process. 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. Therefore, the Evaluation Team considered the various categories of stakeholders and their diverse interests when planning for this evaluation.

GRPPs, such as the FCPF, take several years to set up, based on the need to build agreements and establish legal frameworks and governance arrangements. Therefore, decisions on which activities to support are programmatically determined rather than fixed in advance, as would be the case with a discrete project. Hence, criteria and processes for allocating resources are important aspects to assess for both relevance and effectiveness. GRPPs also usually evolve over time, based on the availability of financing. Their dependence on funding means that any evaluation of GRPPs should include an assessment of their resource mobilization strategies and the sources and uses of funds available to them. The Evaluation Team considered the maturity of the FCPF program from this viewpoint.

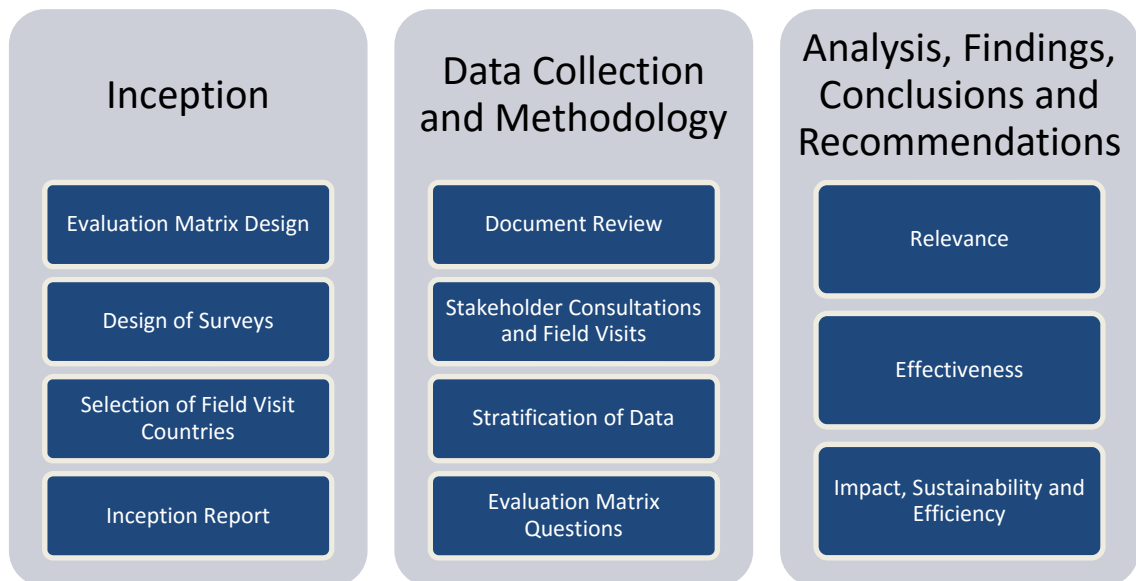
The ToR require that special attention be paid to stakeholder consultations and gender issues in the evaluation. In this respect, the United Nations Evaluation Group (UNEG 2011) *Integrating Human Rights and Gender Equality in Evaluation: Towards UNEG Guidance* was applied to include identification of unintended impacts and outcomes where appropriate and relevant. Additionally, the FCPF and UN-REDD *Guidelines on Stakeholder Engagement in REDD Readiness with a Focus on the Participation of Indigenous Peoples and Other Forest-Dependent Communities* guided the stakeholder consultation process throughout the evaluation. Those guidelines were designed to support effective stakeholder engagement in the context of REDD Readiness specifically for the FCPF (and UN-REDD). The guidelines contain: 1) relevant policies on IPs and other forest-dependent communities; 2) principles and guidance for effective



stakeholder engagement; and 3) practical “how-to” steps on planning and implementing effective consultations.

Three phases were involved in producing the final evaluation report (see Figure 2). The inception phase produced a detailed work plan and a detailed methodological approach. During the inception phase, the FCPF Evaluation Team produced an evaluation matrix to plan and guide the evaluation (Indufor 2015a).

Figure 2 Approach of the Evaluation



The outcome of the inception phase was the Inception Report for the Second Evaluation of the FCPF (Indufor 2015a). The Inception Report provided detailed information on the data collection and analysis methods used in this evaluation (see Annex 5 of this report). The evaluation design and methods were presented at the PC meeting in Costa Rica on November 5th, 2015 and is available on the FCPF website.

2.2 Evaluation Questions, Methodologies and Tools

The evaluation matrix, which guided the evaluation, was comprised of ten evaluation questions consistent with the twenty-five questions from the ToR. Table 2 summarizes the Evaluation Matrix presented in the Inception Report (Annex 5) listing also the tools and methods applied for each evaluation question.



Table 2 Summary of Evaluation Matrix

No.	Evaluation Question	Methods, Tools
1	For what reason did countries decide to join the FCPF in the first place, and to continue the engagement thereafter?	Online survey, interviews, field visits, review of FCPF documents
2	To what extent and in what ways has the FCPF responded to countries' strategic priorities?	Online survey, interviews, field visits, previous evaluation reports, review of FCPF documentation, portfolio review of Readiness Preparation Proposals (R-PPs), review of Intended Nationally Determined Contributions (INDCs), review of selected Delivery Partner Country Engagement strategies (field visits and several others)
3	To what extent and in what ways has the FCPF supported countries in preparing to undertake REDD+?	Online survey, interviews, field visits, portfolio analysis, M&E Framework, FCPF document review
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+?	Interviews, field visits, FCPF document review, review of previous evaluation reports, review of relevant UNFCCC Conference of the Parties (COP) decisions
5	To what extent and in what ways has the FCPF supported countries' efforts to achieve high levels of stakeholder engagement?	Interviews, field visits, FCPF document review, review of previous program evaluations
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?	Field visits, interviews, FCPF document review, portfolio analysis, secondary document review
7	To what extent and in what ways has the FCPF promoted the sharing of knowledge among stakeholders at national, regional and global levels?	Online survey, interviews, field visits, FCPF document review, FCPF website, review of previous evaluation reports
8	To what extent and in what ways has the FCPF responded to the recommendations of earlier evaluations?	Interviews, field visits, document review, review of Baastel and NORDECO (2011), review of IEG (2012), review of World Bank Management response (FMT 2011) to the first evaluation
9	To what extent and in what ways has the FCPF contributed to broad and long-term change beyond its short-term effects?	Interviews, field visits, review of M&E Framework, FCPF document review
10	How efficiently and effectively have the FCPF superstructure groups performed the roles expected of them?	Online survey, interviews, field visits, previous evaluation reports, FCPF document review, financial report analysis, portfolio analysis, timeline creation



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The evaluation drew on primary and secondary sources of information using mixed methods to respond to the evaluation questions. The data collection methods were based upon:

- an in-depth desk review
- online survey
- interviews (remote and face to face)
- announcement on FCPF website for stakeholder feedback
- attendance to PC meetings
- a country-level stakeholder consultation and engagement process
- Field observations from five country visits (Ghana, Madagascar, Mexico, Nepal and Peru).

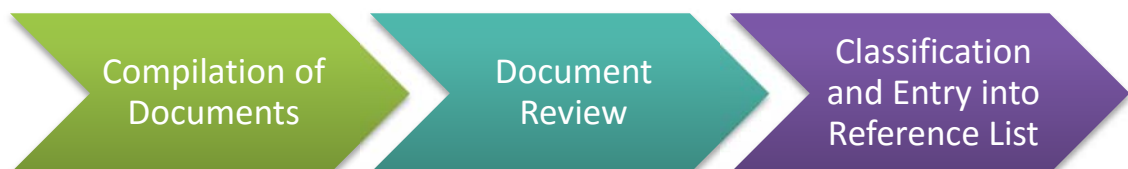
2.3 The Desk Review and Classification Process

2.3.1 Compilation of Documents

The compilation of documents was the first of three steps involved in the desk review and database development process (Figure 3). The Evaluation Team obtained documents and data from a diverse set of sources, including documents on the FCPF website, UN-REDD, governments, Civil Society Organizations (CSOs), and entities involved in the implementation of the FCPF at global and country levels. The initial compilation included 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, Grant Agreements, Technical Advisory Panel (TAP) review comments, Annual Progress Reports.
- **Readiness Fund Documents:** Portfolio (dashboard), meeting summaries, guidelines and templates.
- **Carbon Fund Documents:** Meeting documents, fund and program management, budget proposals, dashboard, Emission Reduction Program Idea Notes (ER-PINs), guidelines, templates and presentations on technical issues.
- **FCPF M&E:** FCPF M&E Framework, FCPF country-level M&E reports, the First FCPF Program Evaluation and the World Bank Management Response (FMT 2011) to it, and relevant templates.

Figure 3 Steps in the Desk Review and Database Development Process



2.3.2 Document Review

As the Evaluation Team identified and compiled relevant documents, the Indufor analyst conducted an initial review of the documents and determined their relevance in relation to specific evaluation questions. The document review focused on FCPF documents, including program documents such as Annual and Financial Reports and



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FCPF country documents, such as the R-PP and Annual Progress Reports. In addition, the document review looked at reports from related programs, such as the UN-REDD and evaluation reports from previous evaluations.

The Evaluation Team then distributed appropriate documents within the team and cited them (see reference list at the end of the evaluation report). The document review provided important input for building evidence used in the triangulation of results.

2.3.3 Document Classification and Entry into Reference List

In the third step, the Evaluation Team classified documents as primary or secondary documentation. Primary documents were evidence for findings. They included those documents directly related to answering the evaluation question and documents which came from the program, such as those outlined in the list on the previous page. Secondary documents supported findings and were external to the FCPF program. Key secondary documentation included the Climate Investment Fund (CIF)/FIP evaluation reports (ICF International 2014), Norway's International Climate and Forest Initiative (NICFI) evaluation report (NORAD 2014), Country Development plans and other pertinent documents. The Evaluation Team has presented documents in the reference list at the end of the evaluation report. In addition, the Evaluation Team used triangulation matrices for each question to demonstrate triangulation of evidence for each question, and to reflect the appropriate category of documentary evidence, distinguishing primary from secondary evidence (see Annex 11).

During the Document Review phase, the Evaluation Team noted that some of the documentation extended beyond the temporal scope of the evaluation period (e.g. the Financial Reports ended with FY15) from 2011–2015.

2.4 Stakeholder Consultations and Field Visits

2.4.1 Interviews

The Evaluation Team conducted semi-structured interviews, both face-to-face and remotely, in accordance with the interview protocol described in Annex 1. In all cases, the Team took detailed notes and shared them internally; they were also sent to the respondent, if requested. The Team obtained most of the names and roles of potential interviewees at the country level from the R-PP sections on Contact Information and Development, and the ER-PIN sections 1 and 2 on responsible entities, partner institutions and authorization. Additional interviewees among FCPF actors included Country, Donor and Carbon Fund Participants, Observers, Delivery Partners, the FMT (including officials responsible for liaison with other Delivery Partners in cooperation with other REDD+ platforms), and current PC Members and Observers. The Evaluation Team sought additional respondents from amongst global organizations and other relevant groups not otherwise included in the previous list.

In addition, the Evaluation Team conducted face-to-face interviews at the following international meetings and countries:

- 20th PC Meeting in Costa Rica (November 4th–6th, 2015)
- 21st PC Meeting in Washington, D.C. (May 3rd–5th, 2016)
- 21st Conference of Parties (COP21) in Paris (December 2015)
- Switzerland, Thailand, Liberia, Finland and Bhutan.



2.4.2 Group Discussions

The purpose of the group discussions was to harvest a range of observations by inviting a group of people to talk about the FCPF in front of the facilitator and each other. Interviews followed the protocol described in Annex 1. The Evaluation Team took notes throughout the group interview process and added a list of participants to the notes in line with best practices.

For the focal group discussions in the field visits, the FCPF and UN-REDD *Guidelines on Stakeholder Engagement in REDD Readiness with a Focus on the Participation of Indigenous Peoples and Other Forest-Dependent Communities* guided the group discussion process. In addition, the Evaluation Team referred to the UNEG (2011) *Integrating Human Rights and Gender Equality in Evaluation: Towards UNEG Guidance*.

2.4.3 Online Surveys

An online survey was developed, tested, modified on the basis of feedback, and then administered in English, French and Spanish. The Evaluation Team sent a link to the online questionnaire (Annex 1) to all National REDD+ Focal Points in all FCPF REDD Countries and requested the questionnaire be completed with input from others, as considered appropriate. The purpose of the online survey was to ensure that all FCPF REDD Countries had an opportunity to have their say. Administration of the survey followed a readily available, low-cost approach (Google Survey), and the survey instrument included a mix of open-ended questions about overall opinions, stakeholder expectations, perceived benefits and costs of participation, and multiple-choice/rating options. The variation in question formats allowed respondents to select pre-determined options and provide open-ended explanations. The Evaluation Team reviewed responses manually and entered the data into an Excel database.

The Evaluation Team sent the online survey to 47 REDD Countries and received 46 Focal Point responses, resulting in a response rate of 98%.

2.4.4 Field Visits

The Evaluation Team conducted field visits to five countries in order to meet multiple country-level stakeholders and to make field observations. Based on the Inception Report's country selection criteria presented in Annex 5 (Pages 27-33) and summarized below in Table 3, the Evaluation Team made field visits to the following countries:

- Ghana (November 2015)
- Mexico (January 2016)
- Peru (January 2016)
- Madagascar (January 2016)
- Nepal (February 2016).

Each field visit produced a report on main stakeholder viewpoints, which are presented in Annex 3 of this report.



Table 3 Summary of the Tier 3 Country Selection Process

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

2.5 Classification of Data and Stakeholder Statistics

2.5.1 Classification of Data

At the end of the second evaluation period, the FCPF portfolio consisted of 47 countries. Due to limited time and human and financial resources, it was not possible to assess the entire portfolio in detail. To capture lessons learned and build conclusions across the portfolio, the Evaluation Team classified REDD Countries into three classes for data collection, referred to as "Tiers." Tiers represent the level of depth of data collection for a country. Tier 3 is the most in-depth data collection level, while Tier 1 is the least in-depth data collection level.

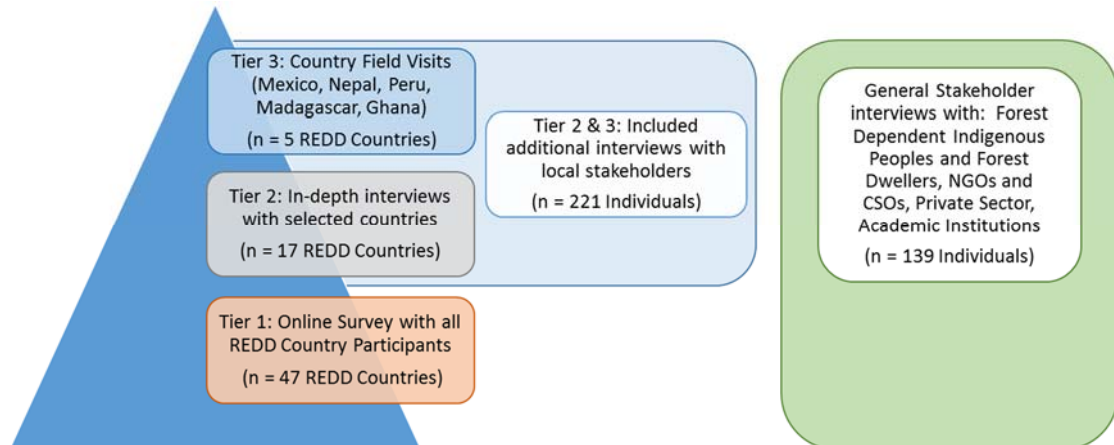
Tier 1: All REDD Countries' Focal Points in the FCPF received an online survey (or answered questions over the phone), and the Evaluation Team reviewed their publicly available data sheets from the FCPF website.

Tier 2: Selected REDD Countries received both the Tier 1 coverage outlined above and a request to participate in remote in-depth interviews. The stakeholders interviewed in each Tier 2 country had an interview protocol applied during the interviews.



Tier 3: Five REDD Countries were selected for a field visit by the Evaluation Team in order to interview a group of country-level stakeholders and to make observations in the field. See Annex 3 of this report for the Field Reports.

Figure 4 Classification of Data Collected from Stakeholders



Annex 2 of this report provides a complete list of stakeholder consultations conducted during the evaluation. There were several changes in the allocation of countries between the Tiers towards the end of this evaluation. See Annex 4 of this report for an explanation of the changes.

2.5.2 Stakeholder Statistics

The main stakeholder groups are listed in Table 4. The Evaluation Team contacted a total number of 945 individual stakeholders in both Tiers 2 and 3 and general stakeholder classes during this evaluation. The stakeholder response rate was 38% (presented in Table 4).

In all, 360 stakeholders participated in interviews for this evaluation. Of the respondents, 27% were from multilateral agencies, Delivery Partners, UN and other international organizations; 8% from Financial Contributors; 20% from non-government organizations (NGOs), CSOs and other key informants; 12% from Forest-Dependent IPs and Forest Dwellers; 10% from the private sector; and 23% from governments.

Table 4 Stakeholder Statistics

Stakeholder Group	Tiers 2 & 3 Stakeholders	General Stakeholders	Sub-Total
Multilaterals, Delivery Partners, UN & Other International Organizations	50	47	97
Donors and Financial Contributors	0	30	30
NGOs, Other CSOs & Key Informants	49	22	71
Forest-Dependent IPs / Forest Dwellers	32	11	43
Private Sector	8	28	36
Government	82	1	83
TOTAL RESPONSES	221	139	360



2.6 Data Collection, Analysis and Triangulation

2.6.1 Triangulation of Findings

Evidence was gathered from different sources and by different means. Within and across information sources and between data collection methods, triangulation was used to verify the robustness and generalizability of information obtained. In this report, whenever possible, evidence from different sources (or different groups within one source) is presented separately, potential biases and over- or underrepresentation of some interest groups are considered, and congruency or discrepancy is commented on before conclusions are drawn by the Evaluation Team. Triangulation involved:

- **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.
- **multiple evaluators**, relying on the fact that a special effort was made in this evaluation to form a team with a mix of evaluative skills and thematic knowledge.

Conclusions for each evaluation question required at least two data sources, with two methods of data collection from more than one evaluator to be considered valid.

The Evaluation Team used multiple methods of analysis to build a chain of evidence. The methods included timeline creation, portfolio analysis, quantitative and qualitative analysis of stakeholders' consultations and survey information, and—most importantly for the validity of the results—feedback analysis.

2.6.2 Hypothesis Building and Testing

The Evaluation Team tested working hypotheses developed through interview feedback or desk reviews and based on additional evidence collected, including follow-up interviews and document review. This iterative process continued throughout the data collection, consultation and analytical phases of the evaluation, where specific evaluation methods, such as triangulation, supported the finalization of conclusions. Hypotheses were tested and presented in the triangulation matrix for each question.

2.6.3 Timeline Creation

Timeline creation involved the development of a coherent, time-ordered sequence of FCPF actions at the program level and country level. The Evaluation Team gathered information from desk reviews and interviews with FCPF and REDD Country knowledge holders. The timeline focused on efforts between July 2011 and December 2014, and it was done for the FCPF as a whole (Chapter 3) and for individual REDD Countries (Annex 10). The timeline showed disbursements from the Readiness Fund, thus helping the Evaluation Team to detect and visualize irregularities and changes requiring explanation as input for discussion of efficiency issues.

The timeline supported the triangulation of results (Annex 11) and contributed to conclusions on whether the FCPF is relevant, in relation to REDD Country capacities, Delivery Partner capacities, FMT capacity and available resources, and managing and meeting its own objectives as outlined in the M&E framework.



2.6.4 Portfolio Analysis

The purpose of carrying out a portfolio analysis was to obtain a full overview of the status of the FCPF (see Chapter 3 of the report). As part of the overall portfolio analysis, the evaluation reviewed R-PPs, Progress Reports, and ER-PINs, noting that these are key documents in the FCPF. The M&E Framework developed in 2013 provided an important benchmark to assess the performance of the FCPF at the portfolio level.

2.6.5 Analysis of Information from Informants

The Evaluation Team entered data from the stakeholder consultation and engagement process into an Excel database, which included key stakeholder identification data, such as the name of the stakeholder, the stakeholder group represented, and their region. The Evaluation Team used the pivot feature for easy referencing and statistical analysis of results. The Team applied descriptive statistical analysis to the survey sample based on the results. When assessing the validity of the survey results, the Evaluation Team considered various factors for both qualitative and quantitative analysis. Factors included sample size, response rate, and the consistency of findings with those obtained through other evaluation methods, such as timeline creation and portfolio analysis.

The online survey for REDD Country Focal Points was aimed at collecting viewpoints from the FCPF Focal Points in the portfolio. It was also used for drawing conclusions across the portfolio and in combination with other evidence in the triangulation process.

Upon the completion of each field visit, the Evaluation Team wrote a field visit report and the REDD Country Focal Points validated the findings. In addition, the field visit team held a debriefing session with the relevant stakeholders after each field visit in order to validate the findings. The FMT validated report data, when relevant. Consistent with best practices, upon the conclusion of each interview, a team member confirmed the main points of discussion with the interviewee.

2.7 Limitations of Data and Methods

Annex 4 contains detailed analysis of the data protocols, methods, design, and implementation of the evaluation. The Annex specifically contains a self-assessment of the quality of the data and the limitations of the data and methods. The following section summarizes the main limitations of the data and methods used in the evaluation.

Online Survey Limitations: The online survey was sent to 47 FCPF Focal Points in REDD Countries, and therefore not all stakeholders in the country were able to have their viewpoints expressed through this survey tool. Therefore, the online survey was a method of collecting viewpoints only common across FCPF Focal Points, and hence it was only used in combination with information collected by means of other methods (e.g. literature review, interviews, field visits). FCPF focal points can change, as can Governments, therefore the online survey results need to be considered carefully in this respect, noting that they reflect an individual's point of view, rather than a Government's official position on the program. In addition, the online survey did not seek out data on cross-cutting issues such as biodiversity and gender.

Lower-quality remote interviews from Africa, LDC and SIDS countries: Due to poor communication connections (Skype, phone, email) in Africa, Least Developed Countries (LDCs) and Small Island Developing States (SIDS), the information collected during the application of the Tier 2 interview protocol in those countries was generally poorer in comparison to countries with established and reliable communications



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infrastructures. In some cases, discussions reverted over to email, and the details from an interview may have been less than when spoken in an interview.

The Program had not advanced sufficiently to be able to apply all elements of the M&E Framework, as expected: For this evaluation, readiness implementation advanced sufficiently to assess Outcome 1 (readiness support) and Outcome 4 (knowledge sharing). Achievement of Outcome 2 (ERs for the Results-Based Framework) did not occur during the evaluation period because the REDD Countries had not implemented ERPs to date. Outcome 3 (engagement for sustainable livelihoods of forest communities) was not met because no Emissions Reduction Payment Agreements (ERPAs) were accepted within the second evaluation period.

Redundancy of Indicators and FCPF Annual Reports: The FCPF Annual Reports provided important evidence for this evaluation. However, the reports included some data gaps (e.g. not all indicators from the M&E Framework were systematically reported). This unsystematic reporting was most likely due to the weakness or redundancy of the indicators to provide useful information for portfolio-level management.

Inconsistencies between FCPF Annual Reports and stakeholder accounts: There were some inconsistencies between the FCPF Annual Reports and the stakeholder experiences portrayed in the Annual Reports. These inconsistencies are noted in the report, as appropriate.

Challenges in attribution. Attribution refers to that which is to be credited for the observed changes or results achieved. One of the complexities with this evaluation is that the FCPF was designed to complement, synergize with and leverage other REDD readiness programs and investments. This makes the assessment of attribution of results at the country level difficult. In such situations, the Evaluation Team has tried to account for the FCPF's contribution towards results (e.g. concerning examples of non-participant countries adopting FCPF standards in their REDD+ processes in combination with other interventions or factors like UN-REDD).

The distinction also varies from country to country, depending on external factors such as the political context and coinciding complementary interventions with similar objectives to the FCPF, such as UN-REDD and FIP. These created challenges for attribution of results to the FCPF. For example, stakeholders interviewed rarely made the distinction between the FCPF and other ongoing Readiness efforts in Madagascar where the FCPF program was placed on hold for a few years (see field visit report). The difficulties of distinguishing attribution from contribution created challenges for this evaluation. While evaluation questions were tailored “to what extent and in what ways has the FCPF...,” there are limitations with the methodology. The portfolio analysis and timeline creation methods attribute results to the FCPF, but it needs to be taken into account that external interventions may have also contributed to the FCPF results.

Temporal Period set for the Evaluation: The temporal period set for the evaluation period was from July 2011 up to December 2014. The scope stopped midway through the World Bank's FY, creating potential distortions in data used from the FCPF Annual Report from FY 2015. When possible, the Evaluation Team identifies when this occurs, but that may not always be possible throughout the report, due to the following reasons. First, the FCPF 2015 Annual Report is an important basis of evidence. Secondly, interviews were conducted a year after the temporal scope concluded, and this created further potential distortions with interviewee accounts (i.e. when such a long period elapsed between the temporal scope and the interview process).



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Extensive changes to the ToR during the inception period: As noted in Annex 4, the evaluation questions went through revision during the inception period. This resulted in changes to planned and actual implementation (Evaluation Matrix questions) and the products (field visit reports) of the evaluation.

2.7.1 Independence of the Evaluation

The Evaluation Team worked with the Oversight Committee, Reference Group and Evaluation facilitator to produce a quality report uncompromised by the position and the different interests within the oversight groups. During the evaluation period, in cases where there was a potential conflict of interest between Indufor's potential project and business interests, and the FCPF, including participating in a bid for an FCPF contract, the Team Leader informed the Evaluation facilitator in writing. Annex 4 provides further details on the potential conflicts of interest and how these were avoided. During the evaluation time period, and during the evaluation itself up until the submission of the final evaluation report, no member comprising of the core evaluation team was involved in the implementation of an FCPF contract.

Regular meetings and phone conferences ensured good communication to enable efficient sharing of information, feedback, and access to information so that the Evaluation team was able to fulfill their mandate. The Evaluation Team worked with the Oversight Committee, Reference Group and Evaluation facilitator to produce a quality, as regularly done in major evaluation processes. However, this work did not compromise in any manner the independence of the evaluators. Throughout the evaluation period, in cases where there was a potential conflict of interest between Indufor's interests in participating in a bid for an FCPF contract, the Team Leader informed the Evaluation facilitator in writing.

During the procurement process for the FCPF 2nd evaluation contract, specific criteria was established to determine the conflict of interest for the evaluation. The criteria were defined at the individual level as: "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". The firm, Indufor, was not considered to be in conflict of interest.

During the evaluation period, Indufor was involved in the procurement process for the FCPF contract in Lao PDR coinciding 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.

Annex 4 provides further details on the potential conflicts of interest and how these were avoided. During the evaluation time period, and during the evaluation itself up until the submission of the final evaluation report, no member of the core evaluation team was involved in the implementation of an FCPF contract or was in breach of the criteria set.



3. GLOBAL REDD+ ARCHITECTURE AND THE FCPF

The FCPF is a key player in the global REDD+ architecture along with the UN-REDD Programme, the Forest Investment Program (FIP) and the Green Climate Fund (GCF), among others. Over the last decade, the world has negotiated mechanisms to reduce deforestation with the aim to halt run-away climate change. Prior to the Warsaw REDD+ Framework, the global REDD+ architecture was evolving with a degree of uncertainty. The FCPF, and its well-structured framework for readiness, presented a place to start for many REDD Countries, and a process to follow, responding to the decisions that came out of the climate negotiations. Now as the world moves to implement the Paris Agreement, REDD Countries are developing their Nationally Determined Contributions, of which most feature agriculture, and at least half of the FCPF REDD Countries are expected to feature forestry and land use. The FCPF is well positioned to respond and support REDD Countries through the implementation of REDD+, and will continue to play a relevant role in the implementation of the Paris Agreement.

3.1 Multi-level REDD+ Policy Context

3.1.1 Global Level

The UNFCCC sets the global context, modalities, and guidance for methodologies to facilitate global cooperation of REDD+ actors operating at multiple levels. Parties within the UNFCCC initially considered the REDD+ process as a means of closing the mitigation gap and for developing countries to maintain and conserve forest carbon stocks. REDD was officially included in the UNFCCC agenda at COP11 in Montreal in 2005. In the Bali Action Plan (COP13), the '+' was added, emphasizing the conservation and sustainable management of forests, and the enhancement of carbon stocks. Thereafter, the COP addressed methodological issues in Copenhagen (COP15), established definitions of the five REDD+ activities¹ and Forest Reference Emission Levels/Forest Reference Levels (FRELs/RELs) in Cancun (COP16), and adopted the "Framework for REDD+" in Warsaw (COP19) in 2013.

The Warsaw REDD+ Framework includes five main points:

- the work program on results-based financing;
- coordination of support for implementation (e.g. institutional arrangements);
- modalities for country level forest monitoring systems;
- guidelines and procedures for the technical assessment of FRELs/FRLs; and
- modalities for Monitoring, Reporting and Verification (MRV).

In Durban (COP17), the Parties also decided on modalities and guidelines for International Consultation and Analysis (ICA) and guidance on addressing safeguards and modalities relating to FRELs/FRLs. In 2007, the UNFCCC invited relevant organizations and stakeholders to support REDD+ related efforts, such as capacity building, technical assistance, technology transfer, and M&E (Decision 2/CP.13).

Under the Warsaw REDD+ Framework, Decision 9/CP.19 by the COP was to establish the Lima REDD+ Information Hub, a web-based platform for information sharing associated with the results and activities in REDD+ countries. The aim of the Hub is to increase the transparency of REDD processes and decisions around results-based

¹ Decision 1/CP.16 (2010), paragraph 70, in the COP defines REDD+ activities as: a) reducing emissions from deforestation; b) reducing emissions from forest degradation; c) conservation of forest carbon stocks; d) sustainable management of forests; and e) enhancement of forest carbon stocks.



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activities. The Lima REDD+ Information Hub shows the outcomes of two processes, the technical assessment of reference levels and the technical analysis of REDD+ results contained in Bi-Annual Update Reports' (BUR) technical annexes.

The Paris Agreement (2015) gave strong recognition to REDD+ through Article 5, which states that Parties should act to conserve and enhance forest carbon sinks by implementing and supporting policy approaches and incentives for REDD+. Additionally, Decision 1/CP.21 (2015), paragraph 55, of the Paris Agreement highlights the importance of financial resources for REDD+ activities. Financial resource support and coordination can include public and private, bilateral and multilateral, and alternative sources in accordance with the relevant decisions of the COP.

The Sustainable Development Goals (SDGs) (2015) have further highlighted the importance of the land-use sector in reducing greenhouse gas (GHG) emissions. The SDGs act as an institutional incentive for REDD Countries, especially Goals 13 and 15, which speak to addressing sustainable forest management, climate change, and biodiversity loss. SDG 15 specifically notes that stopping deforestation is vital for climate change mitigation efforts, and it aims at halting deforestation by 2020.

Global initiatives, like the New York Declaration on Forests (Climate Summit 2014), have provided further political momentum for additional collective commitment from key actors (e.g. private and public sectors). The Climate Summit showed that the private sector has potential to act as a key player for mobilizing capital, scaling up sustainable land-use practices, and accelerating the greening of supply chains. Institutional-level action plans by globally relevant actors, such as the World Bank, also bolster global initiatives by facilitating harmonized decision-making for a wide range of globally relevant projects and programs.

The World Bank's Forest Action Plan for 2016–2020 aims to integrate forests into country-level development agendas, to reduce poverty, to enhance sustainable development, and to protect ecosystem services and values. Sustainable forest management support and forest-smart development (i.e. reduced impacts on forests) are the two approaches that the World Bank aims to use to achieve the plan's priorities. The World Bank's Climate Change Action Plan aims to strengthen institutions and support policy-making, to leverage World Bank resources, to scale up action on climate change, and to internally and externally align processes and organization. These action plans can have an important function in the global policy context, given the size of the World Bank's global project portfolio and its role in supporting sustainable development.

Research and scientific communities have also played an important part in the implementation of REDD+. The Center for International Forestry Research (CIFOR), the Consultative Group for International Agricultural Research (CGIAR), and other institutions have provided scientific information and data, as well as guidance and technical support for forest monitoring, MRV systems, and GHG estimation methodologies. The role of the Intergovernmental Panel on Climate Change (IPCC) has been instrumental in providing internationally leading scientific knowledge about the potential role of forests in climate change.

3.1.2 Regional Level

The global REDD+ process also triggered the establishment of regional and country-level initiatives and mechanisms to address the implementation of REDD+ activities. Most initiatives and mechanisms have the dual objective of contributing towards global emission reductions and achieving sustainable development. Their establishment is a result of support and collaboration of national governments, civil society, and regional



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and international organizations related to the REDD+ process. Examples of such mechanisms are the Congo Basin Forest Fund (Africa), the Indigenous Environmental Network (focused on the Americas), ReCaREDD (focused on Africa), Mangroves for the Future (Asia and the Pacific), and the Indigenous REDD+ initiative in the Amazon (REDD+ Indígena Amazónico, or RIA).

These initiatives support capacity building, raise awareness, empower forest-dependent communities and IPs, and facilitate multi-stakeholder cross-sectoral dialogue and participation, taking into account the regional context.

3.1.3 Bilateral Level

Many REDD Countries have been and continue to be involved in bilateral REDD+ programs with developed countries (e.g. Norway, Germany, UK, and Japan). The major focus of these initiatives is on the demonstration and investment phases of REDD+. Examples include NICFI and the German REDD Early Mover program, which promote results-based benefit-sharing mechanisms, MRV development, and policies and institutional framework enhancement. The UK contributes to REDD+ financing through its International Climate Fund (ICF), aimed at reducing emissions in forested countries and enhancing the associated co-benefits; it supports multilateral channels such as the FCPF. Japanese support covers REDD+ phases I and II. Their support includes the Japan Public-Private Platform for REDD+, aimed at supporting forest conservation, climate change mitigation, biodiversity conservation, and sustainable development. Japan has provided additional bilateral support for REDD+ MRV systems in multiple countries through the Forest Preservation Program.

3.2 Key REDD+ Programs, Funds and Standards

3.2.1 UN-REDD Programme

The UN-REDD Programme, established in 2008, focuses on REDD+ phases I and II. It provides technical support to REDD Countries in MRV development, governance improvements, stakeholder engagement, co-benefits provisioning, and other initiatives. Pilot country National Programs build on the comparative advantages and expertise of UN-REDD's three partner UN organizations: the Food and Agricultural Organization of the United Nations (FAO), the United Nations Development Program (UNDP) and the United Nations Environment Program (UNEP). It also works closely with other REDD+ initiatives. For example, in 2010 the UN-REDD Programme and FCPF provided secretariat services to the REDD+ Partnership of Norway to scale up actions and finance.

3.2.2 The Forest Investment Program

The FIP, established in 2009, supports REDD+ phases I and II. FIP administration is under the CIF. The World Bank Group is an implementing agency for FIP investments and a Trustee and host of the Administrative Unit of the CIF and the FIP. The FIP supports capacity building, institutional strengthening and governance reform, the leveraging of financial resources for REDD+, and provisioning of experience and feedback in the context of UNFCCC deliberations on REDD. The FIP also includes a Dedicated Grant Mechanism for IPs and local communities.



3.2.3 Green Climate Fund

The Green Climate Fund (GCF) has developed its initial logic model for REDD+ following the guidance for financing in the Warsaw REDD+ Framework. REDD+ financing is part of the GCF's mitigation financing policy and investment framework.

3.2.4 Initiative for Sustainable Forest Landscapes

The Initiative for Sustainable Forest Landscapes (ISFL) is a multilateral facility under the BioCarbon Fund of the World Bank, which aims to promote reduced land-use sector GHG emissions. The facility considers both forestry (i.e. REDD+) and agricultural practices in an effort to encourage more efficient land-use planning, policies and practices through results-based financing. The ISFL works across agriculture and forestry, given the interlinkages between agricultural expansion and deforestation in tropical regions.

3.2.5 The Verified Carbon Standard

The Verified Carbon Standard (VCS) is the world's most widely used voluntary GHG program. Projects developed under the VCS follow a rigorous assessment process to be certified and issue Verified Emission Reductions (VERs). The standard sets the rules and requirements that all projects must follow to be certified. All projects are subject to independent auditing. The VCS has developed a number of GHG accounting methodologies for the Agriculture, Forestry and Other Land Use (AFOLU) sector, making it possible for REDD+ projects to tap the voluntary carbon market and reward payments for results from emission reductions. The Verified Carbon Standard Jurisdictional and Nested REDD+ (JNR) framework is the world's first REDD+ standard to fully account for emission reductions generated by countries' policies and measures that implement REDD+. The JNR framework represents a comprehensive global standard for accounting and crediting national and state or provincial level REDD+ programs and nested projects in a robust and transparent manner.

3.3 The Forest Carbon Partnership Facility

3.3.1 Key Concepts and Terms

The aim of the FCPF is to support developing countries in moving towards results-based payments for climate change mitigation under the UNFCCC, while supporting REDD Readiness. ERs by developing countries (Non-Annex I countries) are expected to be compensated financially through results-based payments. The FCPF also gives additional attention to non-carbon benefits (e.g. ecosystem services, poverty alleviation). One of the expected outcomes of the FCPF process is a system of results-based payments through ERPs. This sub-section outlines the key concepts and terms of the FCPF.

The FCPF is under the management of the FMT at the World Bank. The World Bank acts as Trustee to the FCPF, which has two funding mechanisms: the Readiness Fund, which supports REDD Readiness, and the Carbon Fund, which supports the piloting of ERPs.

REDD Readiness is a process that begins by submitting a Readiness Plan Idea Note (R-PIN) and/or an expression of interest to join the FCPF. An R-PIN identifies land-use patterns, stakeholder engagement processes, deforestation sources, and institutional preparations for undertaking REDD+ activities. The TAP, comprised from a roster of



country-specific technical and policy expertise, reviewed early R-PIN submissions by REDD Countries, as well as all R-PP submissions. The R-PP includes a plan, budget, and schedule for enacting and realizing REDD Readiness. It also presents a standard reporting format for addressing the components and elements of REDD Readiness.

The PC of the FCPF reviews and formally accepts the R-PP, and then it decides on the provisioning of a Readiness Preparation Grant. Grants are approved and disbursed according to country-specific readiness needs, which correspond to the various elements outlined in their R-PP. Additional Readiness Funding Grants can also be applied for, if shortfalls are identified in achieving readiness or if there are additional aspects of readiness needing to be addressed prior to the development of a Readiness Package (R-Package).

A complete R-Package is expected to comprise five elements: (1) a REDD+ National Strategy, (2) an Implementation Framework, (3) a MRV system, (4) the FREL/FRL, and (5) Safeguards.

A REDD Country submits an ER-PIN when they have made significant progress towards REDD Readiness. An ER-PIN includes early ideas for results-based ERs, and it acts as the first step in ascension to the Carbon Fund pipeline. Selection of an ER-PIN results in the signing of a Letter of Intent (LoI) between the REDD Country and the World Bank. An Emission Reduction Program Document (ERPD) is subsequently prepared with technical assistance. Selected ERPDs result in the signing of a legally binding Emission Reduction Purchase Agreement (ERPA) with the REDD Country. See Figure 5 for a diagrammatic representation of the full process.

Figure 5 Processing Steps: From ER-PIN to ERPA Implementation



Source: FCPF 2013a



The Methodological Framework provides guidance for achieving consistency in carbon accounting and programmatic characteristics. Carbon Fund Participants outlined a set of Criteria and Indicators to serve as requirements for ERPs.

The Readiness Assessment Framework is a guide for self-examination by a REDD Country to evaluate the readiness preparation phase, which the REDD Country then compiles into the R-Package. The Readiness Assessment Framework is a two-step process that includes a country-level, multi-stakeholder self-assessment and a review by the PC, TAP, Delivery Partners, and others.

Quality assurance and risk management processes are also included as a safeguard to ensure due diligence throughout the aforementioned processes. Authorization to Delivery Partners has allowed them to follow their own policies and procedures for fund management. The Common Approach established that the Delivery Partners were bound to use the World Bank safeguard policies as the minimum acceptable standard. The Common Approach centers on the SESA. The main output of the SESA is the Environmental and Social Management Framework (ESMF) to manage and mitigate the risks and impacts of REDD+ investments.

The development of a Grievance Redress Mechanism (GRM) is a domestic mechanism to address stakeholder grievances in relation to the REDD+ process in each REDD Country. The Feedback and Grievance Redress Mechanism (FGRM) acts to address stakeholder grievances in relation to ER Program preparations and implementation.

The development of these assessments and mechanisms within the REDD Readiness process is often accomplished through grant financing from the FCPF. Each grant must also include an Integrated Safeguards Datasheet (ISDS) to determine the relevant safeguards for the funded activities and to assess the capacity for the REDD Country to enact the safeguards.

Regarding the stakeholder terminology used in key FCPF documents, the Evaluation Team noted certain inconsistencies. Section 1.1 of the Charter provides the following definitions:

- “Forest-Dependent Indigenous Peoples and Forest Dwellers” means Indigenous Peoples and local communities living in forests and depending on forest resources for their livelihoods
- “Relevant Non-Governmental Organization” means a civil society organization or a non-governmental organization (NGO) that has experience and expertise in REDD or represents interests that are likely to benefit from or be affected by REDD.

However, these terms were not used systematically across the FCPF documents. For example, the Capacity Building Program employs the terms Indigenous Peoples or Forest-Dependent Indigenous Peoples and CSOs or Southern CSOs. In certain occasions, the term “other Forest Dwellers” is also used as a synonym for Local Communities (or Local Communities is not used at all). The FCPF M&E Framework refers to IPs, CSOs, representatives of IPs, and local CSOs.

While the Charter refers to NGOs as a synonym for civil society organizations, the definition of civil society adopted by the World Bank includes a wider array of actors, not only NGOs.²

² The general definition of civil society adopted by the World Bank includes “the wide array of non-governmental and not-for-profit organizations that have a presence in public life, expressing the interests and values of their members or others, based on ethical, cultural, political, scientific, religious or philanthropic considerations. Civil Society



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In this report, the Evaluation Team has used its own discretion to consider on a case-by-case basis the term that would be the most suitable for the specific context, in most cases “IPs and CSOs.” The application of the terms was in some cases based on the reference document that was part of the desk review.

3.3.2 Stakeholder Categories

The stakeholders consulted during the evaluation were classified into the following categories:

- REDD Countries (47 countries that are members of the FCPF)
- Delivery Partner Institutions (World Bank, Inter-American Development Bank (IDB) and UNDP)
- UN Organizations
- International Organizations (an intergovernmental association of countries, established by and operated according to multilateral treaty, which has experience and expertise in REDD, as defined by the Charter)
- Donors (eligible Donor Participant that has signed a Donor Participation Agreement (PAs) to participate in the Readiness Fund, as defined by the Charter)
- Financial Contributors (Carbon Fund contributors)
- Civil Society Organizations (CSOs), including NGOs (i.e. civil society organizations or NGOs that have experience and expertise in REDD or represent interests that are likely to benefit from or be affected by REDD, as defined by the Charter)
- Forest-Dependent Indigenous Peoples and Forest Dwellers (abbreviated as IPs; Indigenous Peoples and local communities living in forests, depending on forest resources for their livelihoods, as defined by the Charter).

3.3.3 Governance Structure of the FCPF

The FCPF Governance Structure includes multiple actors to facilitate decision-making and management at different levels. Articles 9 and 10 of the FCPF Charter outline the specific roles and terms of engagement for the various actors which comprise the Governance Structure of the FCPF (IBRD 2013). The World Bank is the Trustee for both the Readiness Fund and the Carbon Fund.

The FMT acts as the Secretariat to the FCPF by administering funds and making proposals to the PC, the decision-making body. It provides technical advice to REDD Countries and provides considerable support for methodological development. The FMT works with other units of the World Bank Group that are also providing technical support to the REDD Countries. This ensures that FCPF operations comply with the applicable World Bank Group policies, particularly for safeguards, procurement and financial management.

The FCPF consists of three categories of participants: REDD Countries, Donor Participants (i.e. Financial Contributors to the Readiness Fund), and Carbon Fund Participants (i.e. Financial Contributors to the Carbon Fund). Those participants comprise the decision-making bodies of the FCPF: the Participants Assembly (PA) and

Organizations (CSOs) therefore refer to a wide array of organizations: community groups, NGOs, labor unions, indigenous groups, charitable organizations, faith-based organizations, professional associations, and foundations” (World Bank 2013b).



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the PC. Readiness Fund and Carbon Fund meetings are carried out separately, twice a year and once a year, respectively.

The PA has the overarching management role, and it consists of all REDD Countries, Donors, and Carbon Fund Participants that are eligible and interested in participating in the Facility. The FMT also invites relevant IPs, CSOs, and the private sector to participate. The PA meets annually to elect the PC, consisting of REDD Countries, Financial Contributors and Observers. The PC is the main decision body of the FCPF and it reviews country submissions, decides on grant resource allocation, and approves Readiness Fund budgets and shared costs.

The PC consists of 14 REDD Countries and up to 14 members from the Financial Contributors to the Readiness Fund and the Carbon Fund. During the second evaluation period, most REDD Countries had representation on the PC at least once. Aside from the eleven new REDD Countries that joined the portfolio in 2013–2014, only Guyana and Kenya were not on the PC in the last five years.³ At the time of this report, there were also nine Financial Contributors on the PC (Canada, the European Commission, Finland, France, Germany, Norway, The Nature Conservancy, the United Kingdom and the United States of America). Positions of representation for Financial Contributors are determined by principles which include size of the contribution and level of active participation. These positions are less competitive, and some have consistently held positions on the PC (e.g. Norway, Germany and the United Kingdom).

Stakeholder groups who are not PC members, but want to attend meetings, do so as Observers. According to the Charter, those groups include “one representative from Relevant International Organizations, two representatives from Relevant NGOs (one from the North and one from the South), one representative from Forest-Dependent IPs and Forest Dwellers and one representative from Relevant Private Sector Entities, one representative from the UN-REDD Programme and one representative from the UNFCCC Secretariat.” In addition, the Observer group includes one Women’s Representative Observer. However, this decision was based on a mention in the Co-Chair’s Summary in the PC15 in 2013 and not as a revision to the Charter. All Observers can express views, but they are unable to vote.

The FCPF places all documentation, presentations, agendas and notes from all PC, PA and Carbon Fund meetings on its website⁴ and makes the information publicly available.

Under the Multiple Delivery Partner Mechanism, Delivery Partners should provide technical support to the REDD Countries and supervise their activities under the Grant Agreements. Delivery Partners are comprised of the World Bank, the IDB, and the UNDP. In addition, to ensure the technical quality of the program the FCPF established the TAP (see Section 3.3.1).

3.3.4 Evolution of the FCPF

As noted earlier, the FCPF has evolved through a series of global processes, along with recommendations from the first evaluation, self-assessment, and learning from lessons. The cornerstone resolutions from FCPF meetings found in the desk review phase and the common major milestones identified through stakeholder interviews

³ Guyana has previously expressed and continues to express interest in participating in the FCPF PC and at other levels, as they may arise.

⁴ <https://www.forestcarbonpartnership.org/meetings-0>



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resulted in the construction of the following timelines for the Readiness Fund and the Carbon Fund.

REDD Readiness Fund Evolution

June 2011 – Increased Capitalization Target. Germany and Norway announced new pledges to the FCPF. Furthermore, the FCPF planned promotional efforts to attract private sector contributions to the Carbon Fund, aside from the existing *BP Technology Ventures* and *CDC Climat* commitments. As a result, the PC passed Resolution PC/9/2011/5 on *Increased Capitalization Target of the Readiness Fund and the Carbon Fund* in June at their 9th meeting.

September 2011 – Creation of a New Component Targeting CSOs. The Readiness Fund of the FCPF established a Capacity Building Program (herein CBP) for Forest-Dependent Indigenous Peoples / Forest Dwellers in 2008. During the Global Dialogue in 2011, the indigenous participants adopted an Action Plan that included a request for the World Bank to expand the CBP. The PC subsequently allocated USD 3.5 million in additional funds to the CBP for FY12–15. The FCPF also created a new component targeting Southern CSOs with the allocation of USD 2 million for FY12–15.

June 2011 – Implementing the Multiple Delivery Partner Arrangement in the Readiness Fund. Following the first evaluation recommendations, Resolution PC/9/2011/1 *Common Approach to Environmental and Social Safeguards for Multiple Delivery Partners* was passed at the 9th PC meeting in June 2011. The resolution laid the foundation for multiple Delivery Partners in the FCPF.

June 2012/March 2013 – Initiation of the Readiness Assessment Framework. Resolution PC/12/2012/1 requested the FMT to identify and consider existing relevant practices of self-assessment processes, including those already used by the REDD Countries. Based on these findings, the FCPF designed and developed the Readiness Assessment Framework. Resolution PC/14/2013/1 adopted the R-Package Framework consisting of nine sub-components that mirror the R-PP's four sub-components. The Readiness Assessment Framework included 34 assessment criteria, with the overall aim to provide lessons learned for the FCPF.

October 2012 – Increase of Observer Seats. The FCPF increased the number of Observer seats applicable to both the Readiness Fund and the Carbon Fund. The relevant NGO Observers were increased from one to two (one from the North and one from the South) (Resolution PC/Electronic/2012/2 and Resolution CFM/Electronic/2012/1).

June 2013 – Women's Representative Observer to the PC. A major milestone in the social inclusion of the FCPF was the decision to include a Women's Representative as an Observer at the PC meetings (PC 2013).

June 2013 – M&E framework for the Readiness Process. Following one of the recommendations of the first FCPF evaluation, the PC passed the M&E Framework in June 2013.

December 2013 to July 2014 – Expansion of the FCPF Portfolio. The FCPF portfolio expanded to 47 countries, including Bhutan, Burkina Faso, Ivory Coast, the Dominican Republic, Fiji, Nigeria, Pakistan, Togo, Belize, Sudan and Uruguay (Resolution PC/16/2013/1; Resolution PC/17/2014/6).

May 2015 – First R-Package from Democratic Republic of the Congo (DRC). Although outside the temporal scope of this evaluation, many consulted stakeholders pointed to the endorsement of the DRC's R-Package in May 2015 as an important



milestone going forward (see Resolution PC/19/2015/1). REDD Countries saw the DRC, being an LDC, as an inspiration and example that could provide important lessons for others. Despite being an LDC, it was the first country to present an R-Package. In November 2015, Costa Rica presented its R-Package to the PC, being the second country to achieve an endorsed R-Package (see Resolution PC/20/2015/4).

Carbon Fund Evolution

May 2011 – The Carbon Fund Becomes Operational. The Carbon Fund commenced operations in 2011, but did not disburse results-based payments to any of the Readiness Fund REDD Countries during the course of the second evaluation period.

October 2011 to December 2013 – Establishment of the Methodological Framework. The establishment of the working group on the Methodological and Pricing Approach for the Carbon Fund took place in October 2011 (see Resolution PC/10/2011/5). *Recommendations of the Working Group on the Methodological and Pricing Approach for the Carbon Fund of the FCPF* followed in June 2012 (FMT Note 2012-8). The Carbon Fund approved the *Methodological Framework for the Carbon Fund of the FCPF* in December 2013 (see Resolution CFM/8/2013/1). The Methodological Framework was the most important achievement, because it was the first multilateral framework for yielding results-based payments. Actors across all stakeholder groups noted during this evaluation that the Methodological Framework would be critical for providing lessons learned.

March to June 2012 – Development of the ER-PIN and Selection Criteria. The PC allocated a total of USD 200,000 per program to develop ER-PINs. In addition, REDD Countries also provided considerable input for the ER-PIN formulation. In June 2012, the Carbon Fund approved the selection criteria for ER-PINs (see Resolution CFM/4/2012/1). The selection criteria were used to determine if a country entered into the Carbon Fund pipeline or not, and they were designed to reinforce the achievements of the Readiness Fund. The criteria, applied to both tranches of the Carbon Fund, included such considerations as political commitment, application of the Methodological Framework, scale and volume of ERs, technical soundness, non-carbon benefits and learning value.

March 2013 to October 2014 – Selection of ER-PINs into the Carbon Fund Pipeline. The Carbon Fund selected 11 ER-PINs into the pipeline: Costa Rica, Nepal, Mexico, Ghana, the DRC, the Republic of Congo, Vietnam, Chile, Peru, Indonesia and Guatemala. Beyond the temporal scope of the evaluation, the Carbon Fund selected seven additional ER-PINs in 2015: Nicaragua, Mozambique, Madagascar, the Lao People's Democratic Republic, Fiji, the Dominican Republic and Côte d'Ivoire.

March 2013 to November 2014 – Term Sheet and General Conditions for the FCPF General Conditions of the ERPA. The ERPA Term Sheet was endorsed in March 2013 (see Resolution PC/14/2013/9). The term sheet provides a basis for transacting ERs under REDD Countries' ERPs. The PC passed general conditions of transactions with Resolution PC/18/2014/2, *Adoption of FCPF General Conditions Applicable to ERPAs*. The Carbon Fund urged the FMT to develop ERP Buffer Guidelines (Resolution CFM/Electronic/2015/1 after this evaluation period).

April 2015 – Extension of the Carbon Fund Timeline. Although outside the temporal scope of this evaluation, in April 2015 the Carbon Fund extended the termination date from December 31st, 2020 to December 31st, 2025 (Resolution CFM/12/2015/1). By



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extending the lifetime of the Carbon Fund, the Carbon Fund Participants intend to better account for the complexities of implementing a Results-Based Framework for REDD+.

3.3.5 Overview of the FCPF Portfolio

This section outlines the main changes in the FCPF portfolio between July 2011 and December 2014. During the second evaluation period, the PC resolutions to expand the size of the portfolio resulted in changes to its size and composition. It went from 37 REDD Countries in July 2011 to 47 in December 2014. The REDD Countries represented three country regions: 18 from the LAC, 18 from Africa, and 11 from APAC. There were 15 LDC countries and 7 SIDS. Additionally, nine signed the *Cancun Declaration of Like-Minded Megadiversity Countries* (Cancun Declaration 2002).

Annex 7 and Annex 8 of this report provide a further summary and detailed analysis of the portfolio performance. The FCPF portfolio has a formal process for departure from it. No REDD Country has formally withdrawn. Gabon and Bolivia were inactive members during the evaluation period. Equatorial Guinea originally expressed interest in joining, but did not sign the initiating agreement and is not a member.

The FCPF portfolio demonstrated expansion of its geographical coverage by an increasing number of REDD Countries who have actively engaged with and achieved FCPF requirements, such as presenting an R-PP or an ER-PIN for endorsement at the PC/Carbon Fund meetings.

The target of five ERPAs signed by 2015 was not met, and it is now seen as overambitious by most stakeholders directly involved in implementing the FCPF. During seven years of operation, the FCPF has yet to pilot a Results-Based Framework for ERs generated from REDD+ activities (Objective 2). Stakeholders noted that the development of the Methodological Framework for piloting a Results-Based Framework took longer than expected, leading to delays. Noting that, the Evaluation Team determined that they could not draw a robust conclusion about the performance of the portfolio against this objective at this time.

The financing available from Financial Contributors has increased with additional contributions to both the Carbon Fund and the Readiness Fund, although private sector interest in direct financial contributions to the Carbon Fund has waned. The financial aspects of the portfolio analysis only present findings that are within the temporal scope of the evaluation and the results for the end of FY15 (June 30th, 2015). The Readiness Fund and Carbon Fund also increased in size during the second evaluation period, with significant contributions as recent as December 2015. In all, the Readiness Fund and the Carbon Fund have amassed more than USD 1 billion in pledges and committed funds.



4. EVALUATION RESULTS FOR RELEVANCE

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

Context

During the evaluation period, the FCPF expanded its portfolio from 37 to 47 REDD Countries and continued to attract financial contributions to the Readiness Fund. Section 3.3.4 provides further context for this evaluation question, and Annex 8 of this report provides an extensive portfolio analysis of the FCPF and reviews the performance of the FCPF against its Performance Measurement Framework within the M&E Framework. The FCPF needs continued interest, support and demand from its partners to attain its ambitious objectives and demonstrate its relevance. This section examines the perspectives and opinions of REDD Countries and Financial Contributors with respect to the FCPF with the aim of understanding why countries joined the FCPF and continued their engagement.

Answer

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.

Each REDD Country has a unique set of circumstances which shape its participation in the FCPF. Therefore, the opinions about participating in the FCPF are diverse.

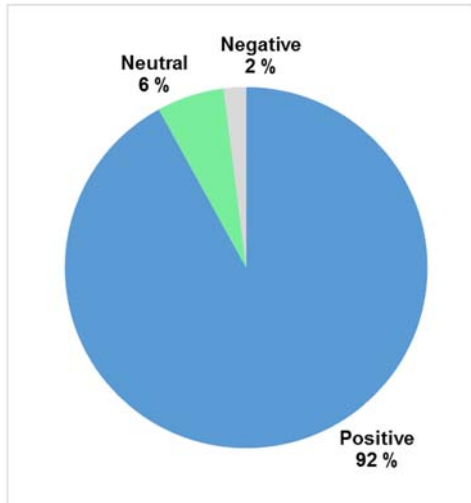
Analysis and Findings

The evaluation's online survey asked FCPF REDD Country Focal Points "Is your overall opinion of the FCPF positive, neutral or negative – please explain." According to respondents, 92% of REDD Country Participants had positive opinions about participating in the FCPF, 6% had neutral viewpoints and 2% had negative opinions (see Figure 6). Open responses from the online survey were compiled and information from in-depth interviews and field visits was consolidated to provide qualitative data to the results.



Figure 6 Results from the Online Survey: Opinion of the FCPF

Online Survey Question: Is your overall opinion of the FCPF positive, neutral or negative? Please explain.



Financial and technical support:

Online survey: Most respondents noted the important financial and/or technical support of the FCPF. Several respondents (all from the English-language survey) suggested that the FCPF had added value at the country level by providing “gap-filling” support to their UN-REDD Programme.

In-depth interviews and field visits: Respondents noted the quick response from the FMT and active engagement of task team leaders with their respective Delivery Partners. Several respondents also highlighted that the FCPF had actively produced guidance for the implementation of readiness programs at the

country level, which was essential in starting and guiding Readiness Implementation. Access to FCPF financing was an attractive reason for joining the portfolio. The field visit reports provided further clarity about why countries joined the FCPF and continued to remain part of the portfolio. Middle-income countries (e.g. Ghana, Peru, Mexico) noted that they were no longer eligible or attractive for traditional ODA directed at their forestry sector. Conversely, Nepal and Madagascar, who are both LDC countries, have built world-class examples of community forestry (Nepal) and Voluntary Carbon Market (VCM) REDD+ projects (Madagascar). They needed support for building the capacity of government and CSOs in terms of the technical elements of REDD+.

Capacity building: Online survey: Most respondents indicated that capacity building in relation to MRV and stakeholder engagement led to improved dialogue within the forest sector. In-depth interviews and field visits: Capacity building for institutions added value to the overall profile of REDD+ in the national climate change agenda.

Building participatory processes and coordination between stakeholders: Online survey: A number of LAC countries noted the added value of building participatory processes for REDD Readiness and that they benefited stakeholders in general. Field visits: In Nepal, CSOs mentioned that the FCPF national process was the first of its kind where they were able to learn about the issue and participate in recurring discussion forums aimed at tackling the drivers of deforestation over the long term. This led to increased country ownership and commitment to continue working on REDD+.

Institutionalizing REDD+ at the national level: Online Survey: The FCPF’s requirement to address national REDD+ management arrangements and institutionalize REDD+ was a key feature for a number of REDD Country Participants. In-depth Interviews and field visits: Madagascar noted that the FCPF had supported the institutionalization and nationalization of REDD+. However, the extent of support was limited to the national level. It was noted in the Field Report that there were still many parts of Madagascar where local, district and provincial offices were not aware of REDD+ or the role of FCPF in building REDD Readiness. Some stakeholders were not clear to what extent readiness should be implemented. A few REDD Country



Participants noted that there are different degrees of REDD Readiness across REDD Countries at the provincial, district and local levels of government.

Providing a structured approach to REDD Readiness at the country level: Online survey: Multiple survey respondents suggested that the FCPF process divided readiness into clear and generally understood components and deliverables. The structured approach provided a starting point for countries to commence REDD Readiness. Respondents specifically noted added value from developing the MRV system and a National REDD+ Strategy. In-depth interviews and field visits: Several respondents commented that their national readiness process benefited from the inter-sectoral coordination requirements under the R-PP, because this set a minimum benchmark for coordination at the national level.

The Evaluation Team reviewed the country-level information on the FCPF website.⁵ The Evaluation Team found that the information presented was structured and largely consistent across REDD Countries. Documents were clearly labelled for R-PPs, R-PINs, TAP reviews and Grant Agreements and stakeholder observations. The evidence is further supported by the findings from the first evaluation, which found that:

1. the development and establishment of a common framework, foundation and platform for REDD Readiness was an area where the FCPF provided added value and demonstrated relevance to global REDD+ processes
2. the establishment of a shared step-by-step process structure through which to approach REDD readiness was a positive catalytic effect of the FCPF.

Finding: 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.

Finding: The FCPF continued to add value to REDD Countries through its common Readiness Framework and structured approach to REDD Readiness.

Financial Contributors were asked why they initially supported, and continue to provide support to, the FCPF. Several Financial Contributors noted that they use different ministries/departments and personnel to follow the Readiness Fund from the Carbon Fund.

Three Financial Contributors mentioned that they are no longer following the FCPF, but this was for different reasons: change in government priorities and financial pledges, no resources to engage actively, and slow progress. In addition, two Financial Contributors had re-adjusted their terms with the FCPF due to priority and structural issues. The majority of the Financial Contributors were committed to implementing REDD+, and they mentioned that it was their government's priority, either aligned with an Official Development Assistance (ODA) or climate change policy, to contribute to processes that halt and reverse deforestation in developing countries. For examples of such policies, see the government of the United Kingdom (2015) and the Norwegian Ministry of the Environment (2012).

⁵ <https://www.forestcarbonpartnership.org/redd-countries-1>



Finding: The engagement of Financial Contributors has changed during and beyond the evaluation period for different reasons.

Finding: 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.

Seven Financial Contributors mentioned that the FCPF provided an excellent opportunity to learn about the current developments of REDD+, and they viewed FCPF Participants Committee meetings as a place to learn and share knowledge. This is addressed further under Knowledge Sharing in Section 5.5.

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

Context

Meeting the strategic priorities of REDD Countries and Financial Contributors is important for the relevance of the FCPF. The evaluation question addresses several interrelated but separate issues, which require further disaggregation.

First, how did the FCPF respond to REDD Countries' forestry and climate change strategic priorities? The FCPF has the objective, as stated in its Charter, of assisting REDD Countries in their efforts to achieve emission reductions from deforestation and/or degradation. The focus of this section examines the FCPF's role in responding and contributing to the needs of REDD Countries' national Readiness Implementation and, if relevant, their emission reduction programs. The reality is slightly more complex, because forests can also play a key role in reducing vulnerability and adapting to the impacts of climate change, as well as providing non-carbon benefits. Recent developments in climate change negotiations on REDD+ have also reflected this complexity, and these points are discussed in the context of the evidence presented.

Secondly, how did the FCPF respond to REDD Countries' national level strategic priorities? This question goes beyond the national forestry and climate change priorities outlined above. It should be noted that it is not the objective of the FCPF to contribute to national strategic priorities. This issue requires context and explanation applicable to REDD Countries with forests, or forest livelihoods, which were of national strategic priority or linked to constitutional rights.

Thirdly, is there alignment between the country strategies of the Delivery Partners and the objectives of the FCPF? This point is important because the Delivery Partners, usually from the World Bank Group, play a key role in financing national development priorities. Alignment between the objectives of the FCPF and the country partnership/engagement strategies of Delivery Partners is key for the FCPF to be able to respond to REDD Countries' strategic priorities.

Finally, how did the FCPF respond to the strategic priorities of Financial Contributor countries? As mentioned previously, some Financial Contributors have projects and programs with priorities that are related to the objectives of the FCPF.

The above points require analysis to be balanced against increasingly high expectations of the FCPF program. Because of its potential future impact on vulnerable countries, climate change has also elevated expectations and the strategic priority of programs.



This section looks at the different strategic priorities of partner countries and notes how the FCPF has responded to them. Responses were shaped by the role of forests in development priorities, such as the amount of remaining forest in a country, population growth, the development potential of existing drivers of deforestation, and so on. These factors, which affect the role of forests in the development paradigm, are different across the FCPF portfolio. All in all, if the FCPF responded to the countries' strategic priorities, one would expect to see that expectations were generally met and were aligned with the objectives of the FCPF.

Answer

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. 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 Intended Nationally Determined Contributions (INDCs)⁶ to the UNFCCC.

In some countries, the FCPF Delivery Partners (i.e. the IDB, the UNDP and the World Bank) had not integrated REDD+ agenda into their country engagement strategies even if they supported REDD+ through the FCPF. For example, Indonesia's Delivery Partner Country Partnership Strategy (CPS) 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+ RBF to be used for piloting incentives for REDD+.

Analysis and Findings

In-depth interviews and field visits revealed that, in addition to climate change, REDD Countries had a range of other strategic priorities, such as food security, economic stability, economic development, attracting foreign investment, expanding primary industries, controlling inflation, and controlling the debt burden.

Going beyond the temporal scope of the evaluation to take more recent developments into account, several REDD Countries noted that their recent INDC submissions to the UNFCCC demonstrated that REDD+ was high on their national agenda and that the FCPF had an important role in contributing to achieving that strategic priority and outcome. Some FCPF Country Participants had included REDD+ and the forest sector as one of the key mitigation action areas in their INDCs (e.g. Ghana, Guyana, Cambodia, Belize, Ethiopia).

⁶ INDCs are documents submitted by governments to the UNFCCC to communicate internationally the steps they will take to address climate change in their own countries.



Adaptation was a common priority observed in field visits to Madagascar, Ghana and Nepal; in-depth interviews carried out in African countries noted the same. This is because adaptation to climate change is a key priority for several groups of countries in the UNFCCC negotiations, namely the African Group of Negotiators (AGN), LDCs and SIDS. The prioritization of adaptation stems from two circumstances. First, the emission profiles of these countries and their groups generally are, and have been, much lower compared to other countries and groups (for example, Like-Minded Developing Countries, the Arab Group in the UNFCCC). Secondly, African countries, LDCs and SIDS are highly vulnerable to the impacts of climate change (IPCC 2007, IPCC 2014). More than 60% of the FCPF portfolio is composed of African, SIDS and LDC countries, which would explain why the respondents placed a notable emphasis on the importance of adaptation. See Annex 7 for a table which presents the composition of regions, LDCs and SIDS in the FCPF portfolio.

However, the FCPF was not designed to deliver on this strategic priority, and it is unclear at this stage to what extent the program will provide non-carbon benefits. The field visits revealed that in Madagascar and Nepal, there are future expectations that FCPF work could also be used to further understand the adaptation benefits associated with REDD+.

Returning to the temporal scope of the evaluation, field visits presented how the FCPF responded to strategic priorities associated with National REDD+ Strategy development processes.

In Nepal, forests and forest livelihoods are of national strategic importance, as reflected in Nepal's Constitution (2015), Nepal's Low Carbon Economic Development Strategy (2014) for which forestry is one of five leading sectors to promote low carbon growth, Nepal's 13th National Development Plan (2013–2016) for which there is a special provision on forests, and Nepal's National Adaptation Program of Action (NAPA) developed in 2010. Outputs from the FCPF, specifically Nepal's R-PP (2010) and ER-PIN (2014), have stated their alignment with Nepal's overall national development strategies, such as poverty reduction, livelihood improvement, and equitable, inclusive development.

In field visits to the LAC region, the strategic priority was to address REDD+ with a strong emphasis on consultations and participation. In Peru, FCPF interventions to date have been aligned with national circumstances and priorities, showing strong emphasis on consultations to build support for REDD+ across key stakeholder groups. Mexico also placed priority on participation and transparency, and it focused its FCPF support on consultation activities. Mexico's consultation process under the FCPF included 56 open workshops under its ENAREDD+. These REDD Countries illustrate the strategic importance of building broad support and participation for REDD+.

Ghana used its R-PP process to specifically identify strategic priorities for its ERP which are linked with national development priorities, and it has become a model REDD Country for how to align different interests for low carbon development.

Interviews, open answers from the online survey to the REDD Country Focal Points, and field visits presented a number of cases where the FCPF responded poorly to REDD Countries' strategic priorities and expectations. Madagascar's FCPF support was placed on hold due to a decision to suspend financial and technical support during its political crisis (2009–2013). Through the online survey, Guyana mentioned that it has had a difficult journey with its Delivery Partner, and therefore the FCPF program has been ineffective in responding to its priorities. Furthermore, Guyana was concerned about the lack of accountability of its Delivery Partner's performance. This has been an



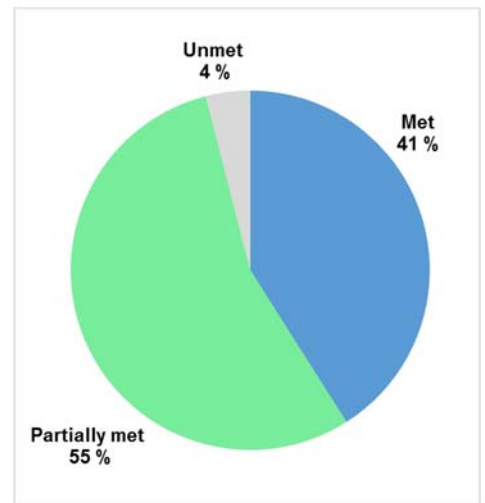
ongoing issue for several years (see IEG 2012, Indufor 2013). However, the Delivery Partner pointed out that these views may not reflect the Government of Guyana as the Government recently changed, and also made changes to their FCPF arrangements⁷. The IEG (2012) review found that in Suriname, the R-PP formulation process was stuck due to a disagreement with the FMT regarding the budget for consultations. Tanzania and Thailand also mentioned that they were frustrated with the pace and terms of support of the FCPF.

REDD Country FCPF Focal Points were asked in an online survey “Have your expectations of the FCPF been: Met, partly met or unmet? Please explain your answer.” According to the respondents of the online survey, the FCPF has met the expectations of 41% of REDD Country Participants and partially met the expectations of 55% of REDD Country Participants. Only 4% of REDD Country Participants had unmet expectations from participating in the FCPF (see Figure 7).

Figure 7 Results from the Online Survey: Expectations of FCPF Focal Points

Online Survey Question: Have your expectations of the FCPF been met, partly met or unmet? Please explain your answer.

For REDD Countries whose expectations were met, open responses to the online survey revealed that support to national REDD+ processes, financial and technical support, and knowledge-sharing and networking opportunities led to those expectations being met. REDD Countries whose expectations were partially met mentioned that they were still waiting to receive financial support. They also mentioned that slow bureaucratic processes and complicated requirements had led to frustration, despite support. Expectations were not met in a very small proportion of the REDD Countries. One respondent noted that expectations were not met due to the poor performance of their Delivery Partner.



Further discussion on the issue of slow disbursement from the Readiness Fund at the country level and the issue of Delivery Partner performance is addressed in detail in Section 6.2.

⁷ The FMT were formally notified of a change in the FCPF organizational arrangements in August 2016.



Finding: 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.

Finding: 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.

Finding: Slow processes and bureaucratic requirements have been the cause of unmet and partially met expectations by some REDD Countries.

Field visit reports reviewed the World Bank CPSs from Ghana, Madagascar, Peru and Nepal (see Annex 3 of this report). They noted that the World Bank Group's country engagement/partnership strategies to support national development agendas were generally deficient in terms of recognition of the importance of strategic alignment with REDD+.

In Peru, the national development plan focused mostly on economic development. The World Bank CPS report largely reflected the government's agenda (World Bank 2012b). The CPS focused on improving equity through social services, infrastructure, and competitiveness while preserving macroeconomic stability. It mentioned the FCPF as one of many World Bank Group instruments to strengthen environmental management.

There are some recent indications, albeit beyond the temporal scope of the evaluation, that integration of climate change priorities with the country strategies of Delivery Partners is changing. The World Bank's CPS (2014–2018) for Nepal proposes to shift engagement with the country away from short-term, post-conflict assistance to supporting sustainable growth. In Madagascar, an Interim Strategy Note (ISN) came into force for the period of January 2012 to June 2013. It focused on the most urgent short-term problems while maintaining a medium term outlook based on three themes: governance and the ability of the public sector; vulnerability and resilience; and employment and competitiveness. A Systematic Country Diagnostic (SCD) has been conducted and a new Country Partnership Framework (CPF) is under development.

The CPS FY13–15 (World Bank 2012a) of Indonesia was also reviewed, given its global importance to REDD+ efforts. It noted that Indonesia has yet to integrate REDD+ opportunities into its national development agenda. Its CPS placed emphasis on increasing support to Indonesia for the implementation of its REDD+ strategy, and it made specific reference to the FCPF, Carbon Fund, and BioCarbon Fund.

Several Financial Contributors expressed that the implementation of REDD+ in REDD Countries would benefit from alignment between the general REDD+ agenda and the Delivery Partners' country strategies, and it pointed out that there is no communication at PC meetings about the extent of alignment.

Finding: In some countries, the FCPF Delivery Partners (i.e. the IDB, the UNDP and the World Bank) had not integrated REDD+ agenda into their country engagement strategies even if they supported REDD+ through the FCPF.

Interviews showed the strategic priorities and expectations of Financial Contributors. Most Financial Contributors mentioned that, within the context of climate change, forests were a stated priority. A few respondents made specific references to their own bilateral programs which put priority on REDD+, such as NICFI, the UK's ICF, and Germany's REDD+ Early Movers program. Financial Contributors making significant contributions to the Carbon Fund mentioned that their contributions were driven by the



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priority to support efforts in mobilizing a global REDD+ Results-Based Framework scheme, and the Carbon Fund is at the moment the only existing multilateral program designed for that.

The expectations of Financial Contributors varied widely. About a quarter of the Financial Contributor countries interviewed mentioned that they have different expectations of the Readiness Fund and the Carbon Fund. With respect to the Readiness Fund, Financial Contributors noted that their expectations were mostly met through the FCPF with respect to capacity building and aligning REDD Readiness with the UNFCCC. Slow disbursements led to expectations that were not met in terms of the number of R-Packages presented. The slow disbursements were a contributing cause of the FCPF's underperformance reflected in a small portion of the portfolio in the advanced stages of REDD Readiness implementation. This was usually balanced against the evolving agreement under the UNFCCC, and it was therefore expected that some of the delayed progress was due to waiting for clarity on agreed upon REDD+ decisions and guidance. A few Financial Contributors expressed their understanding that the FCPF "can only go as fast as the REDD Countries go." This later point suggests that there are divergent expectations on how the efficiency of the FCPF is considered by this stakeholder group.

Financial Contributors' expectations of the Carbon Fund were generally not met or they had to be adjusted with the justification that the Results-Based Framework took much longer to develop and was more technically demanding than initially envisioned. Now that the framework for the Carbon Fund is complete, Financial Contributors mentioned that they expected to observe progress in ERPA implementation and, eventually, results-based payments.

Finding: Most Financial Contributors had common strategic priorities to which the FCPF has responded appropriately.

Finding: 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.



5. EVALUATION RESULTS FOR EFFECTIVENESS

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

Context

The evaluation question examines FCPF support to REDD Readiness in the context of the targets of the M&E Framework. That is, if the FCPF provided a high degree of support for REDD Countries in preparing to undertake REDD Readiness, one would expect to see targets met for R-PPs endorsed and Grant Agreements signed across the portfolio. If the FCPF provided effective support to REDD Countries, then one would expect that approximately 20 REDD Countries would be midway through their REDD Readiness implementation, having presented their Mid-Term Reviews (MTRs) by 2015.

If the FCPF provided a high degree of support for REDD Countries to pilot a Results-Based Framework for REDD+, as described in the FCPF Charter, one would expect to see advanced progress on readiness implementation throughout the portfolio and several ERPAs signed with emission reduction purchases following the signed ERPAs, consistent with the targets in the M&E Framework.

The M&E Framework provides a target of eight R-Packages by 2015, based on important assumptions. First, the incentives provided by the REDD+ schemes are sufficient. The evaluation tests the application of this assumption by understanding REDD Country viewpoints on the costs and benefits of the FCPF, and whether REDD Countries find incentives and support to be sufficient. Secondly, for purposes of the Readiness Fund, there is an assumption that submission of R-Packages by REDD Countries is voluntary. Thirdly, it is assumed that international negotiations for REDD+ remain supportive. This assumption held with the Warsaw REDD+ Framework adopted in November 2013 and the Paris Agreement in November 2015. Finally, it is held that no extraordinary circumstances in the country prevent the submission of R-packages. Each REDD Country has a unique set of political and economic circumstances which could affect the progress of REDD implementation at the country level.

The application of the temporal scope of the evaluation (July 2011–December 2014) and its application to the M&E Framework require clarification. The evaluation assessed the progress made towards targets set in the M&E Framework up to June 2015 (FY15), as presented in the Inception Report. This was important to ensure that findings and recommendations from this evaluation were up to date.

Answer

The FCPF exceeded its targets 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.

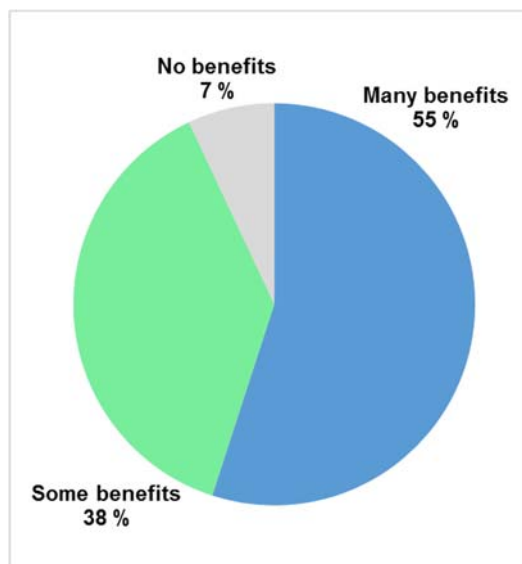
REDD Countries had mounting concerns about how to manage growing expectations from different stakeholders. Related to this, REDD Countries were concerned that REDD+ is going to be a challenge to implement according to a set schedule. REDD Countries were also concerned that there is no assurance that sufficient financing will be made available for demonstrating or investing in REDD+. They recognize that clear messages need to be sent from the FCPF, especially with respect to the formulation of ERPs, in order to effectively manage stakeholder expectations within a country.

Analysis and Findings

According to the results of the online survey to the FCPF REDD Country Focal Points, 55% of respondents felt that the FCPF provided many benefits and 38% noted that the FCPF had provided some benefits. Only 7% of respondents reported that the FCPF provided no benefits (see Figure 8).

Figure 8 Results from the Online Survey: Benefits from the FCPF

Online survey question: Describe the extent of benefits received from participating in the FCPF. No benefits/some benefits/many benefits?



According to the online survey, the following responses about benefits stood out:

Capacity building: Around half of the respondents noted the benefits of capacity building that the FCPF provided to individuals, government officers and institutions on REDD+. The FCPF specifically supported capacity building for MRV, institutionalizing REDD+ at the national level, and creating understanding of how the Results-Based Framework will function.

Technical Support: About half of all respondents mentioned that technical assistance was a benefit of the FCPF, and multiple references were specifically made in

regard to informing and supporting REDD+ processes (namely MRV, safeguards, REDD+ cost curves and strategies).

Financial support: Approximately a quarter of respondents acknowledged the important financial support that the FCPF provides for REDD Countries to formulate their R-PPs and support REDD+ processes within the country. In some cases, financial support from the FCPF led to the leveraging of additional finance from other bilateral and multilateral sources.

Knowledge sharing: Almost half of the respondents noted that the FCPF fostered an exchange of viewpoints through interaction with technical experts and South-South



learning events. Stakeholders commented that knowledge sharing had been beneficial for understanding opportunities and challenges in relation to REDD+ and learning lessons from other REDD Countries.

Informing and supporting REDD+ processes: Approximately one in five of the respondents mentioned that the FCPF supported and informed national REDD+ processes. Examples that were given included formulation of the R-PP and ER-PIN, the Readiness Assessment Framework, and REDD+ National Strategy.

Strengthening institutions: Several respondents noted that the FCPF required the establishment of national bodies instituted within national governments and their processes. Respondents commented that the FCPF process strengthened institutions at national and, in some cases, provincial and local levels.

Two respondents mentioned that there were no benefits yet, and one respondent was critical of the Delivery Partner's ability to support their country in undertaking REDD+.

In addition, the online survey showed that the majority of respondents encountered multiple challenges in dealing with the FCPF (see Figure 9).

Figure 9 Results from the Online Survey: Challenges from the FCPF

Online survey question: Challenges from the FCPF. Describe the extent of challenges as a result of participating in the FCPF. Many challenges/some challenges/no challenges?

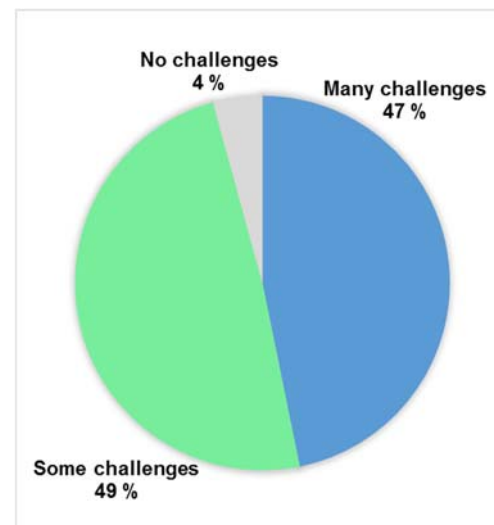
According to the online survey, FCPF focal points perceived the following challenges with participating in the FCPF:

Efficiency: Many stakeholders expressed concern over slow FCPF disbursements. Respondents identified procurement procedures and limited national capacity as key bottlenecks to achieving efficiency.

Navigating Delivery Partner policies: At least a third of respondents mentioned that understanding and applying the Delivery Partner's policies of document quality, procurement, and financial reporting was cumbersome, complicated and often led to delays in the FCPF process at the country level. In some cases, countries felt that they lacked the capacity to implement the policies and conform to them. The stakeholder comments are applicable to all Delivery Partners (i.e. the World Bank, the IDB and the UNDP).

Technical issues: About a quarter of respondents expressed concerns over challenges with the technical requirements and outputs of the FCPF related to safeguards, how the Methodological Framework aligns with national monitoring and reporting requirements, and how to deal with irregularities with land tenure and potential carbon payments.

Alignment of the FCPF with UNFCCC and other global REDD+ efforts: Stakeholders predominantly from the LAC region expressed concern about the cost of creating a separate parallel REDD+ scheme under the FCPF in concert with the scheme already agreed on in the UNFCCC. Furthermore, some respondents





expressed concern over the lack of alignment of the FCPF with the UNFCCC. This was especially with respect to safeguards; respondents stated that the FCPF placed additional requirements on REDD Countries to comply with institutional safeguards (SESA/ESMF) and the highly technical features of the Methodological Framework. Several stakeholders were concerned about the lack of alignment between the FIP and implementation of REDD Readiness under the FCPF. The lack of alignment was also in relation to safeguard approaches. The FIP does not employ the Common Approach to safeguards or require SESA/ESMF, and it implements institutional safeguards to guide consultation processes according to the Delivery Partner. In some countries, the Delivery Partner for the FIP is the same as for the FCPF, and this “double standard” was viewed as confusing and disconnected by those REDD Country stakeholders.

Level of financing: Multiple respondents mentioned that the level of financing for REDD Readiness was not consistent with the demands and needs of the country. Respondents expressed concerns over readiness at the provincial level and district level, noting that readiness at subnational levels is also important. The level of financing was also a concern in relation to formulating and potentially implementing an ERP at the sub-national level for the Carbon Fund, as it was unclear from where, when and from whom, that finance would come from.

Managing expectations: With the Carbon Fund being ready to issue a Results-Based Framework, there was an emerging concern within governments of REDD Countries that there was already the need to manage expectations on multiple levels, from CSOs to local communities, and this was seen as a challenge. Several REDD Countries mentioned that consultations took place in the planning phase and could include consultations at various sub-national levels. With the formulation of the ER-PIN, these consultations could raise expectations that an Emissions Reduction Program could eventuate. These REDD Country respondents added that on one hand, consultations for planning took place with a number of uncertainties. These uncertainties included whether the proposal for the ERP would be approved and financed and when, what amount of financing would be allocated, and how broad local support could be assured for a program if consultations were not conducted in the planning phase?

The field visits confirmed the findings from the online survey presented above. In addition, the field visit consultations identified a key area of support, which was not readily apparent in the online survey. All field visits noted the important support the FCPF has provided for participatory processes and consultations for REDD+. In Mexico, Nepal and Ghana, consultation processes received considerable financing from FCPF. In Peru, the FCPF’s main contribution to the readiness process was “the participatory formulation of the R-PP.”

Field visit findings from Madagascar, Nepal, Mexico, Ghana and Peru highlighted that the FCPF was particularly effective at documenting the institutionalization of REDD+ at the national level within governments. Some CSO representatives and international REDD+ Technical Experts expressed their concern about building central-level REDD Readiness instead of securing national-level readiness. National readiness means that sub-national levels and line agencies are REDD-ready to ensure on-the-ground results. These Technical Experts were skeptical about whether the FCPF would achieve this, especially in relation to ERPs, given that REDD Countries struggle with technical issues at the national level.

The stakeholder opinions presented above were triangulated with the results from the portfolio analysis by using the FCPF PMF. The PMF of the M&E Framework presents



clear guidance on who collects data on what, against which targets, how, from where and at which frequency to inform both the M&E functions at the Facility level.

To avoid redundancy, the portfolio analysis presented only those findings which were within the temporal scope of the evaluation and the results for the end of FY15 (June 30, 2015).⁸ Table 5 applies the PMF to the FCPF portfolio. Annex 8 presents an in-depth portfolio analysis for each of the outputs and indicators applied to the FCPF portfolio. Section 3.3.5 presents a general overview of the FCPF portfolio.

The portfolio analysis from Annex 8 showed that the FCPF supported all REDD Country Participants to adopt a consistent and highly structured approach to REDD Readiness through the R-PP formulation process. Efficiency challenges within REDD Readiness (Section 6.2) have led to under-achievement of the targets for the delivery of the R-Packages and the Mid-Term Reports presented.

Nonetheless, robust evidence from the evaluation showed that REDD Country Participants were generally progressing in their readiness and that they have made use of financial and technical assistance under the FCPF to build REDD+ capacity. This made the FCPF relevant for those REDD Countries, contributing to the achievement of the FCPF's first objective.

Finding: 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+.

Finding: 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 Emissions Reduction Programs), and the alignment of the FCPF with other global efforts.

Finding: The FCPF has provided extensive support in preparing countries to undertake REDD Readiness planning and its initial implementation.

Finding: The FCPF demonstrated limited effectiveness in supporting countries to undertake advanced stages of REDD Readiness.

The target of the five ERPAs signed by 2015 had not been met, and it was now seen as overambitious by most of the stakeholders directly involved in implementing REDD Readiness. During seven years of operation, the FCPF has yet to pilot a Results-Based Framework for emission reductions generated from REDD+ activities (Objective 2). Stakeholders noted that the development of the Methodological Framework for piloting a Results-Based Framework took longer than expected as Technical Experts came to terms with the complexities of formulating such an instrument, which also aimed at achieving broad support across different stakeholder groups. This led to delays in presenting the final framework and required more resources than initially envisioned to complete the framework.

Only two R-Packages were available for review during the evaluation: Costa Rica and the Democratic Republic of Congo. These countries delivered them after December 2014, the period of the current evaluation. A review of those R-Packages indicated that the FCPF has constructed an approach to REDD+ with consideration for reporting on

⁸ Information collected and reported in the Annual Report and Financial Report for 2015 ranges from July 1, 2014 to June 30, 2015 to align with the World Bank's FY.



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biodiversity conservation and livelihood enhancement indicators consistent with the objectives of the FCPF.



Table 5 Application of the Performance Measurement Framework to the FCPF Portfolio

Output and indicator	Targets for end of FY15	Status for end of FY11	Status for end of FY14	Status for end of FY15
1.2a Number of R-PPs endorsed by the PC	30+ R-PPs endorsed	9	45	45
1.2b Number of Readiness Preparation Grant Agreements signed	30+ Grant Agreements signed	3	22	35
1.3a Number of Mid-Term Reports presented by countries that follow agreed reporting standards and are presented in a timely manner	20+ MTRs presented	0	5	9
2.2a Number of early ideas or ERPs presented by countries to the Carbon Fund	10 ER-PINs presented	0	11	20
2.2b Number of REDD Country Participants that have signed an ERPA	At least 5 ERPAs signed	0	0	0
2.4b Amount of emission reductions purchases following an ERPA signature	USD 10 million disbursed	0	0	0
3.2b(i) Number of REDD Country Participants with R-Packages and ERPs submitted to the FCPF that demonstrate ways to maintain or enhance livelihoods (including at local levels) integrated into design of REDD+ National Strategies, monitoring systems, and ERPs	100% of all R-Packages and ERPs implemented	0	1	2
3.2b(ii) Number of REDD Country Participants with R-Packages and ERPs submitted to the FCPF that demonstrate ways to conserve and/or restore biodiversity (fauna and flora) integrated into design of National REDD+ Strategies, monitoring systems, and ERPs, taking traditional knowledge into account	100% of all R-Packages and ERPs implemented integrate best practices	0	1	2
3.2b(iii) Number of REDD Country Participants with R-Packages and ERPs submitted to the FCPF that demonstrate relevant sustainability standards, as provided for in the Common Approach for readiness preparation, including those for grievance redress, and World Bank safeguards for ERPs being applied	10+ REDD Country Participants by 2015 15+ by 2018 20+ by 2020	0	1	2

Color codes: Green = target met; orange = target partially met; red = target not met.



Based on interviews, there are growing concerns by some REDD Countries and multilateral staff about whether the FCPF is overlooking an important aspect of actually delivering on-the-ground results for REDD+: namely, what investment is required to get REDD Countries from readiness to results? A number of multilateral staff noted that the FIP was expected to “fill in” the missing middle, but approximately half of the REDD Countries in the FCPF are not in the FIP (refer to Annex 7 for the list of FCPF countries in the FIP).

Several interviewees mentioned that FCPF REDD Countries that are not in the FIP are at a disadvantage. Other multilateral staff pointed to concessional loans and other debt-leveraging instruments as potential gap-fillers. The evaluation of the FIP under the CIF (ICF International 2014) noted challenges with mobilizing concessional loans.

In the DRC, the private sector appeared to be interested in a FIP financing window. There were major challenges with mobilizing concessional loans and guarantees and with extending credit lines due to a lack of credit rating, high country risks, and insecure land tenure. In Indonesia, consultations with the private sector revealed little interest in participating in the FIP. There was also a significant dilemma arising from the ICF’s exclusion criteria applied to companies with poor credit or which had implemented past activities leading to deforestation. The reality in Indonesia was that it was difficult to find qualified companies (ICF International 2014) to invest in low-carbon landscapes.

Stakeholders from REDD Countries and several CSOs noted that the Carbon Fund is an ex-post reward scheme; it will reward emission reductions after they have occurred. Questions were raised with respect to how REDD Countries will be able to get emission reductions to scale and move from REDD Readiness to results without having front-loaded investment.

The UNEP (2011) estimated that approximately USD 64 billion is invested in forests annually, of which 28% is spent on forest management and the remainder is invested in forest product processing and trade. The report estimates that an additional investment of USD 40 billion per year is needed for reforestation and to incentivize landholders to conserve their forests.

The World Bank also generally recognizes the gap. A recent PROFOR publication *Private Financing for Sustainable Forest Management and Forest Products in Developing Countries – Trends and Drivers* noted, “Sustainable forest management needs between USD70 billion and USD160 billion each year to be implemented properly. But official development assistance to forestry only covers about 1 percent of the estimated total financing need” (see Castrén et al. 2014).

Finding: 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.

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

Context

The FCPF has developed instruments under the Program with the aim of providing standards and consistent technical advice to manage the technical issues that arise from building readiness and piloting REDD+. These instruments form the foundation of the FCPF and distinguish it from other global REDD+ programs. The FCPF instruments feed into several outputs under the result chain for FCPF interventions (see Figure 10).



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These outputs are expected to produce globally recognized REDD+ standards as an intermediate impact of the FCPF.

This question evaluates the use of FCPF instruments by REDD Countries. If the various instruments developed by the FCPF were helpful, one would expect to see few grievances and advancing progress towards readiness and REDD+ implementation through use of the instruments. The Inception Report's Evaluation Matrix (Indufor 2015a) specifically identified the instruments to be evaluated. These were: R-PP templates, the ER-PIN template, the MTR template, and progress reports, as well as the SESA/ESMF process, the Readiness Assessment Framework, the Methodological Framework and the REDD+ Decision Support Toolbox.

To be able to assess the helpfulness of the instruments, REDD Countries need to have progressed sufficiently to have been able to use some of the instruments in their work as a basis for their viewpoints.

Under the Readiness Fund, to have progressed sufficiently, REDD Countries need to have implemented the SESA/ESMF, or have used, completed and submitted their Annual Progress Reports, or have done or be in the process of doing their Mid-Term Review at the time of consultation. These benchmarks ensure that the REDD Countries using these tools and instruments are familiar with them and can provide informed viewpoints on their application. Under the Carbon Fund, being sufficiently progressed is applied in the context of REDD Countries which have submitted and presented an ER-PIN, or have presented an early idea at a Carbon Fund meeting.

REDD Countries that have demonstrated use of the Methodological Framework are considered to have progressed sufficiently to provide an informed viewpoint on its helpfulness to undertake REDD+, either through the formulation of the ER-PIN or a submission to the UNFCCC.

Regarding the Common Approach to Environmental and Social Safeguards⁹, the FCPF M&E Framework sets the target (I.3.B) for the program that the "Common approach is implemented and examples/lessons learnt are used in a standard setting for REDD+ by 2020." In this context, the evaluation analyzed to what extent the FCPF has managed to operationalize the Common Approach after its approval in 2011, including application of the guidelines that form part of the Common Approach.

Answer

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 ERPs. 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 a technically complicated instrument, and REDD Countries were concerned that considerable technical assistance would be required to demonstrate compliance.

The Annual Progress Reports that the REDD Countries submit to the FCPF were aligned with the structure of the M&E Framework providing a potentially practical and useful system of harvesting data and information for portfolio-level M&E. Even if the

⁹ The Common Approach for Environmental and Social Safeguards establishes a platform for risk management and quality assurance in the REDD Readiness preparation process, using the safeguard policies of the World Bank as the minimum acceptable standard.



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REDD Countries considered the template relatively easy to use, the level of detail and type of information that the Focal Points provided in the reports was variable. As a result, the system did not provide the expected added value to the Program as a monitoring tool.

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 for Environmental and Social Safeguards 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.

The viewpoints on the SESA/ESMF revealed that there was a disconnect between FCPF safeguard requirements, which are institutional in nature, and the UNFCCC, which are policy safeguards. They had hoped for a process that they could use to meet both institutional safeguards through the SESA/ESMF and the UNFCCC safeguards. Overall, the REDD Countries expressed a need for more capacity building for navigating different safeguard policies at the country level.

Analysis and Findings

The ability to implement REDD Readiness effectively was dependent on a country's ability to meet requirements of the FCPF and, to some extent, their maturity within the FCPF portfolio (see Table 5). Based on in-depth interviews and field visits to REDD Countries, the following points were commonly mentioned with respect to the FCPF instruments:

R-PP template: There have been six versions of the R-PP template since 2008. The first five versions were developed by December 2010 (before the temporal scope of the evaluation). The sixth version of the R-PP template (2012) was used for REDD Country Participants in the FCPF, as well as UN-REDD Countries submitting national programs. The overarching guidelines of the template provide guidance on how the different components of REDD Readiness are aligned with the relevant UNFCCC COP Decisions, and provide references to FCPF and/or UN-REDD guidance documents under the appropriate component. In its different versions, the R-PP template has been applied across the FCPF portfolio of REDD Countries with a total of 45 R-PP submissions.

In-depth interviews and field visits to REDD Countries revealed that the R-PP is seen as a good planning tool for several common reasons. First, guidance notes were included in the template. Secondly, the structure and REDD+ components of the R-PP were generally considered to be aligned with UNFCCC COP decisions and guidance. Finally, reporting requirements in the R-PP template catalyzed important national REDD Readiness processes, such as the institutionalization of REDD+ at the national level (Section 1a National Readiness Management Arrangements) and a participatory approach to planning (Component 1 – Organize and Consult).



Finding: The R-PP template was applied extensively across the FCPF portfolio and was a helpful tool in the planning of REDD Readiness.

The TAP reviews were welcomed in some cases; however, some REDD Countries found the TAP reviews to be cumbersome and felt that they delayed progress on REDD Readiness. The model developed in Annex 10 of this report tested to what extent this occurred and found that the time a REDD Country takes to resubmit its revised R-PP between TAP reviews can affect the length of the process.

ER-PIN template: There have been four versions of the ER-PIN template. The ER-PIN template includes guidelines for submission and a structured outline with guidance on the information expected to be presented. The selection criteria applied for acceptance into the Carbon Fund is also listed in the guidelines in the template.

Most governments that submitted an ER-PIN provided positive comments on the ease of use and flexibility of the ER-PIN template and its guidance document. Several REDD Countries recognized the ER-PIN template as a good planning tool. These characteristics were seen to have enabled stronger national ownership. Some stakeholders from Governments interviewed were concerned with the purpose of the ER-PIN, and they felt that the formulation process did little to manage stakeholder expectations. These interviewees noted that there were uncertainties at the time of consultation with stakeholders on the ER-PIN, specifically whether the ERP presented would be accepted into the Carbon Fund, and this affected the management of expectations. On review of the ER-PIN template (2014), there is no guidance on how to engage stakeholders in the formulation process. The ER-PINs were mostly country-driven and notably developed by “unfunded efforts”; see FMT Presentation (2014).

Finding: The ER-PIN template and its formulation process demonstrated national ownership of the document.

Finding: The ER-PIN template provided no guidance on how to manage uncertainty and stakeholder expectations during formulation consultations.

Readiness Assessment Framework: The guidance for the Readiness Assessment Framework was developed over two years and published in June 2013. Readiness Assessment provides a common framework to measure countries’ relative progress in core readiness activities. It is divided into three sections: i) a brief overview of the Readiness Assessment Framework; ii) the detailed Readiness Assessment Framework; and iii) guidance on the assessment process.

The field visit to Ghana noted that the tool gave the readiness process structure and boundaries, and the users were clear about what to write and where to start. Similarly, Mexican users reported that the Readiness Assessment Framework gave a clear structure and provided some useful tools for reporting. In-depth interviews with REDD Countries commonly viewed this instrument as easy to use and helpful. A few REDD Countries pointed to the benefit of the structure of the instrument and that it led to an efficient MTR process and generally made reporting on REDD Readiness progress easier.

Finding: The Readiness Assessment Framework was viewed as the most helpful tool, providing structure to chart the progress of implementation of REDD Readiness.

Template for Country Annual Progress Reporting for M&E: The country reporting framework template “REDD+ Annual Country Progress Reporting (with Semi-Annual



update)” was developed following the structure of the FCPF M&E Framework, its logical framework and the Performance Measurement Framework in 2013. Its purpose is to facilitate and systematize data analysis, and it includes guidance on what is expected to be written by the user under each heading. A “traffic light” system is used to report progress, according to the Readiness components and sub-components. These components and sub-components are the same as those used in the R-PP template and the Readiness Assessment Framework. In the report, REDD Countries self-assess their progress against their national circumstances.

In-depth interviews and field visits noted that REDD Countries generally acknowledged its clear structure as useful for reporting. Field visits to both Ghana and Mexico noted that the traffic lights were appreciated. The Evaluation Team tested the uniform application of the Annual Progress Reports, and it found that the traffic lights were interpreted differently within the portfolio and the quality of data was variable (see Section 5.3 for further analysis).

Finding: The template for annual country progress reporting for monitoring and evaluation (M&E) was well-structured. The traffic light system made reporting simple, but information and data provided was of variable quality.

Finding: 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.

REDD+ Decision Support Tool: The REDD Countries interviewed (Ghana, Nepal, Mexico, Vietnam) were either in advance stages of Readiness and had already developed their Reference Emissions Level (REL) and could not make use of the REDD+ Decision Support Tool developed in 2015, or they had not progressed to the point where they had formulated their national REL (Madagascar, Peru). Therefore, there is insufficient evidence to assess the usefulness of this tool. However, a few REDD Countries noted that such a tool would have been potentially beneficial if it had been made available earlier. A few REDD Countries went back to redesigning national guidance (Vietnam) or systems (Ghana) which use the REDD+ Decision Support Tool. No written guidance document or manual was available to assess the tool’s compatibility with the UNFCCC COP decisions. Only an online webinar was available to demonstrate how to use the tool.

Methodological Framework: The Methodological Framework is a set of 37 criteria and related indicators (C&I) associated with five major aspects of ERPs: level of ambition, carbon accounting, safeguards, sustainable program design and implementation, and ERP transactions. The first version of the Methodological Framework was launched in December 2013 after two years of formulation and a revised version was updated in June 2016 with several time-bound revisions. The consultations and evaluation assessment was applied to the first version of the Methodological Framework from 2013.

The Methodological Framework has attracted interest as one of the first global-level frameworks that can enable a Results-Based Payments, and several comparative reviews have sufficed. Gibbon and Pearson (2014) conducted a gap analysis of the methodological Framework and compared it to the Verified Carbon Standard’s (VCS) Jurisdictional and Nested REDD+ (JNR) Requirements. They found that “in most cases VCS JNR requirements contained significantly more detailed requirements than the Methodological Framework.” Additionally, 85% of Methodological Framework indicators presented little or no risk of gaps regarding JNR programs. The four major



gaps identified were related to requirements of World Bank safeguards (indicator 24.1), the requirement to account for degradation emissions exceeding 10% (indicator 3.3), reference levels not exceeding the historical average (indicator 3.3); and adjustments to reference levels not exceeding the historical average by 0.1% per year in any cases (indicator 13.4).

FAO (2014) compared the FREL/REL requirements of the Methodological Framework with those of the VCS JNR, REDD Early Movers and UNFCCC requirements. The report noted that these aforementioned standards and initiatives “provide additional requirements to what is specified under the UNFCCC.” The comparison table further notes that the Methodological Framework “strives to be consistent with UNFCCC guidance: Consistency with UNFCCC submissions of national GHG inventory (including forest definition used).”

The FMT also conducted an internal check for consistency between the Methodological Framework and the Warsaw REDD+ Framework, but its results are not public as the document has not gone through peer review.

Field visits, in-depth interviews and an open, online survey response from REDD Countries provided the data that served as the basis for analysis. REDD Countries shared a common concern that the Methodological Framework is technically complex and that significant technical assistance would probably be required to comply with, measure and report on its criteria and indicators. Ghana viewed the FCPF tools and instruments as useful and flexible, but their stakeholders noted that they were challenging to use. Ghana was one of the few countries that specifically referenced the Methodological Framework for REDD+ in their INDC.

Several REDD Countries (from the LAC region) noted that the Methodological Framework required much more than the agreed UNFCCC COP decisions for REDD+. During the field visit to Mexico, Mexican stakeholders had two primary concerns regarding the Methodological Framework, noting that it lacked internal coherence and that it went beyond the requirements of the UNFCCC guidance. Guyana’s¹⁰ concerns are produced verbatim from the commenting period on this evaluation’s draft report because they were a source of strong disagreement from other comments.

The Report¹¹ notes that Guyana has utilized the same approach that has been presented and successfully reviewed by the UNFCCC, which has stated in the Guyana review report that:

This report covers the technical assessment of the submission of Guyana, on a voluntary basis, on its proposed FREL/REL, in accordance with decision 13/CP.19 and in the context of results-based payments. The FREL/REL proposed by Guyana covers the activities “reducing emissions from deforestation” and “reducing emissions from forest degradation,” which are two of the activities included in decision 1/CP.16, paragraph 70. In its submission, Guyana has developed a national FREL/REL. The assessment team notes that the data and information used by Guyana in constructing its FREL/REL are transparent and complete, and are in overall accordance with the guidelines contained in the annex to decision 12/CP.17. This report contains the assessed FREL/REL and a few areas identified for further technical improvement by the assessment team, according to the scope of the technical assessment in the annex to decision 13/CP.19.

¹⁰ It should be noted that Indufor Asia Pacific designed the Guyanese MRV system for the Norway-Guyana REDD+ Partnership from 2010 onwards, and its R-Package, financed by WWF. These efforts are expected to support future FCPF efforts. In addition, these efforts were contracted through the Guyana Forestry Commission. The potential conflict of interest is averted on several actions and notes: Guyana was not a field visit country for this evaluation, the evaluation team members were never involved in FCPF work in Guyana, and by following the OECD DAC protocol for strong disagreements during the commenting period.

¹¹ Technical Assessment Report on Guyana’s FREL/REL submitted to the UNFCCC in December 2014.



We request that Guyana's sentiments that the endorsement of this approach by the UNFCCC and the main reason (we note that there were a few other areas for follow up as well) sends mixed signals to countries that UNFCCC Decision 13/CP.19 is at odds with the FCPF technical methods used for evaluating country REL. Guyana is concerned that this may lead to parallel tracks being created in expectations on REL. Further, Guyana is also concerned that non-approval of its REL on the basis of the RL is not congruent with the FCPF reflecting/embracing newer developments on RL, such as those that are reflective of compliance with UNFCCC review standards. We suggest that this disconnect be flagged as one of Guyana's concerns regarding other countries (Guyana we understand was one of the first six countries globally undertaking a UNFCCC review of its RL) undergoing the UNFCCC review and completing work on the REDD Readiness under the FCPF RL component, and these have been totally at odds with each other. FCPF was intended to be synergistic with UNFCCC and COP determined standards and this is not happening to the degree expected, at least as reflected in Guyana's case.

Both Mexico and Guyana are the only two FCPF Countries that have presented ER-PINs and that have submitted their Forest Reference Levels to the UNFCCC (in December 2014 for Technical Assessment, consistent with COP Decision 13/CP.19). Guyana's ER-PIN presented at the 13th Carbon Fund Meeting in October 2015 was not accepted into the Carbon Fund pipeline due to 11 points of non-conformance, mostly with the Methodological Framework. Relevant points of the Co-chairs' Summary from CFM13 (2015) noted that Guyana's resubmission should:

- Provide a credible justification of the proposed upward adjustment above the average historical emission rate over the reference period, in line with guidance from the Carbon Fund Methodological Framework
- Further clarify Guyana's definition of deforestation in the ER-PIN and its implication for monitoring and measuring changes in deforestation, or further clarify the definition of deforestation for Guyana
- Include all sources of forest degradation in the Reference Emissions Level, if together they are significant (beyond forestry-related drivers). Ensure full consistency between REL and ERP activities
- Address and elaborate on their ERP, include risk/benefit analysis, address additional synergies with the FIP, provide information on the risks of reversals, provide details on how consultations have been carried out (especially in remote areas), elaborate on the risk of land tenure, adjust the potential volume of emission reductions and provide information on the progress of the SESA/ESMF.

Finding: There is one country example (Guyana) where the application of the Methodological Framework will result in two national FREL/RELS for a REDD Country. One FREL/REL has already demonstrated conformance with the UNFCCC. Another FREL will need to be developed to show conformance with the Methodological Framework.

Finding: 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 in on the development of the Methodological Framework and the Results-Based Framework for the Carbon Fund. Financial Contributors generally mentioned that it took much longer to develop than expected. The common reason given was that the technical complexities required to develop a robust framework took time to understand and reach consensus on. This was one of the key bottlenecks with respect to why the Carbon Fund has yet to disburse results-based payments.

Some Financial Contributors and a Delivery Partner felt that it was important to balance this issue against the fact that the Methodological Framework and the Results-Based Framework for the Carbon Fund are the first of their kind. It was noted that no other



multilateral process has yielded a complete Results-Based Framework capable of rewarding REDD+. In this respect, Financial Contributors felt that if the Methodological Framework had been applied across the Carbon Fund REDD Countries, it would have been worth the wait. Several Financial Contributors mentioned that the development of the Carbon Fund's Results-Based Framework was being closely followed by other global programs and funds. However, the Evaluation Team did not find evidence of potential uptake of the Carbon Fund's Results-Based Framework during the evaluation.

The Annual Review of the FCPF commissioned by the United Kingdom as part of its support to the FCPF found that expectations have been met. The review noted a key lesson with respect to the Methodological Framework – that REDD+ methodological issues require a balance between simplicity and robustness. The review references several issues papers commissioned by the FMT. Design Forums and Working Group discussions held in 2013 also highlighted the complexity of the issues and the difficulty of ensuring that future ERPs in the Carbon Fund portfolio are not only technically robust and socially inclusive, but can also be implemented in reasonable time frames and provide enough certainty for recipient countries; see DFID (2014).

Finding: 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+.

Several international experts and private sector actors also weighed in on the Methodological Framework, noting that it is an important contribution to global REDD+ efforts. However, these informants did see potential problems, which are summarized below:

- the Methodological Framework is administered as a rigorous and rigid rule set when it is actually just a series of criteria, some of which are vague and open to interpretation.
- it was developed on the assumption that ERPs would be commencing implementation soon after the development, but three years later there are still no ERPs that have passed through the Carbon Fund process to an ERPA.
- some timelines and date rules in the Methodological Framework are contentious (e.g. the historical reference period for REL calculation).
- the cost and urgency of halting deforestation need to be seriously weighed against a very complicated instrument (i.e. expect it to take longer than envisioned).
- many REDD Countries will find it hard to comply with (e.g. REDD Countries will probably need to have a nationally accepted definition for measuring and monitoring forest degradation, and not all REDD Countries have this).

During the commenting period, several respondents added qualifying statements in relation to the points above:

Financial Contributor Comment: *“It is too early to fairly assess (the Methodological Framework) given that the Methodological Framework has not been properly tested yet – the first ERPs are testing it now (2016).”*

Delivery Partner Comment: *“The observation that the development of the Methodological Framework was ‘unexpectedly complex and long,’ resulting in major ‘delays,’ and countries are ‘having difficulties’ to meet the standard should be balanced*



against the overall objectives of the Carbon Fund (i.e. to pilot at REDD+ scale, which is new and ambitious and hasn't been done by any country yet). The time investment ('delays') in the development of the Methodological Framework upstream needs to be weighed against the more ad hoc (case-by-case) and therefore potentially more time-consuming review that would have to be performed otherwise at a later stage when ER-PDs are assessed downstream."

Finding: Different stakeholder groups had strong and divergent opinions about the Methodological Framework.

The Common Approach to Environmental and Social Safeguards. The Common Approach for Environmental and Social Safeguards establishes a platform for risk management and quality assurance in the REDD Readiness preparation process, using the safeguard policies of the World Bank as the minimum acceptable standard. It was formally approved in the 9th PC meeting in June 2011 (FCPF 2014b), following the recommendation of the first evaluation to identify delivery channels outside the World Bank and to pay attention to the equivalence of institutional safeguard mechanisms in this process (Baastel and NORDECO 2011).

At the core of the Common Approach is the SESAs, which leads to the formulation of an ESMF. It is a basic approach to ensure that environmental and social considerations are integrated into the National REDD+ Strategy process and REDD Readiness activities. The assessment also creates a platform for the participation of key stakeholders. The SESA is applied during the REDD+ Strategy formulation, while the ESMF is a management tool for the implementation phase of the REDD+ Strategy.

The guidelines that are part of the Common Approach include:

- FCPF/UN-REDD Guidelines on Stakeholder Engagement in REDD Readiness Preparation, including three main components:
 - Relevant FCPF and UN-REDD Programme Policies on IPs and Other Forest-Dependent Communities
 - Principles and Guidance for Effective Stakeholder Engagement; and
 - Practical Steps for Carrying out Effective Consultations
- FCPF Guidance on Disclosure of Information
- FCPF Guidelines for Establishing Grievance and Redress Mechanisms at the Country Level.

The first evaluation also recommended to "actively support learning and reflection around the SESA process—by ensuring effective and efficient transfer of early experiences from countries piloting SESA but also by linking externally to other initiatives exploring social and environmental impacts of REDD+ at national levels."

The FCPF M&E Framework sets the target (I.3.B) for the program that the "Common Approach is implemented and examples/lessons learnt are used in a standard setting for REDD+ by 2020."

In the 10th Participants' Committee Meeting held in October 2011, the UNDP and IDB were approved as Delivery Partners to the FCPF after the organizations had gone through an Independent Assessment of their safeguard policies to demonstrate their capacity to achieve substantial equivalence, as required by the Common Approach (Jenkins 2011a, Jenkins 2011b). In August 2012, the WB and the UNDP signed a Transfer Agreement, and consequently, the Transfer Agreement with the IDB was



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signed in October 2012. The FAO was also approved as a Delivery Partner; however, it has not signed Transfer Agreements for any country.

As of October 7, 2015 (FCPF 2015a), the UNDP is acting as a Delivery Partner for Cambodia, Honduras, Papua New Guinea, and Suriname. The IDB is a Delivery Partner for Guatemala, Guyana, and Peru. The Delivery Partner arrangement between the World Bank and the UNDP is pending for the Central African Republic, Panama, and Paraguay. The IEG (2012) review of the FCPF pointed out that the process of setting up the Multiple Delivery Mechanism and signing of the Transfer Agreements has been lengthy and costly.¹²

The *UNDP Progress Report to the FCPF on Matters pertaining to the Common Approach for the period 1 January – 31 December 2014* provides information on the UNDP process to establish an Accountability Mechanism (UNDP 2014). The Accountability Mechanism had two functions. The first one was “a Compliance Review process to respond to claims that UNDP was not in compliance with applicable social and environmental policies. The second one was a Stakeholder Response Mechanism (SRM) that ensured that individuals, peoples, and communities affected by UNDP’s programs and projects had access to appropriate grievance resolution procedures for hearing and addressing project-related grievances.”

The FCPF (2015a) also listed a series of activities that supported the implementation of the Common Approach, including:

- regional workshops on the Common Approach and social inclusion
- country-level awareness raising and capacity-building activities implemented by each Delivery Partner
- production of a joint guidance note on Establishing and Strengthening Grievance Redress Mechanisms by the WB, IDB, and UNDP
- training for operational staff of the Delivery Partners
- liaison with other REDD+ initiatives (such as UN-REDD and Climate, Community and Biodiversity Alliance CCBA) on social and environmental sustainability issues
- Joint Training workshops on social and environmental standards organized jointly with partner organizations such as CCBA (Mexico 2014) and UN-REDD on its Country Approach to Safeguards Tool (CAST) and Benefit and Risks Tool (BeRT).

Finding: The FCPF has operationalized the Common Approach for Environmental and Social Safeguards, including alignment of safeguard and stakeholder engagement among the Delivery Partner organizations.

Finding: 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.

Monitoring the extent to which the Common Approach is applied in the course of readiness preparation and implementation of REDD+ Strategy relies on Delivery Partner and government reporting. The FCPF Annual Report 2015 noted that the IDB

¹² In all other countries, the World Bank manages the funds. For the Carbon Fund, the World Bank is the only Delivery Partner.



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and the UNDP submitted full reports on the implementation of the Common Approach. Reports from the IDB covered Guatemala and Peru, and reports from the UNDP covered Honduras and Suriname. These reports were the first accounts from the Delivery Partners for which the REDD Countries were not in advanced stages of their readiness implementation. However, these reports provided little evidence to establish to what extent the safeguards have been and will be implemented in practice in the countries where the IDB or UNDP act as Delivery Partners.

The World Bank uses its Grant Reporting and Monitoring Report (GRM) and Integrated Safeguard Data Sheet templates to inform about the progress and the safeguards of the Grant Agreements that it manages as a Delivery Partner. The reports are available in the relevant country sections on the FCPF website.

The REDD Countries provide Annual Progress Reports on FCPF implementation. A review of those reports on SESA/ESMF formulation showed that seven countries have progressed “significantly” (usually indicated by a green light). Two countries reported that the process is progressing well, and a further 11 indicated that some progress had been made. The level of progress for many of those 13 countries was undefined. Nine countries were not demonstrating progress. A further 14 countries either did not report anything or the information was unclear. Four countries mentioned that they had not received FCPF support for this activity. Furthermore, only a few final National REDD+ Strategies and SESA/ESMF documents were available for a given REDD Country Participant on the FCPF website.

Similarly, the REDD Country Mid-Term Reports submitted during the evaluation period revealed that the information provided regarding the implementation of the Common Approach included different levels of detail. Costa Rica was the only country to explain the specific measures taken in terms of each relevant World Bank safeguard policy.¹³

Finding: Reporting on the Common Approach lacks consistency across the portfolio, creating challenges for portfolio-level monitoring and evaluation (M&E) of the Common Approach.

Finding: 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.

The online survey carried out among REDD Country Focal Points¹⁴ revealed that alignment of UNFCCC and FCPF safeguard requirements was a common source of frustration in many REDD Countries in spite of complementarities between the policies. The in-depth interviews showed that the challenge was, especially for LDCs, to understand the interaction between the various requirements (e.g. UNFCCC, FCPF, UN-REDD, and FIP). For example, instruments differ in terms of whether they are aimed at helping countries to operationalize the UNFCCC safeguards (e.g. one objective of the UN-REDD’s program) and/or demonstrating compliance with donor safeguards (e.g. World Bank’s safeguards) (see Peskett and Todd 2013).

SESA/ESMF: There were strong yet divergent views on the SESA/ESMF throughout the portfolio. A few REDD Countries noted its importance for ensuring participatory consultation processes. A number of REDD Countries expected a stronger justification for the SESA/ESMF. The lack of alignment of the SESA/ESMF, an institutional

¹³ Democratic Republic of Congo July 2013; Ghana April 2014; Indonesia April 2014; Liberia August 2014; Costa Rica May 2014; and Nepal September 2015, available in FCPF country websites.

¹⁴ Online survey question: “Describe the extent of challenges as a result of participating in the FCPF. Many challenges, some challenges, no challenges?”



safeguard process, with the UNFCCC, which provides global policy guidance and requirements on REDD+ safeguards (1/CP.16, -/CP.21), was a concern for stakeholders in the LAC region. For example, even when a REDD Country had a National REDD+ Strategy in place (Mexico) before signing onto the FCPF Grant Agreement, a SESA/ESMF still needed to be conducted to comply with FCPF requirements, and previous consultations were void.

In Nepal, the SESA/ESMF was the instrument mentioned by the most interviewees as being key to integrating different voices and concerns into the REDD Readiness process. Women's interest groups and IPs, in particular, identified SESA guidelines/instructions as having significant importance for their engagement. They found that these had created an opportunity for systematic engagement in a national dialogue.

Some Delivery Partner staff also raised the concern that these SESA/ESMF requirements are complex and, therefore, entail highly qualified technical staff to support the REDD Countries in ensuring compliance with the Common Approach. They mentioned that Task Team Leaders would also benefit from more training in this area.

To support the countries in the SESA/ESMF process, the FCPF organized five capacity-building workshops on social inclusion between 2012 and 2014. The workshop reports provided detailed information on the contents of the sessions, as well as feedback from the participants. The reports demonstrated that the participants required further comprehensive training on the SESA/ESMF and grievance redress mechanism tools. They also needed more time to discuss how to apply the tools in the country-specific contexts and how to link them with other components of REDD Readiness. A few single-day workshops were considered a limited timeframe in which to reach an in-depth understanding of those methodologies. Similarly, during the interviews, a few REDD Countries mentioned that the sequencing of the SESA/ESMF with other components of REDD Readiness was not clear, and that further guidance was needed.

Very few respondents across all stakeholder groups mentioned the other three sets of guidelines that are part of the Common Approach. Similarly, the SESA ToR template and Guidelines did not include a reference to the guidance provided under the Common Approach. The R-PP template did include the reference.

Finding: There continues to be a disconnect between UNFCCC and FCPF safeguard requirements.

Finding: 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.

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

Context

The discussion on this evaluation question is divided into several parts, starting with a concise answer to the evaluation question. The answer is based on the analysis carried out in the five other sections which discuss stakeholder engagement in the FCPF governance; the IP and CSO Capacity Building Program; country-level IP and CSO



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engagement; gender mainstreaming; and private sector engagement at the country level.

The FCPF M&E Framework focuses on country-level stakeholder engagement indicators. The indicators measure the extent of IP and CSO engagement in institutional arrangements and stakeholder platforms, as well as through the availability of financial resources for participation. In addition to the M&E Framework indicators, this evaluation also examined stakeholder engagement at the global level in the FCPF.

According to its Charter, the FCPF is expected to “build public and private partnerships for REDD among Participants and Relevant International Organizations, Relevant NGOs, Forest-Dependent IPs and Forest Dwellers, and Relevant Private Sector Entities.” The Charter also mentions that the FCPF shall “comply with the World Bank’s Operational Policies and Procedures, taking into account the need for effective participation of Forest-Dependent IPs and Forest Dwellers in decisions that may affect them, respecting their rights under national law and applicable international obligations.” However, the Charter does not define the terms “partnership” or “effective participation”. Therefore, it is unclear what exactly is meant by these terms in the context of the FCPF.

To establish the extent to which the stakeholders have been engaged in the FCPF, the evaluation used an assessment framework based on eight levels of engagement (see Table 6).

Answer

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.

Table 6 provides an overview of the extent to which the FCPF has achieved stakeholder engagement in its operations.



Table 6 Levels of Stakeholder Engagement in the FCPF

Level of engagement	Characteristics	Actions	The level of stakeholder engagement in FCPF activities
8	Independent management of the project/ program by stakeholders	Not relevant in the case of the FCPF as it is a program managed by the FMT under the supervision and guidance of the PC and PA.	
7	Delegated management	Stakeholders manage the activities/project under the supervision of the main implementer.	The <i>management structure</i> of the Capacity Building Program Phase II corresponds to this level (independent management of Calls for Proposals by IP/CSO intermediary organizations). However, <i>implementation</i> of Phase II faced challenges during the evaluation period.
6	Cooperation	Stakeholders collaborate with joint responsibility with the lead organization.	The Capacity Building Program Phase I: IPs and CSOs implemented projects based on grant agreements.
5	Support	Stakeholders collaborate closely with the activities/project/program.	The FCPF engaged IPs and CSOs at the global level as Observers and through global dialogue events. Women's Observer seat. Early indications of private sector engagement in ERPs.
4	Initiative	Stakeholders propose actions and provide ideas through their groups.	Stakeholders were engaged in R-PP formulation at the country level. Level of engagement depended on the country context.
3	Validation	Stakeholders accept and value the project critically.	
2	Analysis	Stakeholders study the contents of the project.	
1	Information	Stakeholders are informed about the project.	FCPF gender mainstreaming their reporting mechanism (does not involve IPs and CSOs as active contributors to global and country-level reports). Sub-national level stakeholder engagement. Private sector engagement in R-PP processes.

(Adapted from Ventosa Pérez 2014)



5.3.1 Stakeholder Engagement in FCPF Governance

Context

The official Participants form the core of the FCPF. These include the REDD Countries, the Donor Participants, and the Carbon Fund Participants. Furthermore, the FCPF Charter establishes Observer roles for both the PC and the Carbon Fund, constituting the main avenue for stakeholder engagement in the FCPF governance structure. Observer roles are designated for CSOs, representatives from Forest-Dependent IPs and Forest Dwellers, relevant international organizations, relevant private sector entities, the UN-REDD Programme and the UNFCCC Secretariat. This section focuses on discussing the engagement of CSOs and IPs in the FCPF governance structure.

The evaluation assessed IP and CSO engagement in FCPF governance in terms of three aspects: whether there has been a global change in the level of IP and CSO engagement in the FCFP since the first evaluation; whether the IP and CSO views on their ability to engage in the FCPF have changed since the last evaluation; and, finally, whether the IP and CSO Observers have been able to fulfil their mandate as described in their ToR.

Analysis and Findings

In October 2012, the FCPF increased the number of Observer seats applicable to both the Readiness Fund and the Carbon Fund. The relevant NGO Observers were increased from one to two (one from the North and one from the South) (resolutions PC/Electronic/2012/2 and Resolution CFM/Electronic/2012/1). The PC also approved one Women's Observer in 2013 (recorded in the Co-Chairs' Summary of the PC15 held from June 30 to July 1, 2013 in Indonesia, albeit with no modification to the Charter). In terms of IP and CSO interventions, the websites of the PC, PA and Carbon Fund meetings demonstrate constant and active participation on behalf of the Observers, such as statements on priority issues and remarks noted in the Co-Chairs' summaries.

Similar to the first evaluation, the interviewed Observers viewed positively the levels of engagement that they are allowed to have in the FCPF governance structure. They also regarded the dialogue with the FCPF as being constructive. The 2015 FCPF Annual Report also highlights that the "Observers have expressed their appreciation of the role the FCPF has played in building a trustful partnership between Observers, Countries and the Facility itself, and its role in facilitating inclusion and participation of IPs at global, regional and, most importantly, national levels." Moreover, and in line with the first evaluation, two Southern Observers brought up the lack of voting rights, hoping that the FCPF would consider taking this issue up in the future. The first evaluation mentioned this stakeholder comment as well.

The FCPF provided some support for the Observers to carry out their duties and responsibilities. According to the Charter, the FCPF covers the traveling costs of the Southern Observers. According to the FCPC Annual Report 2015, the FMT supports Observers' participation in other international processes and fora, like the UN Permanent Forum on Indigenous Issues, as well as in the Conference of Parties meetings organized by the UNFCCC.

According to their ToR, the Observers are expected to provide input and solicit issues and concerns to be raised at the meetings, as well as coordinate strategies within the Observer Group. Consequently, the representatives should transmit information from the meetings back to their networks, organizations, and constituencies (FCPF 2014c). Some Southern Observers mentioned that the coordination efforts rely mainly on email



exchanges, which has its limitations, considering the vast geographical areas that their work covers.

At a more general level, the FCPF has facilitated six dialogue events with IPs (FCPF 2016). A major outcome of the event organized in Doha, Qatar in December 2012 was the launch of the IPs' Global Plan of Action relating to FCPF (FCPF 2012d). The reports of the follow-up meetings provide specific technical comments and recommendations on behalf of the IPs to the FCPF, such as the FMT Summary of the Global Action Plan Follow-Up Workshop held in Washington, D.C. on February 11–12, 2013 (FMT 2013).

Finding: There has been an increase in overall IP and CSO engagement in the FCPF at the global level since the first evaluation.

Finding: IP and CSO Observers still considered the partnership between them and the FCPF as constructive and positive.

Finding: 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.

5.3.2 IP and CSO Capacity Building Program

Context

The Capacity Building Program for Forest-Dependent Peoples and Southern Civil Society Organizations is a funding mechanism that includes two separate windows: one for forest-dependent peoples (including both IPs and other forest dwellers), the other for Southern CSOs. The objective of the Capacity Building Program is to “provide Forest-Dependent IPs and other Forest Dwellers and Southern CSOs with information, knowledge and awareness on REDD+ in order to enhance their understanding of REDD+, and to engage more meaningfully in the implementation of REDD+ activities. The aim is to support activities that empower and enable these stakeholder groups, to enhance and influence REDD+ development outcomes, and also to strengthen mechanisms for inclusion, accountability, and participation” (FCPF 2013b).

This evaluation assessed to what extent and in what ways the CBP contributed to stakeholder engagement in the FCPF and to what extent the CBP had progressed towards its key outcomes.¹⁵

Analysis and Findings

The CBP was initially launched in 2008. In 2011, IP representatives requested the World Bank to increase funding for the CBP (FCPF 2011a). In the same year, the first evaluation of the FCPF recommended that the CBP should also include a component for CSOs in the program. Until then, the program had only targeted IPs (Baastel and NORDECO 2011).

¹⁵ The expected key results of the CBP are:

- enhanced understanding of climate change and REDD+ among Forest-Dependent IPs and other Forest Dwellers' and Southern CSOs;
- improved participation of Forest-Dependent IPs and other Forest Dwellers and Southern CSOs in the preparation of REDD+ Strategies and implementation of REDD+ programs within the context of their countries' policy and regulatory frameworks;
- enhanced participation of Forest-Dependent IPs and other Forest Dwellers and Southern CSOs in the international discussions on the role of REDD+ in climate change mitigation; and
- increased understanding and publicity of the views of Forest-Dependent IPs and other Forest Dwellers and Southern CSOs of REDD+ and the FCPF.



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During the evaluation period, Phase 1 (FY09–FY14) of the Program continued implementation, following the World Bank’s corporate procurement system, to provide IPs’ organizations and Southern CSOs access to funding through the Program. In addition, Phase 2 (FY15–17) was launched, during which new activities under the Program have been implemented in accordance with the World Bank’s Procedures for Small Recipient-Executed Trust Fund Grants (FCPF 2015b). Furthermore, as a follow-up of the first evaluation, the FCPF allocated USD 3.5 million to the IP window for FY12–15 and granted a budget of USD 2 million to the new CSO component for FY12–15 (FCPF 2015a).

Phases I and II of the CBP have progressed at different paces. In the first phase, the Program approved approximately 30 proposals with an overall budget of close to USD 2 million. To date, Phase I has achieved the completion and closure of 26 contracts totaling USD 1.9 million (FCPF 2015a).

However, Phase II has been slow to gain momentum. The reasons behind the delayed onset relate to a change in the grant allocation system. Several options for channeling the funds were evaluated in discussions with IPs and CSOs (FCPF 2013d). In the new decentralized modality, the funds are passed on to three IP organizations and three Southern CSOs in Asia, Africa and LAC. These intermediary organizations are in charge of selecting the in-country IPs and CSOs that will implement the activities on the ground. Due to the delays in the implementation (which are due to the World Bank’s administrative procedures and largely beyond the influence of the FMT), the PC(PC17) agreed to extend the program to FY17 (FCPF 2015c).

Feedback from IPs and CSOs is consistent across the sector: the actors are frustrated with the slow onset of Phase II. Some respondents are concerned that while readiness preparations are progressing in the countries, IPs and CSOs face the risk of being left behind in terms of capacity building. Furthermore, compared to other similar funds that provide funding for IPs in the field of climate change, in financial terms the FCPF CBP is relatively small (Indufor 2015b).

Finding: The implementation of the IP and CSO Capacity Building Program (CBP) Phase II has been delayed, which has led to a limited response to the IP’s and CSO’s expectations of capacity building.

Finding: The budget allocation for CBP is comparably small, compared to its objectives.

The FCPF Annual Reports are the main available source for obtaining information on the specific activities that the Facility implemented under the CBP. The Program is described in a Concept Note and the FMT provides regular updates on the Program’s status in PC meetings. However, no standard documents are available, such as a formal Program Document, M&E Framework, detailed periodic reports, or a stand-alone website. Therefore, the publicly available materials do not allow systematic analysis of the projects’ locations, interventions and achievements. Similarly, reports formulated by the implementing organizations are not available online. As a consequence, it is difficult to assess the overall performance of the Program against its expected results.



Finding: 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.

5.3.3 Country-level IP and CSO Engagement

Context

At the country level, IPs and CSOs are expected to contribute to government-led REDD+ processes, which the FCPF M&E Framework measures through the extent of their engagement in institutional arrangements and stakeholder platforms, as well as through the availability of financial resources for participation. In addition, the R-PP formulation is a key stage in stakeholder engagement during the readiness phase at the national level.

The evaluation examined to what extent and in what ways these targets have been achieved and what role the formulation of FCPF documents (especially the R-PP) has played in stakeholder engagement in the REDD Countries.

The role of the Social and Environmental Safeguard Assessment in stakeholder engagement is discussed in the section that deals with the Common Approach to Environmental and Social Safeguards.

Furthermore, the Evaluation Team acknowledges that attaining high stakeholder engagement must be viewed differently across different REDD Countries.

Analysis and Findings

The FCPF Annual Reports 2014 and 2015 estimate that the FCPF is well on track for the indicator on IP and CSO in-country action in REDD+ processes. While the reports provide a series of examples to support the statement, given that the indicator focuses only on examples, the observation can only be considered as indicative and not a portfolio-level source of information.

The report also mentions that for the indicator on IP and CSO representation in institutional arrangements in the context of national and sub-national REDD+ planning and implementation, further development is required (FCPF 2015a). The target is for all FCPF countries to have such arrangements in place. In the 2015 report, the estimation is that 32 REDD Countries out of 47 have reached this target. Similarly, the 2015 Annual Report mentions that there are examples of countries that have set aside Readiness Grant resources to support similar efforts of organizing and strengthening the REDD+ CSO Platform (such as in Fiji, Vanuatu, and Thailand). The report does not provide details on each country, which would allow an understanding of what kinds of arrangements are included in the analysis and what the specific role of IPs and CSOs is in these structures.

The findings from the field visits and from the online survey to the REDD Country Focal Points¹⁶ support the information provided in the FCPF Annual Reports. Stakeholders agree across the board that the FCPF approaches to REDD+ have been inclusive in the REDD Countries, especially at the national level. On some occasions, the increased

¹⁶ Online survey questions were: 1. "Overall Opinion of the FCPF. Is your overall opinion of the FCPF: positive/neutral/negative?" and 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."



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participation of IPs and CSOs has also opened a door for expressions of criticism on the levels of stakeholder engagement (e.g. Peru and Guyana).

The main shortcoming that the IPs and CSOs reported was the lack of engagement at sub-national levels. Another point that was raised widely by IPs and CSOs was that REDD+ interventions in general (not only the FCPF) have continued to create unrealistic expectations regarding the degree and timing of REDD+ benefits among the stakeholders (e.g. Peru or Mexico). In some cases, information dissemination and consultation events were counterproductive, leading to fundamental misunderstandings about the role of REDD+ in forest management and local development. The issue of managing expectations on what REDD can and cannot deliver was raised already in the first FCPF evaluation.

Finding: 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.

Finding: 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 of funding allocated to stakeholder engagement was the IP and CSO Capacity Building Program discussed above. In most REDD Countries, the governments manage the Readiness Grant and do not allocate further funds for IPs or CSOs. The engagement is organized through invitations to events rather than implementation of grants or service contracts. Although outside the evaluation period, in a few countries the government has agreed to delegate part of the funds to CSOs (e.g. Mexico).

Finding: 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 Annual Progress Reports submitted by the REDD Countries lacked in-depth information on the progress of the different components of readiness. The template indicated a place to include stakeholders in the formulation process of the report. However, the available documents did not provide clear evidence about how the countries complied with this requirement. For example, the template did not require any recording of the names of individuals that were consulted and when, nor what views they provided. There was also no evidence of stakeholder validation of the information in the Progress Reports.

Finding: The FCPF reporting mechanism does not collect direct feedback from country-level stakeholders.

5.3.4 Gender Mainstreaming

Context

The FCPF Charter does not make any specific references to gender equality and the M&E Framework only mentions that “wherever possible, indicators are gender differentiated, i.e. for outcome 3 and 4, meaning that information needs to be collected for both men and women.” The M&E Framework also indicates that “*this gender differentiation implies that countries, in the development of their respective country level M&E frameworks and the reporting during the implementation of their R-PPs, must be mindful of the need to report on sex-disaggregated data and differentiated effects and impacts, whenever possible.*”



This evaluation investigated whether the FCPF had taken into account any further gender considerations in addition to the provision of disaggregated data. The topics included the existence of gender analysis and inclusion of gender aspects in technical and institutional documents and processes of the FCPF (especially FCPF M&E, R-PPs, National REDD+ Strategies, FCPF/UN-REDD Guidelines on Stakeholder Engagement in REDD Readiness, networks and partnerships created for gender mainstreaming, inclusion of gender at the global, national and sub-national levels in FCPF). In line with the Inception Report, the evaluation considered whether there is a need for a specific Gender Inclusion Plan as a separate document with defined content within FCPF requirements. These elements are in line with the UN-REDD Guidance Note on Gender Sensitive REDD+ (UN-REDD 2013).

Analysis and Findings

There was no evidence that a Program-wide gender analysis has been carried out in the FCPF. The only gender considerations that were included in the FCPF M&E Framework were indicators to collect sex-disaggregated data whenever possible.

In terms of gender mainstreaming at the country level, one of the purposes of the SESA/ESMF process is to ensure that governments consider gender aspects in their REDD+ National Strategies. The available National REDD+ Strategies formulated with FCPF support (Costa Rica, DRC, and Ghana) all mention gender in their strategies. Similarly, the R-PP and ER-PIN templates, the Methodological Framework, the Readiness Assessment Framework and the FCPF/UN-REDD Guidelines on Stakeholder Engagement in REDD Readiness include mentions of gender.

The FCPF REDD Country Participant webpages contain evidence of gender mainstreaming at the national level attributable to the FCPF. Examples include Uganda's Road Map and Action Plans and Ghana's Road Map to Mainstreaming Gender Considerations into Ghana's REDD+ Process.

However, an analysis carried out by IUCN (2015) on the gender responsiveness of the existing R-PPs revealed that *“there is substantial language for most countries on the equitable distribution of benefits from REDD+. While the terms ‘women’ and ‘gender’ are mentioned an average of 18 and 10 times per R-PP, respectively, and women are recognized as key stakeholders by most countries evaluated, key aspects of gender mainstreaming are mostly absent—including gender-responsive indicators, budgeting for women’s activities, and communicating how women will be empowered by REDD+.”*

The REDD countries were requested to report on women's participation in FCPF-supported activities in their Annual Progress Reports. The information is quantitative (i.e. the number of men and women that participated in specific activities), in accordance with the FCPF M&E Framework.

There was no evidence that during the evaluation period the FCPF had joined and/or fostered networks and partnerships created for gender mainstreaming in the context of REDD+ and forestry. Although outside the evaluation period, however, during the 21st PC Meeting (May 2016), the FCPF held a thematic session on Integrating Gender Dimensions into the work of the FCPF moderated by the World Agroforestry Centre (ICRAF).

The PC also approved one Women's Representative in 2013. However, the Evaluation Team noted a lack of formality in the process; the decision is mentioned only in the Co-Chairs' summary of the PC15 held from June 30 to July 1, 2013 in Indonesia.



Comments from the interviewees were consistent across the stakeholder groups. The FCPF has not managed to sufficiently mainstream gender into its operations. In particular, the respondents reported on the exclusion of rural and indigenous women from effective participation because they do not have the required capacity to contribute to the dialogues. The field visit findings are in line with these comments.

Finding: 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.

Finding: 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.

5.3.5 Private Sector Engagement at the Country Level

Context

The first evaluation recommended that the FCPF should consider, in close coordination with other REDD-related funding mechanisms, measures to strengthen participation of responsible private sector players in REDD+ processes.

In this context, under Output 2.3 the M&E Framework includes increased levels of private sector investment for incentivizing, testing, and supporting upscaling of emission reduction activities. The related indicator and target is the acquisition of two new private sector participants by 2013. The disconnect between the global indicator and the country-level outcome requires disaggregation of private sector engagement at both country and global levels. The common expectation across the global and country levels was that private sector engagement would act as a trigger to leverage additional resources for investment and scaling up of emission reduction activities in relation to REDD+.

Analysis and Findings

Since the first evaluation findings (Baastel and NORDECO 2011), private sector engagement has continued to be a challenge in the FCPF and in general when it comes to REDD-related investments (see also Annex 3 for field visit reports from Madagascar and Nepal, as well as Peru). Private sector engagement was also mentioned as a challenge in the FCPF Annual Reports 2013 and 2015. The private sector, on the other hand, offers potential for cooperation and coordination on REDD+. However, the disconnect that often exists between companies' policies at the corporate level and the reality on the ground requires further understanding, given the heterogeneity of the private sector actors.

A recurring point made by private sector interviewees was that they need a clear business case, where the private sector could identify its role in REDD+ and de-risk. There were a variety of factors, such as policy uncertainty and low carbon prices, which may have affected the private actors' decisions to explore opportunities for investment in REDD+. On the other hand, there were some early indications that private companies are becoming more engaged in ERP development. The examples included private sector engagement in national REDD+ forums that have a clear role in the formulation of their country's ERP under the FCPF (such as in Ghana, the DRC and the Ivory Coast), although this was not applied across all ERPs.

In Ghana, several companies sourcing cocoa were involved in partnering with the government for the formulation of Ghana's ERP under the FCPF. According to Ghana's



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ER-PIN (2014), Olam is a licensed buying company that purchases cocoa beans. Olam is currently funding and engaged in multiple projects with cocoa farmers, including certification, farmer business schools, and farmer data management. Touton is a cocoa bean trading company that works with the largest LBC in the country. Touton is supporting certification of cocoa farms to ensure sustainable sourcing. Ghana's ERP would build on both Olam's and Touton's initiatives.

Côte d'Ivoire's ER-PIN (2015) presented its engagement with the private sector using the Coffee and Cocoa Council (CCC). CCC is a public-private organization that promotes sustainable development in the cocoa and coffee sectors, and it manages the Cocoa Platform, where private actors can express their views and objectives. This platform brings together several exporters and processors, notably OLAM, MONDELEZ, CARGILL, CEMOI, MARS, ADM, ZAMACOM, and NESTLE. Under Côte d'Ivoire's ER-PIN (2015), agreements on the quantifiable and zero-deforestation production will be negotiated with these operators within the framework of the Emission Reduction Project.

There are many corporations making pledges towards promoting zero-deforestation supply chains which have the potential to link with REDD+. As noted in FCPF (2015) and supported by a recent report on supply chains (CDP 2015), there is a gap between pledges and actions on the ground. Large corporations operating globally are still coming to terms with what they need to do to operationalize commitments to halt deforestation by 2030.

Even though the FMT designed the Carbon Fund to have two tranches to facilitate private sector interest, it had a high-entry threshold of USD 5 million. According to some private sector interviewees, this was a barrier to entry for smaller-scale players. Having a greater number of private actors participating in the Carbon Fund with smaller contributions might have increased participation and the voice of the private sector.

Finding: ERPs' 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.

Finding: 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.

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

Context

In order to be able to support multi-sectoral actors in institutional arrangements and national dialogues, REDD+ needs to be instituted within the government so that it can reach out to other sector ministries and ingrain the REDD+ agenda in the plans and policies of those sectors, such as agriculture, energy, and transportation. It is important to acknowledge that only a REDD Country's government can make the decision or initiate efforts to involve multi-sectoral actors in institutional arrangements; it is not something that can be attributable to the FCPF. Therefore, the answers need to be viewed in the context of national sovereignty, acknowledging the limitations of the FCPF.

The evaluation question evolved from two questions in the ToR. First, are the national institutional arrangements effectively leading coordination at the country level, and if



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not, how can they be improved? The proceeding analysis thus looks at whether instituting national REDD Readiness through national readiness management arrangements will kick-start efforts to reach out to other sectors.

Secondly, how are actors outside the forestry/environmental sector (e.g. private sector, ministries of planning, agriculture and finance) being involved in institutional arrangements? The judgement criteria for assessing this question tested whether mechanisms for involving multi-sectoral actors are effective and involving multi-sectoral actors. Effectiveness was defined by whether the mechanisms are established and meeting regularly, and whether the National REDD+ Strategies reflect different interests and address multi-sectoral drivers of deforestation.

To further frame the above judgement criteria, the analysis employs the guidance of the R-PP template's 1a National Readiness Management Arrangements, which requires REDD Countries in the FCPF to describe their national readiness management arrangements. This includes the design and methods of operation, the roles and responsibilities at various levels of management, and the relative hierarchy between institutions across sectors.

Finally, there are many projects, programs and processes that can support efforts to involve multi-sectoral actors in countries' institutional arrangements, especially for REDD+. The mix of potential external factors, such as the political dimensions of governmental institutions, created challenges for this evaluation when distinguishing between the FCPF's attribution and contribution of results.

Answer

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.



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Analysis and Findings – Instituting REDD Readiness

Field visits and interviews confirmed that instituting REDD+ at the national level in REDD Countries brought many benefits. Examples of benefits included improved coordination between REDD+ projects (Madagascar), creation of a body to specifically address deforestation (Ghana), creation of national ownership of the REDD+ process (DRC, Lao PDR), and attainment of formal and higher visibility REDD+ recognition (Madagascar, Nepal).

The R-PP template and guidance (Version 6 2012) were designed to involve multi-sectoral actors. The template states, “The purpose of setting up the national readiness management arrangements is to manage and co-ordinate the REDD-plus readiness activities whilst mainstreaming REDD-plus into broader strategies such as the national low carbon strategies and national development plans.”

In the introductory guidance to the R-PP template, Box 1 specifically notes that a key lesson from early FCPF R-PPs and the UN-REDD Programme is to: “Develop some form of cross-sectoral REDD-plus working group: The working group composition and national REDD-plus management processes need to be cross-sectoral and engage relevant sectors and stakeholders. FCPF experience with its R-PP and UN-REDD experience in developing National Programs has made clear that REDD-plus readiness requires cross-sectoral coordination within multiple government agencies.”

As part of the readiness formulation and implementation process, REDD Country Participants had to define the national institution that would be responsible for leading and coordinating the national REDD+ process. Based on a review of all R-PPs and ER-PINs, the institutionalization of REDD+ in national-level ministries has been documented across a large part of its portfolio.

Finding: 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.

The extent to which national institutions effectively led coordination on REDD+ at the country level depended on a number of factors, which were often external to the FCPF. For example, Lao PDR had an active REDD+ Task Force that effectively led decision-making and involved multi-sectoral actors until institutional restructuring in 2012–2013 significantly delayed the implementation of its readiness work program. Indonesia experienced delays in its progress due to institutional restructuring, which merged the Ministry of the Environment and the Ministry of Forestry. The former Indonesian National REDD+ Agency, under the President’s Office, was also reconstituted into a National Steering Committee.

The FCPF has contributed financial support for national REDD+ institutions. REDD Countries presented the support in their Annual Country Progress Reports. Some examples include financial support for the National REDD+ Coordination office in Madagascar, the National REDD+ Secretariat in Ghana, and staffing of the REDD+ Secretariat in Ethiopia.

Rent-seeking behavior by national institutions was also noted during interviews in the evaluation, as national institutions competed to monopolize the REDD Readiness process and associated financing. Those actions reduced cross-sectoral collaboration between ministries and actors. Some REDD Country Government stakeholders felt that the FCPF could improve the performance of cross-sectoral coordination if common



guidance was produced beyond the R-PP and ER-PIN templates and discussed in PC/PA meetings.

On the other hand, some very effective institutions cooperated and coordinated their national REDD+ processes, although these cannot be attributed to the FCPF. Under the Norway-Guyana REDD+ Partnership, Guyana's Multi-stakeholder Steering Committee met monthly and published their minutes online.¹⁷ The quality of the minutes demonstrated good leadership and coordination with multi-sectoral actors on the national REDD+ process. Costa Rica's REDD+ Executive Committee also met monthly and placed online their documentation of consultations, R-PP formulation, legislation, etc.¹⁸ It included actors from other sectors, such as agriculture and banking, in its arrangements.

Finding: 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.

Finding: 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).

Analysis and Findings – Involving Multi-sectoral Actors

A review of all R-PPs and ER-PINs found that stakeholder engagement platforms and mechanisms for involving multi-sectoral actors were documented for all REDD Country Participants. Each country had different roles and processes for including non-forest/environment sectors in dialogue and outreach. A review of the REDD Countries' most recent Annual Progress Reports showed that 42 of the 45 active REDD Countries in the FCPF portfolio reported stakeholder engagement platforms (see FCPF REDD Country Participants' Documents in the References). Of these, 22 countries reported that their stakeholder platform had conducted meetings. A total of 19 REDD Countries in the portfolio reported stakeholder engagement platforms that met at least once a year.

Field visits validated the information presented in the R-PPs and ER-PINs on multi-sectoral involvement in institutional arrangements and dialogues. The field visits revealed that in practice, multi-sectoral platforms and working groups were sometimes temporary and lacking formality (e.g. decree). This should be balanced by the fact that multi-sectoral engagement departs from conventional engagement processes in most countries.

The field visits found that the ER-PIN preparation process provided an additional opportunity for many REDD Countries to reach out and create cross-sectoral and multi-stakeholder dialogue, and there were examples that demonstrated a good degree of success.

The field visit to Ghana revealed that Ghana continuously improved as it progressed through its readiness implementation and into its ER-PIN formulation. Ghana's ERP was formulated in close cooperation with new actors which had been somewhat overlooked in its R-PP formulation, such as the Ghana Cocoa Board (Ministry of Finance). Madagascar's ER-PIN formulation process also engaged with key government agencies that were not a part of the R-PP process. Madagascar's ER-PIN

¹⁷ <http://www.lcds.gov.gy/mssc>

¹⁸ <http://reddcr.go.cr/es/centro-de-documentacion>



process included the Ministry of the Interior, the Ministry of Livestock and the Ministry of Local Government in its discussions.

The field visit to Peru found a multitude of cross-sectoral, multi-stakeholder mechanisms for REDD+ and biodiversity in the country. However, none of the CSO platforms were recognized by the government as a formal dialogue partner, including the national REDD roundtable. Mexico also had multiple mechanisms for inter-sectoral coordination, but interviewees attributed the existence of these platforms to other financing sources and projects, not the FCPF. In addition, cross-sectoral participation was viewed as lacking in these mechanisms. Nepalese stakeholders recognized the need for multi-sectoral coordination within its REDD+ process. Their high-level multi-sectoral coordination mechanism, the Apex Body, did not meet regularly (only twice). However, the REDD Working Group, which has representation from other relevant ministries and is sub-ordinate to the Apex Body, has met 18 times (Nepal Annual Progress Report 2015).

Finding: 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.

Finding: The formality and reporting on multi-sectoral arrangements was found to be variable during field visits.

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

Context

The Charter defines that one of the four objectives of the FCPF is to broadly disseminate the knowledge gained in the development and implementation of the Facility.

The objective is integrated in the FCPF's M&E Framework; one of the four expected outcomes is that knowledge gained from the FCPF should be used by international REDD practitioners. This was measured by the existence of examples of utilization of/or reference to FCPF knowledge products.¹⁹

According to the M&E Framework, the outcome is reached by the achievement of four outputs: (i) the implementation of a knowledge-sharing and communications strategy, (ii) active South-South learning, and (iii) strong FCPF and REDD+ visibility. The indicators of success focus on measuring increases, for example, in the number of people reached, in products disseminated, and in the appearance of the FCPF in the media.

In this context, one of the priorities of the evaluation was to examine the views of the REDD Country Focal Points on the FCPF as a global platform for knowledge sharing, given that they are the primary target group for capacity building in the FCPF.

¹⁹ In this section, certain FCPF instruments (such as the Readiness Assessment Framework) are considered as knowledge products, in line with the approach that FCPF reports are formulated in terms of knowledge sharing. A separate discussion on the ways in which and to what extent the various instruments developed by the FCPF have been helpful to the REDD Countries in preparing to undertake REDD+ is provided in Section 5.2.



Answer

At the global level, the FCPF has promoted knowledge sharing between stakeholders 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.

Analysis and findings

The online survey showed that REDD Country Focal Points consider the FCPF to be a useful platform for knowledge sharing, especially the possibility to share with peers and other countries information, ideas, and lessons learnt. 41 respondents (87%) considered that exchanging knowledge and experiences with other FCPF countries made solving REDD-related problems easier.²⁰ In fact, knowledge sharing was mentioned as a key benefit provided by the FCPF. It was ranked high in overall opinions on the FCPF (Question 1), along with expectations met (Question 2) and benefits acknowledged (Question 4).²¹ Four respondents had experienced challenges with FCPF knowledge-sharing activities. Their comments reflected the general frustration with the complexity of technical aspects within the REDD Readiness preparation process. Two respondents did not answer the question.

The field visits showed that REDD Countries relate differently to the FCPF as a knowledge-sharing platform. For example, Ghanaian stakeholders considered that their country has been providing knowledge more than learning from other countries. Madagascar, on the other hand, did not have access to international knowledge-sharing events due to the political crisis that marked the country for several years. In Nepal, the stakeholders were keen to learn from other countries, but they wished that the FCPF would proactively recommend cases they could learn from. The Peruvian government staff also hoped that the FCPF staff would actively suggest relevant sources of information and facilitate key contacts for the country to build a network of peers to share knowledge and experiences. In Mexico, the FCPF was considered less important as a global source of information and training provider compared to the capacity building provided by other agencies working on REDD+ in the country.

²⁰ Question 8 of the online survey: "Has following FCPF guidance tended to make solving REDD+ problems in your country easier or harder?"

²¹ 1. "Overall Opinion of the FCPF. Is your overall opinion of the FCPF positive/neutral/negative? Please explain your answer."

2. "Expectations of the FCPF. Have your expectations of the FCPF been met/partly met/unmet? 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? Please explain your answer."



Finding: The REDD Country Focal Points perceived the FCPF to be a useful platform for knowledge sharing for REDD+.

The 2015 Annual Report stated that the FCPF was well on track in the expected outcome “Knowledge gained from the FCPF should be used by international REDD practitioners measured by the existence of examples of utilization of/or reference to FCPF knowledge products” (green light). Both 2014 and 2015 Reports indicated that the FCPF Readiness Assessment Framework had been the most utilized knowledge product of the FCPF because it had helped REDD Countries to plan their readiness preparation activities within a structured framework. Other examples from the 2015 FCPF Annual Report included the study on Early Lessons from Jurisdictional REDD+ and Low Emissions Development Programs jointly published by The Nature Conservancy and the FCPF; see Fishbein and Lee (2015). The FMT presentations that provided an update on FCPF’s progress in PC meetings since the launch of the FCPF M&E Framework (June 2013) did not mention any additional examples of how various REDD practitioners have used FCPF knowledge products.

Several specialists knowledgeable on social issues (typically experts on social inclusion in REDD+ from national governments, Observers of the FCPF, World Bank staff or other partners) criticized the FCPF for not being able to communicate REDD+ topics effectively to the general audience and affected stakeholder groups. They expected that the FCPF should at least make efforts to present translated materials in simple language which can be easily understood. Many also pointed out that this seems to be a common problem in all international REDD+ initiatives.

Only limited evidence was available to demonstrate how the FCPF measured learning from its knowledge-sharing activities or the added value to the participants of the FCPF as a platform. For example, comparatively few workshop reports included data on participants’ feedback. It is worth noting that the final reports of the social inclusion workshops followed a standard format, which included a workshop evaluation at the end of the document.

Finding: Examples of utilizing FCPF knowledge products existed, but systematic reporting on stakeholder feedback of FCPF knowledge products was unavailable.

At the 15th PC meeting in 2013, the FCPF presented a Draft Framework Strategy for Knowledge Management and Communications (FCPF 2013d). Since that meeting, the Facility has not published the final version of the Strategy. The FMT informed the Evaluation Team that the FCPF has preferred to maintain a high degree of flexibility within the FMT’s Knowledge and Communications Team in order to be able to adapt faster to the changing needs of the evolving portfolio. The specific activities have been defined in an annual budget and a quarterly work plan. Both of these are internal working documents and are not publicly available.

In 2012, the FCPF and UN-REDD carried out a joint needs assessment for capacity building on REDD+ to identify the specific needs of the REDD Country Focal Points in this regard (Kojwang and Ulloa 2012). Furthermore, the 2015 FCPF Annual Report informed that the Facility has been moving towards increasingly tailor-made capacity-building activities for REDD Readiness and ERP development. Consequently, the emphasis was less on global South-South exchanges. However, only limited evidence on the specific changes in the approach, methodology and implementation of the support activities was available for the evaluation.



The FCPF Annual Reports were a key resource for the Facility's stakeholders to follow up and understand the achievements and challenges of the FCPF. To provide inputs to the global report, the REDD Countries were asked to submit information on REDD+ knowledge products that they have developed and published with FCPF support. They were also expected to indicate how many people have been reached by these knowledge products (if any). However, seeing that this information was not discussed in the FCPF Annual Reports, the Evaluation Team understood that the details were not systematically processed in any way by the FCPF.

Interviews with World Bank staff confirmed that, at least in some regards, the Annual Progress Reports submitted by the REDD Countries provided little added value for monitoring of the FCPF portfolio. The interviewees considered that face-to-face discussions and knowledge days during more formal meetings would be much more useful for exchanging information and creating networks and that the indicators on knowledge sharing in the M&E framework require strengthening. The interviewed World Bank staff also mentioned that the indicators related to knowledge sharing and communications require revision and strengthening for them to be useful for M&E purposes.

Finding: 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.

Finding: The M&E Framework does not provide a useful tool for monitoring and evaluating the success of FCPF's knowledge-sharing and communications activities.

South-South learning has taken place during various regional and international FCPF knowledge-sharing workshops on REDD+. During the evaluation period, the FCPF organized six regional/international events focusing on technical subjects. Topics included national reference levels for REDD+ (FCPF/Winrock, Washington DC 2011), the role of local communities in REDD+ MRV (Mexico 2011), Payment for Ecosystem (PES) lessons for REDD+ (Durban 2011), FRELS/FRLs (Washington DC 2013), total costs of REDD+ activities (DRC 2013), and linking local REDD+ projects to national REDD+ strategies (Ethiopia 2013). Regarding the recommendation of the previous evaluation to encourage learning around SESA process, the FCPF organized five regional workshops on social inclusion during the evaluation period.²² Each workshop discussed consultation, participation and grievance redress mechanisms, as well as SESA/ESMF processes.

In addition, the FCPF and UN-REDD have jointly organized Programme Knowledge Exchange Days in 2013 (Switzerland), 2014 (Tanzania), and 2015 (Costa Rica), as well as Global Dialogue events with IPs in 2012, including one global meeting (Qatar) and three regional meetings (Africa, Asia, and LAC).

The FCPF Annual Reports demonstrated that the FCPF has been continually providing several South-South learning events per year at least since 2010. However, the workshop reports did not provide evidence that the FCPF measured learning from its capacity-building sessions. A few social inclusion workshop reports included a section on participants' satisfaction, but not learning as such.

Interviewees across all stakeholder groups acknowledged that the FCPF has also built an extensive network of collaborators, which includes governments, Forest-Dependent

²² The workshops took place in the Republic of Congo (2014), Guatemala (2014), Colombia (2013), Thailand (2013), and Kenya (2012).



IPs, other Forest Dwellers, NGOs and other CSOs, Delivery Partners, international organizations, and private sector entities, among others.

Finding: 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+.

Finding: Only limited evidence was available to demonstrate how the FCPF measured learning from its knowledge-sharing activities.

The main source for obtaining information on the indicators related to FCPF and REDD+ visibility (such as number of people reached, products disseminated, and appearance of the FCPF in media) was FMT presentations in PC meetings. The slides provided such examples as the number of disseminated knowledge products, improvements made to the FCPF website, and numbers of visits to the home page and Facebook. However, apart from the numbers on Facebook followers, the data gathered to feed the indicator was not systematically processed, and it was not presented in the presentations or in the Annual Reports.

Respondents to the interviews provided divergent views on the usefulness of the FCPF as a knowledge-sharing platform. Seven Financial Contributors mentioned that the FCPF offered a good opportunity to learn about the current developments of REDD+, and they viewed FCPF Participants Committee meetings as a place to gain and share knowledge. Interviewees from REDD Country governments, the World Bank, IPs and CSOs acknowledged that the FCPF is a useful source of information and that the website is well organized. At the same time, they admitted that the site is targeted to specialized people who have an advanced understanding of REDD+. Similarly, other stakeholders from the same categories mentioned that it is often difficult to find information on the FCPF website. The Evaluation Team also observed the lack of a site map, resulting in difficulties in locating sub-pages that contain key information.

Related to accessibility of information, the Anti-Corruption Assessment of the FCPF carried out by Transparency International in 2013 concluded that the FCPF has made commitments and improvements in terms of transparency²³ in several aspects, namely in the availability and timeliness of documentation. Transparency International also concluded that the FCPF has put guidance in place that clearly lists the information to be made available, together with responsible parties and timelines. This practice further ensures the regular publication of information on its executive functions and activities. On the negative side, the report proposed that the FCPF should disclose and make accessible on its website information regarding the anti-corruption rules and safeguards of downstream actors, such as Delivery Partners and REDD+ Country Participants. The report also mentioned a lack of webcasting of meetings and a dedicated and active section for Observers on the FCPF website to communicate up-to-date information about Observers, their roles and their input to the Fund. Finally, Transparency International concluded that in spite of some important advances, the FCPF cannot be said to have a comprehensive corruption prevention approach in place for all of the actors falling within its remit in the absence of a Fund-wide policy of zero-tolerance of corruption. However, the Evaluation Team acknowledges that the World Bank as a

²³ Transparency is defined by Transparency International on the organization's website as follows: "Transparency is about shedding light on rules, plans, processes and actions. It is knowing why, how, what, and how much. Transparency ensures that public officials, civil servants, managers, board members and businesspeople act visibly and understandably, and report on their activities. And it means that the general public can hold them to account. It is the surest way of guarding against corruption, and helps increase trust in the people and institutions on which our futures depend."



trustee of the FCPF does possess a comprehensive corruption prevention approach as part of the overall organization.

The Evaluation Team noted that the available online materials that targeted specific audiences with differentiated messages were scarce. For example, there was no FCPF guidance on how to reach out and engage with the private sector on REDD+ at the country level. There was also no clear space for IPs and CSOs in general or the Capacity Building Program specifically. Similarly, there were no easily understandable materials on the FCPF targeted at national and sub-national players, which governments could adopt, based on the circumstances of their country. Stakeholders with limited knowledge of REDD+, regardless of their educational level, have had access to only a limited selection of FCPF knowledge products and communications materials.

The absence of translations on the FCPF website (e.g. some key documents and knowledge products not translated into French and Spanish) was also noted; this was an issue already raised by the first evaluation. This included the FCPF Annual Reports. Translations of some key documents were available, such as the Carbon Fund Methodological Framework. A number of documents were systematically translated and uploaded to the FCPF website (on the webpages of meetings), including meeting agendas, Co-Chairs' Summaries, REDD Country requests for additional funding, Resolutions, and documents related to ERPA's. Interpreting is systematically provided at the meetings.

Respondents interviewed during the field visits, especially in Peru and Nepal, commonly pointed out that stakeholders at the national and sub-national levels required further capacity building on REDD+ in general. However, the efforts should be coordinated with other REDD+ initiatives.

Finding: 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.

Finding: 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.

Finding: IPs and CSOs had low visibility in the FCPF website.

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

Context

The first evaluation report made 22 recommendations with which to guide the future development of the FCPF in June 2011 (Baastel and NORDECO 2011). This section outlines to what extent the FCPF integrated those recommendations. The 22 recommendations from the first evaluation were largely directed at the overall governance entities of the FCPF – most notably the PC and the FMT. However, there are occasional recommendations that are targeted at participating countries.

A follow-up review was conducted by the IEG of the World Bank Group in 2012; see IEG (2012). The IEG reviewed the independence and quality of the first evaluation and provided a second opinion on the effectiveness of the FCPF based on the first evaluation. It also assessed the World Bank's performance as a partner to the FCPF Program. The IEG reviewed the recommendations of the first evaluation and the World



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Bank's management response for each of those recommendations. In addition, the IEG review presented its own assessment of whether the recommendations had been adopted.

This analysis systematically lists the 22 recommendations from the first evaluation and includes as references a summary of the World Bank's management response (FMT 2011) and the IEG's assessment (IEG 2012) in a matrix. In addition, the analysis reviews the relevant resolutions from PC meetings that led to changes and FMT notes that provided guidance, in relation to the first evaluation's recommendations. Thus, it provides an assessment of the extent to which the FCPF has responded to the recommendations of the first evaluation.

Answer

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.

Table 7 Analysis and Findings on Follow-up of the First Evaluation's Recommendations

1 st Evaluation Recommendations (Baastel and NORDECO 2011)	Management Response (FMT 2011) (Summary)	Assessment (IEG 2012)	PC/PA Response	2 nd Evaluation Finding
1. Decentralize Facility Management Team (FMT) staff; provide more in-country support.	Partially Agreed. Do not decentralize FMT but transfer REDD+ capacity to Bank regions and assess needs for in-country assistance.	Partially achieved via coordination with regional bank staff where there are forest operations. More support is needed where there is no forest sector lending portfolio.	N/A	Achieved. A shift to more country-tailored technical support occurred from 2013 onwards. Additional staff in FMT was recruited to provide more in-country support. See Section 6.3.2 (The Performance of Superstructure Groups) for a detailed analysis of changes made in the FMT since the first evaluation.
2. Provide dedicated funds to national CSOs.	No Response.	Achieved via USD 2 million to support CSO participation in the FCPF.	Resolution PC/10/2011/1.rev; subject to the mapping results noted in FMT Note 2012-5 and summarized in FMT Note 2013-3.	Achieved. See Section 5.3 regarding the creation of a new CSO program and an in-depth analysis of the results of the current program.
3. Strengthen participation of key ministries in R-PP planning processes.	No Response.	Partially achieved , with PC members being mostly responsible for achieving this.	N/A	Partially Achieved. This is a recommendation that can only be taken at the REDD country level. Results show that it was variable across REDD countries. See findings under Section 5.4 (To what extent and in what ways has the FCPF supported efforts to involve multi-sectoral actors in countries' institutional



1 st Evaluation Recommendations (Baastel and NORDECO 2011)	Management Response (FMT 2011) (Summary)	Assessment (IEG 2012)	PC/PA Response	2 nd Evaluation Finding
				arrangements and national dialogues?).
4. Strengthen efforts to learn from previous experiences, lessons, successes, and failures in participating countries.	Merits further discussion.	Partially achieved via South-South knowledge-exchange workshops, but PC meetings could provide more space for learning.	<p>Workshops involving South-South knowledge sharing in various technical topics on REDD+: Washington DC (2011), Ethiopia (2013); DRC (2013); Washington DC (2013); Durban (2011); Mexico (2011).</p> <p>Regional workshops on social inclusion: Republic of Congo (2014), Guatemala (2014), Colombia (2013), Thailand (2013), and Kenya (2012).</p> <p>Joint FCPF and UN-REDD Knowledge Exchange Days in 2013 (Switzerland), 2014 (Tanzania), and 2015 (Costa Rica), and Global Dialogue events with IPs in 2012, including one</p>	Achieved. See the findings from Section 5.5.



1 st Evaluation Recommendations (Baastel and NORDECO 2011)	Management Response (FMT 2011) (Summary)	Assessment (IEG 2012)	PC/PA Response	2 nd Evaluation Finding
			global meeting (Qatar) and three regional meetings (Africa, Asia, and LAC).	
5. Focus capacity building around the readiness process and around piloting in selected areas.	No Response.	Partially achieved via a change of focus to ERP design, but this may reduce attention to building overall readiness capacity.	N/A	Partially Achieved. This recommendation was directed at REDD Countries. It is still relevant and needs to be implemented in new countries added to the portfolio, which have recently commenced REDD Readiness implementation.
6. Actively support learning and reflection around the SESA process.	Agreed. Countries need active support for SESA implementation.	Not achieved. The SESA/ESMF has not yet been fully implemented in any participating country.	Workshops involving SESA/ESMF training: Republic of Congo (2014); Guatemala (2014); Colombia (2013); Thailand (2013); Kenya (2012).	Partially Achieved. Five capacity-building workshops on SESA have taken place since the first evaluation.
7. Scale up technical and financial support to regional measures designed to foster South-South exchange and learning.	Agreed. The World Bank Group has several avenues, including dedicated trust funds, through which South-South exchanges can and should be promoted.	Partially achieved.	South-South Exchanges were noted under Section 5.5 in the report and listed under “PC/PA Response” for Recommendation 4 in this table. Further South-South exchanges are noted	Achieved. The FCPF achieved this objective in 2011–2013. Refer to the field visit reports in Annex 3 for a list of South-South exchanges and learning events. See also the response to Recommendation #1 above, which notes that the priority for technical support shifted to focus on in-country technical support.



1 st Evaluation Recommendations (Baastel and NORDECO 2011)	Management Response (FMT 2011) (Summary)	Assessment (IEG 2012)	PC/PA Response	2 nd Evaluation Finding
			in the field visit reports in Annex 3, such as the South-South Cooperation Kenya-Ghana Knowledge Exchange (Kenya/Ghana 2015).	
8. Move away from “flat-rate” commitments to a system that provides differentially sized grants. Provide increased flexibility to specific budget allocations.	Agreed. Increased support should continue to cater to readiness activities covering analytical and capacity-building activities, not pilot activities.	Achieved via “top-ups” of USD 5 million to select participating REDD Countries for R-PP preparation.	Resolution PC/12/2012/2 Process for Submitting and Reviewing Mid-Term Progress Reports and Requests for Additional Funding and Resolution, which further built on PC/10/2011/1.rev., which decided to provide up to USD 5 million additional allocation.	Achieved. However, this point requires further discussion, outlined below at the request of a respondent during the evaluation’s commenting period.
9. Expansion of the portfolio.	No Response.	Not achieved. This decision will be made at PC 14.	Resolution PC/16/2013/1 and Resolution PC/17/2014/6 led to additional REDD Countries being accepted into the FCPF Portfolio.	Achieved. Expanded portfolio to 47 REDD Countries in 2014.



1 st Evaluation Recommendations (Baastel and NORDECO 2011)	Management Response (FMT 2011) (Summary)	Assessment (IEG 2012)	PC/PA Response	2 nd Evaluation Finding
10. Streamline the process of approval and disbursement of funds. Continue to foster greater coordination with bilateral and multilateral partners at the country level.	Ongoing, partially Agreed. Readiness Preparation Grant Agreements to FCPF countries should be sped up, but activities to be supported by the FCPF need to be identified.	Not achieved. 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.	Following from Resolution PC/14/2013/2 at PC14, the FMT Note 2013-6 indicated that new countries accepted to the portfolio should sign Readiness Preparation Grant Agreements within 14 months of being allocated a Readiness Preparation Grant; the FMT's Presentation "Progress since PC18" at PC19 reported on the progress of the FMT Note.	Partially Achieved. See findings and conclusions on efficiency. For an analysis of leveraging with bilateral and multilateral partners at the country level, see Section 6.3.1.
12. Continue efforts through the Task Force on Multiple Delivery Partners to identify delivery channels outside the World Bank, recognizing that diversifying delivery and implementation partners will most likely help to improve disbursement rates.	Management is supportive of the ongoing efforts to diversify the delivery channels for supporting FCPF REDD Readiness processes in REDD Country Participants outside the World Bank. Management views the purpose of diversifying Delivery Partners not only as	Achieved. IDB and UNDP. A Common Approach has been developed across the agencies to ensure consistency in safeguards application.	Resolution PC/9/2011/1 was passed on the Common Approach to Environmental and Social Safeguards for Multiple Delivery Partners.	Achieved. See Section 5.2 for an in-depth analysis of the implementation of the Common Approach.



1 st Evaluation Recommendations (Baastel and NORDECO 2011)	Management Response (FMT 2011) (Summary)	Assessment (IEG 2012)	PC/PA Response	2 nd Evaluation Finding
	helping to increase commitment and disbursement rates, but also as providing effective REDD Readiness delivery mechanisms to REDD Country Participants based on the comparative advantages of the various Delivery Partners.			
13. Streamline the R-PP review process.	No Response.	Achieved. 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.	FMT proposed streamlining the R-PP during PC9 (see the presentation “FCPF Program Evaluation”), summarized in FMT Note 2011-9. R-PP Template v6 presented at PC11, with guidance on the updated review process in the presentation “Review of R-PP Template and Presentation of ad hoc Technical Advisory Panels for PC11 R-PPs.”	Achieved.
14. Ensure translation at key meetings and that materials developed by	No Response.	Partially Achieved.	No formal PC/PA response on this recommendation.	Partially Achieved. Some key documents are available in French and Spanish on the FCPF



1 st Evaluation Recommendations (Baastel and NORDECO 2011)	Management Response (FMT 2011) (Summary)	Assessment (IEG 2012)	PC/PA Response	2 nd Evaluation Finding
FCPF are available in all main languages.				website. Documents that are systematically available in all three languages include meeting agendas, FMT Notes, Co-Chairs' Summaries, Resolutions, and documents related to ERPAs. Various R-PPs have also been translated (however, not systematically). There are many key documents on the FCPF website that are not translated into Spanish and French, such as FCPF Update presentations by the FMT at PC meetings, FCPF Annual Reports, FCPF Financial Reports, Rules of Procedure, FCPF review templates, templates for the ER-PIN and ERPD, and guidance documents for social inclusion, to name just a few. Stakeholders predominantly from LAC and Francophone Africa generally mentioned the need to translate key materials into Spanish and French. See Section 5.5 for further analysis.
15. Energetically pursue the development and operationalization of a comprehensive M&E.	No Response.	Partially achieved. A new M&E framework has been launched by the FMT prior to the PC11 meeting; however,	The proposed M&E Framework was adopted at PC14 and the revision to the Framework are FMT	Achieved. See Baastel and NORDECO (2011) for the M&E Framework that guided this evaluation.



1 st Evaluation Recommendations (Baastel and NORDECO 2011)	Management Response (FMT 2011) (Summary)	Assessment (IEG 2012)	PC/PA Response	2 nd Evaluation Finding
		the framework requires further strengthening.	Note 2012-11 rev. and FMT Note 2012-11 rev2, respectively.	
16. Continue to strengthen coordination with UN-REDD, take advantage of mutual strengths and limitations in delivery mechanisms.	Achieved.	Achieved. The R-PP template has been standardized and formalized between the agencies.	<p>Since the first evaluation, the presentation at PC10 “Presentation of Revised R-PP Template; and PC10 Ad Hoc Technical Advisory Panels” noted that harmonization of R-PP template in v6 was completed.</p> <p>Joint documents: “Guidelines on Stakeholder Engagement in REDD Readiness” and FGRM have been compiled.</p>	<p>Achieved. Coordination between the FCPF and UN-REDD. A number of stakeholders mentioned that there has been a strong effort over the past few years to improve coordination between the FCPF and the UN-REDD Programme. The strong coordination between the FCPF and UN-REDD Programme in the DRC was one of the key factors that led to the timely progress of the DRC’s R-Package, the first R-package delivered.</p> <p>Improved coordination between the UN-REDD Programme and FCPF has been further strengthened (see Resolution PC/Electronic/2012/2), including hosting FCPF/UN-REDD joint meetings (e.g. Joint FCPF/UN-REDD Programme Knowledge Day, December 11, 2013) for lessons learning, as well as developing common guidance of the engagement with stakeholders (FCPF 2012c). At</p>



1 st Evaluation Recommendations (Baastel and NORDECO 2011)	Management Response (FMT 2011) (Summary)	Assessment (IEG 2012)	PC/PA Response	2 nd Evaluation Finding
				the country level, many of the R-PPs (e.g. Ethiopia, Vietnam) specified pledges or budgeted allocations from UN-REDD towards national REDD Readiness. See analysis of Recommendation #17 below for further examples. Section 5.3 provides examples of the coordination between the FCPF and UN-REDD.
17. Strengthen moves towards greater alignment and harmonization of FCPF funds with other multilateral and bilateral sources.	Agreed. 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.	Not achieved. Very little progress is being made in this area of alignment.	N/A	Partially Achieved. High variation across the FCPF portfolio. The extent achieved at the country level depends on REDD Country coordination and support from the delivery partner.
18. Develop and implement a communication and outreach strategy to disseminate and package FCPF outcomes more widely at the country level, within the World Bank, and to external audiences.	Agreed, ongoing. A communications plan will be developed by the FMT.	Not achieved.	N/A	Not Achieved. As a response to the recommendation, the FCPF formulated a Draft Framework Strategy for Knowledge Management and Communications. Hence, the FCPF followed up on the recommendation. In addition, it added a component on knowledge sharing to the strategy. However, the document



1 st Evaluation Recommendations (Baastel and NORDECO 2011)	Management Response (FMT 2011) (Summary)	Assessment (IEG 2012)	PC/PA Response	2 nd Evaluation Finding
				<p>was never finalized; the activities have been implemented based on an internal quarterly work plan and budget.</p> <p>The second evaluation observed that the knowledge-sharing component has received more attention from the FCPF than the communications element. In fact, the Evaluation Team considers external communications in the FCPF as one of its main weaknesses.</p>
<p>19. Consider measures to strengthen participation of responsible private-sector players in REDD+ processes.</p>	<p>Agreed.</p>	<p>Not achieved. 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>Recognizing that ERPs require more financing and investment, the FCPF began investigating the possible use of debt-leveraging instruments (specifically guarantees and bonds) in 2015.²⁴</p> <p>The FMT presented two specific proposals on how those financial</p>	<p>Not achieved across the portfolio at the country level. Some emerging examples in ER-PINs.</p> <p>The Carbon Fund was set up to contribute towards creating a strong framework for any future payment system for REDD+, including funds or markets, by demonstrating and testing results-based incentive systems, creating high-quality emission reductions, and providing learning opportunities by testing a variety of ERPs. To encourage the</p>

²⁴ While outside the period of this evaluation, the Evaluation Team found it relevant to highlight such initiatives. In 2015, the FCPF also reached out to the GCF (CF 13).



1 st Evaluation Recommendations (Baastel and NORDECO 2011)	Management Response (FMT 2011) (Summary)	Assessment (IEG 2012)	PC/PA Response	2 nd Evaluation Finding
			instruments could provide a means to leverage Carbon Fund resources to generate investment finance from other sources, including the private sector. So far, nothing has been definitively determined.	<p>participation of private entities, the FMT divided the Carbon Fund into two tranches. Tranche A²⁵ was designed for participants with unrestricted use of ERs. Tranche B served those with restrictions on the use of their ERs.</p> <p>In 2011 (before the period of this evaluation), both BP Technology Ventures and CDC Climat joined the Carbon Fund Tranche A, with each making the minimum financial contribution. In light of these pledges (among others), the FMT saw an opportunity to further attract private sector funding. In 2013, Agence française du développement took over CDC Climat's obligations. BP also decided to limit its continuation as a Carbon Fund Participant, although it continued</p>

²⁵ Tranche A of the Carbon Fund represents a trust fund established under the Carbon Fund, which focuses on programs that are expected to generate real, measureable emission reductions verified against relevant international standards, including, where possible, compliance-grade standards. Participants in this Tranche include Australia, BP, CDC Climat and The Nature Conservancy.

Tranche B of the Carbon Fund represents a trust fund established under the Carbon Fund which focuses on programs that are expected to generate real, measureable emission reductions verified against relevant international standards, including, where possible, compliance-grade standards; and where such emission reductions generated are restricted so i) that the Carbon Fund Participant's pro rata share of emission reductions will not be used for sale or for compliance purposes, and ii) that the Carbon Fund Participant will cancel the emission reductions it acquires through the Carbon Fund and instruct the Trustee of the Carbon Fund to cancel them in the reporting system maintained by the Trustee or any other emission reduction registry. Participants in this Tranche include the UK, the EC, Germany and Norway.



1 st Evaluation Recommendations (Baastel and NORDECO 2011)	Management Response (FMT 2011) (Summary)	Assessment (IEG 2012)	PC/PA Response	2 nd Evaluation Finding
				support up to 2020 in light of the extension of the Carbon Fund term to 2025. Interviewed stakeholders speculated that BP had entered the Carbon Fund to test a new investment opportunity. However, the lack of clear carbon market signals, coupled with the high transaction costs of attending meetings and following the process, did not prove to be conducive to the partnership.
20. Beyond R-PP development, begin consideration and finalization of minimum readiness conditions (“triggers”) required to access the Fund.	No Response.	Partially achieved. The R-Package is under discussion.	FMT Note 2012-6 summarized the role to-date of the R-Package and the ongoing discussions about further changes in that role towards REDD Readiness. Resolution PC/12/2012/1 further outlined the role of the R-Package in the Readiness Preparation process, and Resolution PC/14/2013/1 saw the adoption of the R-Package Assessment	Partially Achieved. The first evaluation noted the benefits of “learning by doing” in achieving REDD Readiness. It noted that the three phases of REDD+ were likely to overlap and run parallel, rather than work sequentially. This evaluation found that the lesson was adopted, with many REDD Country Participants submitting ER-PINs for consideration in the Carbon Fund pipeline while continuing to implement their readiness programs. In addition, the Carbon Fund set the requirement that REDD Countries need to have an R-Package endorsed before they



1 st Evaluation Recommendations (Baastel and NORDECO 2011)	Management Response (FMT 2011) (Summary)	Assessment (IEG 2012)	PC/PA Response	2 nd Evaluation Finding
			Framework. All of these responses added to the FCPF Charter outlining the role of the R-Package.	submit an ERP and sign an ERPA.
21. Engage with countries on options for governance and institutional set-up to ensure transparency and agreed approaches to benefit sharing in this operationalization.	No Response.	Not achieved. This may be included as part of the R-Package criteria.		No evidence was available to assess this recommendation. This is because during the evaluation time period, no ERPD had been submitted. The ERPD template includes a section on benefit sharing (Section 15) which requires an explanation to show conformance with the Methodological Framework. Section 5.2 of the Methodological Framework entails criteria and indicators specifically on benefit sharing. For example, Indicator 30.1 requires an advanced draft of the benefit sharing plan to be publicly available before the signing of the ERPA.
22. Ensure during the operationalization phase of the Carbon Fund that it is building on the lessons of the FCPF preparation phase.	No Response.	Not achieved. Under development.		Not Achieved. Insufficient evidence to assess the recommendation, given the initial stages of REDD Readiness implementation at the portfolio level.



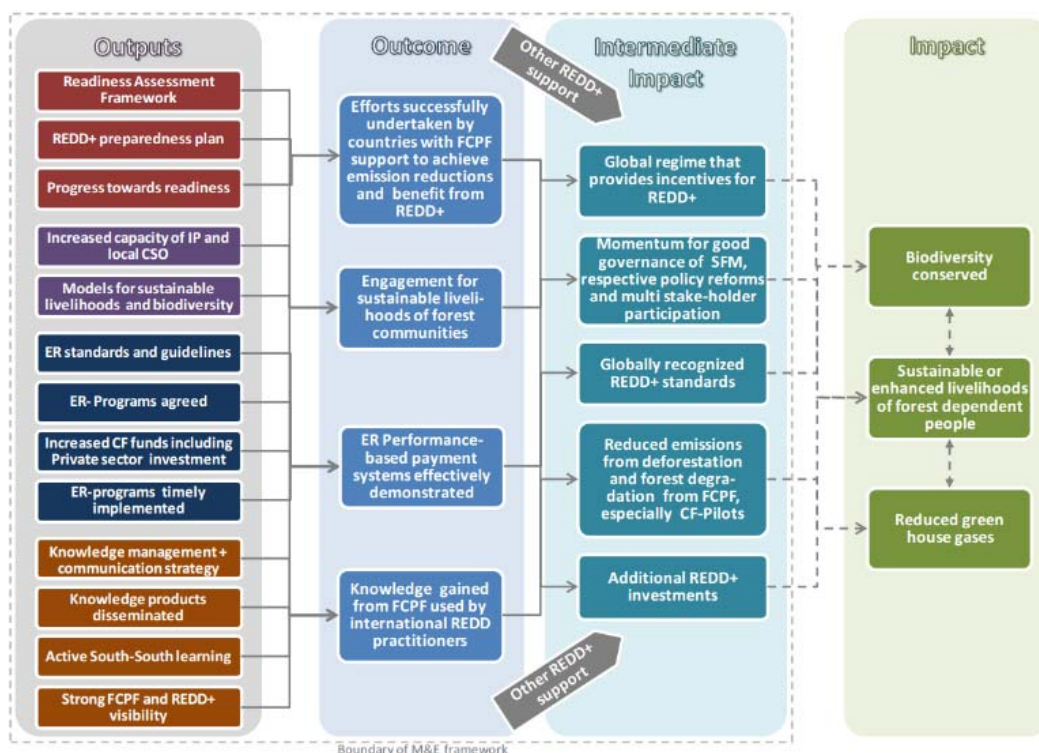
6. EVALUATION RESULTS FOR IMPACT, SUSTAINABILITY AND EFFICIENCY

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

Context

This section is structured around FCPF’s Results Chain and its five main expected intermediate impacts and four outcomes (Baastel and NORDECO 2011).²⁶ The Results Chain reflects the piloting nature of the initiative. It distinguishes between the intermediate impact of the FCPF, which can be somewhat 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, the enhancement of livelihoods of forest-dependent communities, and biodiversity conservation. However, they are beyond what can be measured by a FCPF M&E Framework, and they are most likely to materialize only after 2020. The impact pathway is built around the assumption that global climate change negotiations under the UNFCCC remain supportive. Figure 10 below presents the Results Chain.

Figure 10 FCPF Results Chain



Source: Lafontaine et al. (2013)

Also considered are critical assumptions underlying the outcomes of the FCPF’s impact pathway: that incentives provided by REDD+ schemes are sufficient; that interest in result-based payments remains high enough; that there are no extraordinary

²⁶ The contents of this evaluation question deviate slightly from the original configuration defined in the Evaluation Matrix, which was part of the evaluation’s Inception Report. This modification was agreed upon in consultation with the evaluation’s Oversight Committee.



circumstances in the country that prevent submission of R-Packages; that international negotiations remain supportive for REDD+; and, for the Readiness Fund, that the submission of R-packages by REDD Countries is voluntary.

Finally, the evaluation question addresses the contribution of the FCPF to the aforementioned Results Chain, and results should be distinguished from attribution, as discussed in Chapter 2. As a series of targets and indicators were not achieved under Outcome 2, there are inactive elements of the Results Chain that affect the overall ability to determine potential intermediate and long-term change, even though other outcomes were mostly achieved.

Answer

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.

Of the fourteen outputs in the FCPF results chain, at least seven (50%) were not attained at the time of this evaluation. The findings 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.

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 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.

Analysis and Findings

Annex 9 of this report provides a rapid review of the *Proposed Revised Logical Framework* presented in Baastel and NORDECO (2011) against the FCPF’s objectives stated in Section 2.1 of the FCPF Charter (IBRD 2013).

The FCPF mostly met the indicators under 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). The only exception was the target for output indicator 1.3.d on disbursements (see Section 6.2 on Efficiency). This finding provided justification that Objective 1 of the FCPF’s charter “To assist Eligible REDD Countries in their 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” was



realistic, in terms of REDD Country Participants' capacities and within a reasonable timeframe.

Some key indicators were not met under 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). These targets and output indicators were not realistic, as they failed to account for the time needed and complexity of designing all the elements (e.g. Methodological Framework, ERPA terms sheet) to pilot a REDD+ Results-Based Framework.

Most stakeholder groups needed to adjust their expectations regarding the timeliness and the readiness of REDD countries to pilot a Results-Based Framework. The private sector consulted was the most skeptical of the results from piloting. Some stakeholders from Financial Contributors and Delivery Partners questioned to what extent the output indicators and targets under Outcome 2 reflect the realities, complexities and capacities that constrain progress in achieving results-based financing under REDD+.

Resolution CFM/12/2015/1 approved the extension of the Carbon Fund so that instead of terminating activities on December 31, 2020, the Carbon Fund will terminate on December 31, 2025. Subsequently, the FCPF updated the Charter to reflect the extension of the Carbon Fund. The timeline extension raised concerns among some Financial Contributors that the progress and development of the ERPs would slow as a result.

In order to manage this risk, the Carbon Fund presented and adopted Resolution CFM/13/2015/8 *Milestones and Deadlines for Emission Reductions Program Idea Notes Selected into the Pipeline of the Carbon Fund of the FCPF* at the 13th meeting in October 2015. The resolution applied strict timelines for the submission of the ERP, and it estimated that the time between the submission of an ER-PIN, signing of an Lol, submission of an ERPD, agreed negotiation of an ERPA, and agreement on a Results-Based Framework would take less than four years (about 43 months) in the worst-case scenario (FCPF 2013c).

Under Outcome 3: Engagement of all stakeholders (i.e. governments, CSOs, IPs, private sector and Delivery Partners) to sustain or enhance livelihoods of local communities and to conserve biodiversity within the approach to REDD+.

The first indicator under this outcome addresses the enhancement of livelihoods of local communities and biodiversity conservation with the target that all National REDD+ Strategies, monitoring systems and Emissions Reduction Programs incorporate indicators related to biodiversity conservation and forest community livelihood development. Regarding the progress achieved for this target, the two available R-Packages and National REDD+ Strategies all included the required indicators. See an in-depth portfolio analysis in Annex 8 of this report. The second indicator refers to results from Emissions Reduction Programs, none of which were available during the evaluation period.

Regarding IP and CSO involvement in the FCPF, the findings show that stakeholders could engage in government-led REDD+ processes, especially through R-PP development. The levels of engagement were considered relatively inclusive depending on the country context. However, private sector and sub-national stakeholder engagement was less systematic than at the national level across the



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portfolio, while some emerging examples of private sector involvement were observed in ERP processes.

Phase I of the IP and CSO Capacity Building Program was the main source of financing for IP and CSO engagement at the country level. Phase II suffered from serious delays in implementation.

During the evaluation period, global-level stakeholder engagement was strengthened through an increase in Observer seats and the organization of global dialogue events. The IP and CSO Observers continued to consider the partnership between them and the FCPF to be constructive and positive.

Gender mainstreaming was evident in the form of gender-disaggregated data in the FCPF Performance Measurement Framework. However, the core aspects of gender mainstreaming (such as plans for gender inclusion and gender analysis) received less attention.

See Section 5.3 for the evaluation analysis and findings on IP and CSO stakeholder engagement.

Indicators under Outcome 4: Knowledge gained in the development of the FCPF and implementation of R-PPs (under the Readiness Fund) and Emission Reductions Programs (under the Carbon Fund) broadly shared, disseminated and used by international REDD practitioners. See Section 5.5 for analysis and findings on knowledge sharing.

Outcome 4 is defined by knowledge gained as a result of FCPF interventions. However, only limited evidence was available to demonstrate how the FCPF measured learning or collected feedback from its knowledge-sharing activities. Furthermore, the lack of a formal Strategy for Knowledge Management and Communications without 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.

In spite of the lack of a formal strategy, the FCPF produced a series of knowledge products and evidence was available to demonstrate that the products have been used by international REDD practitioners. The FCPF has also promoted the sharing of knowledge between stakeholders at the global level through its website, social media and global events during and between its PC meetings. Moreover, in line with the recommendations of the first evaluation, the FCPF has continued providing several opportunities per year for active global and regional South-South learning in collaboration with other institutions working on REDD+.

In general, 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).

(Intermediate)²⁷ Impact #1: Global Regime that provides incentives for REDD+

The logical framework presents the following two indicators for this impact:

I.1.A Actual design of a global regime that includes REDD+

²⁷ The Results Chain feeds into the logical framework. The Results Chain distinguishes between impact and intermediate impact, whereas the proposed revised logical framework does not distinguish between impacts and intermediate impacts (hence the parentheses around "intermediate").



Sections 4.1 and 5.2 provide analysis of how the R-PP and Readiness Assessment Framework have structured REDD+ into components consistent with the UNFCCC.

The Warsaw REDD+ Framework and subsequent REDD+ COP decisions cannot be attributed to the FCPF. Support for these agreements originated predominantly from FCPF partner countries. However, FCPF Focal Points, many of whom were negotiators for REDD+ to the UNFCCC, share many different viewpoints regarding the extent to which the FCPF contributed to the global agreement process. This indication is countered by the UNFCCC negotiation process being Party-led, meaning that agreements and decisions were predominantly influenced by the policies and priorities of Parties, the majority of which are external to the FCPF.

I.1.B Examples of how FCPF learning and experience fed into UNFCCC REDD+ decisions

The FCPF was co-secretariat to the Interim REDD+ Partnership, formed in 2010 and closed in 2014. During this period, REDD Countries presented their experiences on designing MRV systems and Safeguard Information Systems and explored issues relevant to the UNFCCC negotiating process in Interim REDD+ Partnership meetings. The experiences shared through presentations, included REDD Countries lessons and knowledge²⁸. To what extent the FCPF learning and experience presented at the Interim REDD+ Partnership fed into UNFCCC REDD+ decisions was not clear, as there was limited evidence to draw conclusions. More specifically, consultations with REDD Country FCPF Focal Points and UNFCCC REDD+ negotiators revealed that they had shared their FCPF stories and lessons at Interim REDD+ Partnership meetings, but did not know whether the lessons from these sessions fed into COP decisions.

Finding: The FCPF was catalytic in responding to and structuring a program for REDD Readiness.

(Intermediate) Impact #2: Reducing emissions from deforestation and forest degradation from FCPF, especially carbon fund portfolio countries

The logical framework presents the following two indicators for this impact:

I.2.A Number of tons of CO₂ emissions from deforestation and forest degradation reduced in Carbon Fund-supported Countries

The FCPF has made slow progress regarding this impact. No ERPA's have been signed as of December 2014 or December 2015, going beyond the evaluation's temporal scope. To further enhance its potential to disburse from the Carbon Fund, the Carbon Fund pipeline expanded to include more countries in varying stages of readiness. This is in contrast with its initial mandate to pilot incentive payments to five countries which had made significant progress. It is currently unclear whether this action will increase the overall emissions reductions attributable²⁹ to the Carbon Fund.

I.2.B Number of tons of CO₂ emissions from deforestation and forest degradation reduced in all FCPF countries

To be able to assess this indicator, the Evaluation Team would need data available from national GHG inventories, registries, national forest monitoring systems or other recognized sources. Most REDD Countries in the FCPF are still in the process of

²⁸ <http://reddpluspartnership.org/>

²⁹ The Carbon Fund's General Conditions of ERPA's contain legal text for ownership and sale of emission reductions generated under ERPA's. Therefore, the results, if attained, will be attributable through the registry.



designing and testing their MRVs to be able to provide data for reporting on this indicator. What is positive, however, is that about half of the FCPF portfolio mentioned that REDD+ is an important part of their INDC. This indicator should stay in the framework to measure results against what is reported in future submissions to the UNFCCC on emission reductions.

Finding: 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. Emissions Reduction Purchase Agreements ERPA's).

(Intermediate) Impact #3: Globally recognized REDD+ standards

The logical framework presents the following two indicators for this impact:

I.3.A Examples of non-participant countries that have adopted FCPF standards in their own REDD+ processes

There was uptake of FCPF instruments in UNREDD Countries not in the FCPF (when the two programs worked together to design joint templates and guidance), such as the R-PP template. Countries not in the FCPF that are implementing REDD+ use their own standards for reporting, conducting consultations and measuring emission reductions. The Evaluation Team reviewed the six countries submissions to the UNFCCC reporting their FREL/RELS (December 8th 2014). Brazil, Colombia, Ecuador, Malaysia and Mexico used their own legislation and national definitions to define their first FREL. Guyana's submission was the only submission that made reference to the FCPF's criteria from the Methodological Framework. Guyana is yet to be accepted into the Carbon Fund pipeline for reasons outlined in Section 5.2 of this report; see also the Co-Chairs' summary from the 13th Carbon Fund Meeting CFM13 (2015).

The Evaluation Team could not find any examples or evidence of FCPF non-participant countries that adopted FCPF standards, such as the Methodological Framework.

For example, India (a non-FCPF country) uses its own acts, executive instructions and orders at the central and state levels to ensure that REDD+ will not adversely impact the traditional and legal rights of local communities (Kishwan and Panda 2014). Botswana, also a non-FCPF country, designed its REDD+ MRV system to comply with and pilot a Results-Based Framework with Southern African Development Community's (SADC) program.³⁰ There are multiple examples of non-FCPF countries that design their own systems.

Stakeholders interviewed mentioned that if the FCPF wanted to create globally recognized standards for REDD+ that non-FCPF countries might use, it would need to make methods and requirements simple.

I.3.B Common Approach successfully implemented

See Section 5.2 for in-depth analysis of the implementation of the Common Approach. The finding was that there is not enough evidence to conclude if the Common Approach has been successfully implemented. The main issue was that most REDD Countries in the FCPF portfolio have yet to implement and complete their SESA/ESMF. Therefore, it is still too early to determine how and to what extent the Common Approach might be implemented.

³⁰ <https://www.sadc.int/sadc-secretariat/directorates/office-deputy-executive-secretary-regional-integration/food-agriculture-natural-resources/redd/>



Finding: Joint FCPF-UNREDD templates and guidance improve the potential for globally recognized standards for REDD+.

(Intermediate) Impact #4: The FCPF has catalyzed investment in REDD+ (Carbon Fund and grants)

The logical framework presents the following two indicators for this impact:

I.4.A Amount of non-FCPF investments under the R-PP process in REDD Country Participants and for implementation of ERPs (FIP, bilateral donors, private)

Refer to Section 6.3.1 for in-depth analysis and a discussion on this indicator. This evaluation found that the Readiness Fund had resulted in more leveraged financing than the Carbon Fund. In addition, the evaluation found that there were contradictions with what was presented in FCPF Annual Report 2015 and reported in REDD Countries. This was because there was no distinction between pledged and disbursed financing, and in reality commitments changed. The review of ER-PINs also presented variations on confirmed investments – there were many assumptions about financing without signed commitments (see Annex 1 in the ER-PINs) or assumptions that were unable to be confirmed (e.g. USD 7 ton CO₂e in Peru's ER-PIN on additional payments for results).

Emissions from deforestation and forest degradation are driven largely by investments and the private sector expanding their production base in response to growing global demand. Stakeholders across different groups recognized that without engagement with the private sector at the country level, results and impacts of both the Readiness Fund and the Carbon Fund could be compromised. Several REDD Countries have demonstrated how engaging private sector players can yield positive and unexpected opportunities, both in helping to change private sector behavior and in attracting investments into forest-friendly supply chains (e.g. Ghana ER-PIN (2014), Ivory Coast ER-PIN (2015)). To what extent these engagements have catalyzed investment in REDD+ in the long run was unclear at the time of the evaluation.

I.4.B Examples of other mechanisms that have adopted and/or scaled up the approach piloted under the FCPF

Since the Carbon Fund has not disbursed financing to pilot incentive payments from REDD+, it is premature to assess the extent to which progress has been made on this indicator and the expected long-term associated impacts.

(Intermediate) Impact #5: Momentum for good governance and transparency issues and policy reforms related to sustainable forest management and REDD+

The logical framework presents the following two indicators for this impact:

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

Refer to Section 5.3 for an analysis of decision-making processes on forest management, emission reductions and stakeholder participation. The findings showed examples where there is a good degree of decision-making processes in place that allow for active stakeholder participation, but these are not applied or consistent across the FCPF portfolio. Furthermore, the IP and CSO Capacity Building Program has been constrained and delayed, with limited effectiveness in achieving its objective. In turn, that has diminished the impact of the FCPF portfolio for this indicator. Nonetheless,



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there have been notable contributions by the FCPF towards improved governance and participatory processes at the global level (see Section 5.3).

1.5.B Number of policy reforms initiated, completed or underway complying with REDD+ standards in participant's country, potentially including issues of land tenure

Refer to Section 5.4 for an in-depth analysis of how the FCPF has catalyzed the institutionalization of REDD+ through the R-PP process. The findings show that because the FCPF institutionalizes REDD+ at the national level across its portfolio, it has the potential to kick-start National REDD+ Strategies, and it has created the conditions for potential long-term change in national policies and processes.

Various sources mentioned that clear land tenure was an important prerequisite for the successful implementation of REDD+ schemes. The private sector interviewees viewed insecure land tenure as both a reputational risk and a risk to their investment. IPs interviewed were concerned about the implications of ERPs on the long-term tenure security of their communities and territories that they inhabit. A number of CSO and World Bank representatives also voiced concerns about the lack of sufficient attention that the FCPF allocates to managing this issue.

In a letter to Carbon Fund Participants (2013), some 40 stakeholders from international organizations, NGOs, CSOs, REDD+ Programs and Institutes voiced concern over the Carbon Fund's approach to issues related to land tenure:

We, the undersigned organizations, are writing to express our concern that the Forest Carbon Partnership Facility's (FCPF) Carbon Fund is poised to undermine years of progress on land tenure rights, in violation of the FCPF Charter and international human rights obligations as well as possibly the World Bank Operational Policies. (Letter to Carbon Fund Participants, November 2013)

Field visits and in-depth interviews showed that at the country level, land and forest tenure continued to be highly sensitive political issues in most REDD countries. A recent report (published after the evaluation period) that reviewed 13 REDD Country submissions to the Carbon Fund found that "the importance of tenure rights for effective REDD+ implementation was largely unrecognized" (RRI 2016).

Finding: Land tenure was viewed as an important prerequisite for successful implementation of REDD+.

Finding: The FCPF has contributed to improved participatory decision-making processes and governance, especially at the global level.

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

Due to the broad nature of the evaluation question, this chapter provides an analysis of evidence across four sections: disbursement (Readiness Fund, Carbon Fund), outputs, leveraging, and the performance of the superstructure groups.

The superstructure groups of the FCPF consist of the FMT and the Delivery Partners (the IDB, the UNDP and the World Bank). More detailed information on the FCPF governance structure is provided in the Section 3.3.3.

6.3 Disbursement

Context



This section evaluates the performance of the superstructure groups with respect to disbursement from the Readiness Fund and the Carbon Fund. The Readiness Fund was considered separately from the Carbon Fund because their financial terms are different. Consistent with best practices and guidance for a GRPP (IEG 2007), this section reviews the FCPF's costs in terms of their broad categories, linking them with their outcomes when possible.

The first evaluation (Baastel and NORDECO 2011) assessed the performance of the Readiness Fund between FY08–10 and found that the fund had increased its rate of disbursement from 58% in FY09 to 68% in FY10, showing steady improvement in its management delivery as the FCPF operationalized. Furthermore, the Readiness Fund had almost doubled the size of the portfolio, which originally had a target of 20 countries. By 2011, 37 countries had joined the Readiness Fund. To accommodate the higher demand for the FCPF program, financing increased from USD 100 million to a new target of USD 185 million.

One of the issues that dominated the first evaluation was the slow disbursement rate associated with the FCPF Readiness Fund for both formulation and preparation grants during the start of the program. The first evaluation found that formulation grants had not been sufficient to cover the cost of developing the R-PP, and REDD Country Participants had been required to find supplementary financing from other sources.

Answer

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.

Analysis and Findings – Readiness Fund

The Readiness Fund has received its financing from several sources, and it has consistently attracted contributions from its donors since 2009. The Readiness Fund also receives financing in the form of interest payments generated by prepaid contributions. The International Bank for Reconstruction and Development (IBRD) manages these contributions and maintains the investment portfolio for all trust funds administered by the World Bank. Investment income has generated a total of USD 9.9 million in deposits since the operationalization of the Readiness Fund. In 2014, investment income of more than USD 2 million was transferred to the Carbon Fund. This was all due to PAs with Carbon Fund participants indicating that any interest generated by prepaid contributions would be channeled to the Readiness Fund. In order to correct this, approximately USD 2 million previously credited to the Carbon Fund was then transferred to the Readiness Fund during FY14 (FCPF 2014a). As of



FY15, the Readiness Fund had received USD 333 million in total receipts (see Table 8).

Finding: The Readiness Fund continued to attract contributions between FY11–FY15.

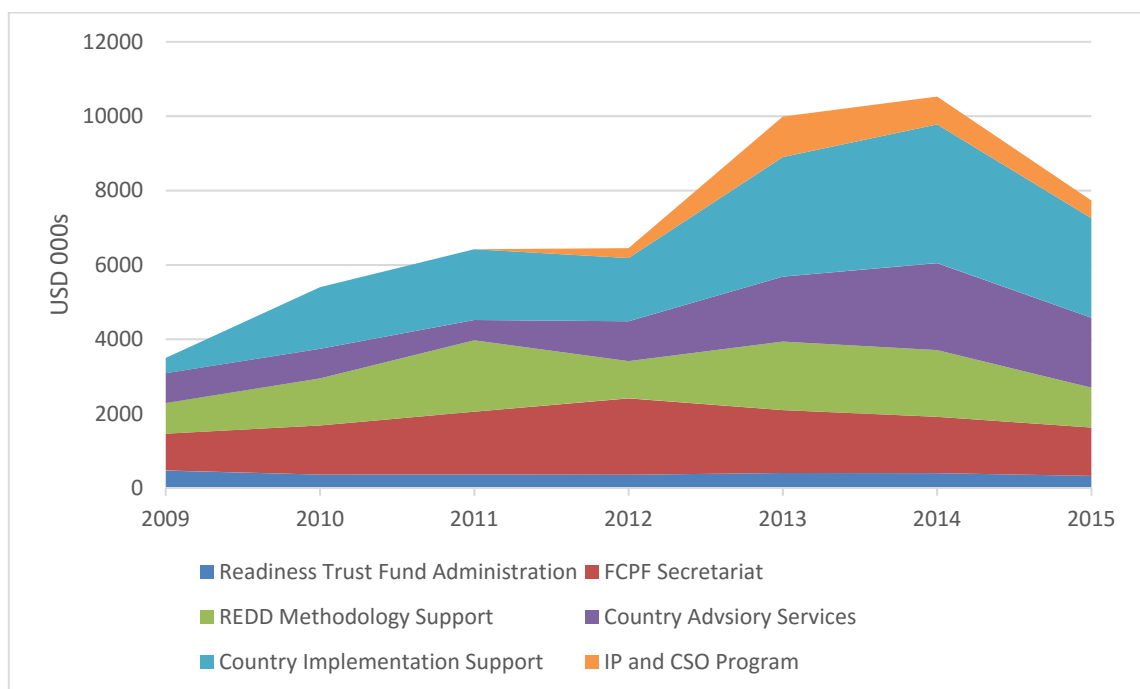
Table 8 Breakdown of Total Receipts to the Readiness Fund FY09–15

Item	Amount USD 000s by FY						
	2009	2010	2011	2012	2013	2014	2015
Donor Contributions	53,895	32,290	94,880	31,538	30,009	54,004	27,014
Investment Income	547	821	732	924	897	1,960	2,008
Investment Income transferred from the CF	-	-	-	-	-	2 023	-
Total Receipts	54,442	33,111	95,612	32,462	30,906	57,987	29,022

Source: FCPF 2015a

The Readiness Fund disburses its financing across several items to put its funding to use. Cash disbursements represent all non-grant disbursements. As the FCPF continues grant implementation, annual expenditures have predictably increased in areas with a focus on country support. This is the case for REDD Methodology Support, Country Advisory Services and Country Implementation Support activities (see Figure 11 and Table 9). Total cash disbursements to countries for focused activities over the lifetime of the fund represent 75% of cash disbursements, while administrative costs represent under 6% of total cash disbursements. Administrative and Secretariat costs over the lifetime of the fund represent 12% of total disbursements, while administrative costs alone represent less than 3% of total disbursements.

Figure 11 Readiness Fund Cash Disbursements FY09–15



Source: FCPF 2015a



Table 9 FCPF Readiness Fund Cash Disbursements FY09–15

Item	Amount USD 000s by FY						
	2009	2010	2011	2012	2013	2014	2015
Readiness Trust Fund Administration	471	362	366	356	404	397	327
FCPF Secretariat	989	1,321	1,685	2,056	1,690	1,515	1,299
REDD Methodology Support	827	1,266	1,921	999	1,842	1,796	1,071
Country Advisory Services	801	793	545	1,073	1,750	2,342	1,881
Country Implementation Support	409	1,660	1,904	1,701	3,213	3,730	2,676
IP and CSO Program	0	0	0	267	1,089	751	480
Readiness Fund Shared Cost less CF cost	0	0	0	-1,069	-1,236	-1,159	-821
Total Readiness Fund	3,497	5,402	6,421	5,383	8,752	9,373	6,914

Source: FCPF 2015a

The costs associated with the FCPF Secretariat and the Readiness Trust Fund Administration remained stable even though cash disbursements increased, indicating improved efficiency in the administration and management of the Readiness Fund over the evaluation period. This item in the financial statement reflects the work of the World Bank staff involved in FCPF fund management, contributions management, accounting, and specific legal operations related to the FCPF as a whole. According to the Financial Report FY15, these lower-than-anticipated expenses reflect improvements in efficiency (FCPF 2015a).

There were some reasons why the REDD Methodology Support activities were comparatively low. The expected expenses for the TAP were lower due to the delay in anticipated R-Packages coming to the PC for review. In addition, there have been delays in the REDD+ program Cost Assessment work, with completion expected by the FCPF in 2016.

The IP and CSO program reduced its cash disbursement considerably between FY13–15. Issues in relation to the IP and CSO Program’s cash disbursements are discussed in Section 5.3.

Table 10 Readiness Fund Total Disbursements FY09–15

Item	Amount USD 000s by FY						
	2009	2010	2011	2012	2013	2014	2015
Cash Disbursements	3,497	5,402	6,421	5,383	8,752	9,373	6,914
Grant Disbursements	-	959	1,082	2,884	4,923	8,173	16,380
Disbursements to Delivery Partners for Grants	-	-	-	-	11,440	11,400	3,800
Total Disbursement	3,497	6,361	7,503	8,267	25,075	28,946	27,093

Source: FCPF 2015a

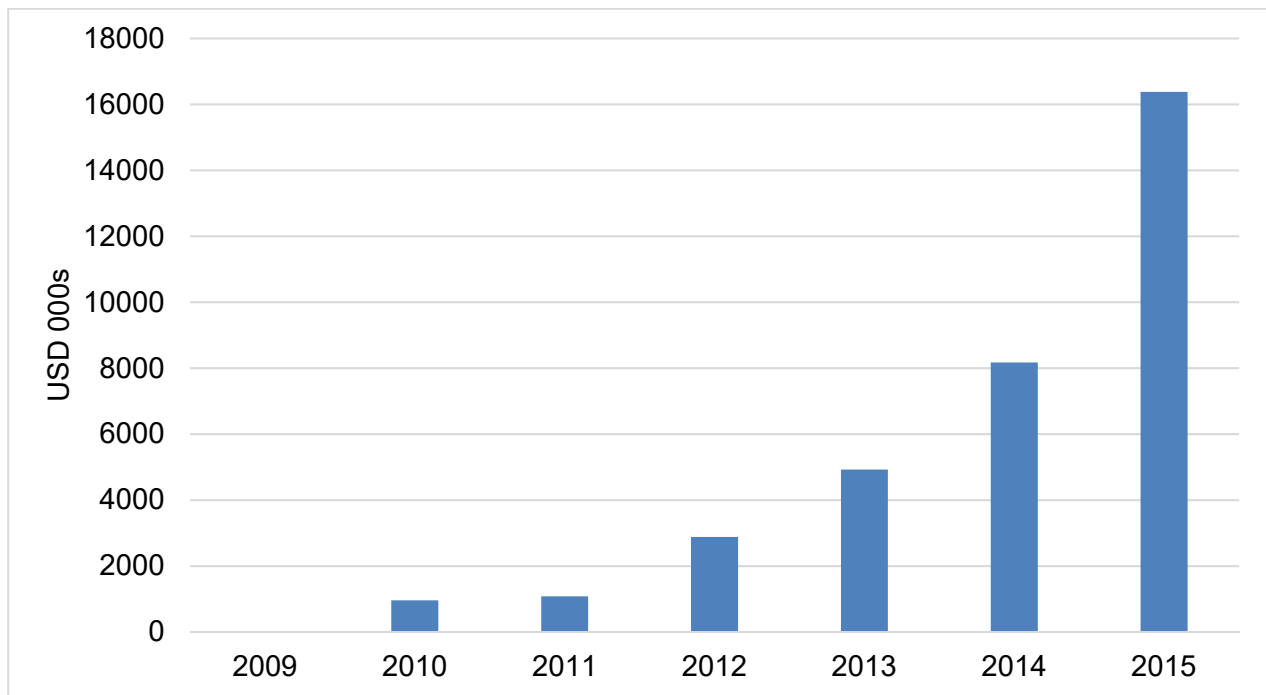
Grant disbursements support REDD Country Participant-led readiness work, with initial funding of up to USD 3.8 million made available for each country. Excluding grant disbursements made to other Delivery Partners outside the World Bank, a total of USD 34.4 million had been disbursed as of the end of FY15. Alternative Delivery Partners



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also received grant disbursements of USD 26.6 million between FY13 and FY15. In all, the Readiness Fund disbursed a total of USD 61 million in grants. Grant disbursements through the World Bank show a clear trend: the efficiency of the Readiness Fund has improved and grants have doubled on an annual basis since 2011 (see Figure 12).

Figure 12 Grant Disbursements of the Readiness Fund FY09–15



Source: FCPF 2015a

These numbers, taken from the financial reports of the FCPF, show improvements in efficiency for both cash and grant disbursements. Despite the improvements, the Readiness Fund is still not meeting one of the efficiency expectations set forth in its M&E Framework. As of FY15, only 26% (9 out of 35) of REDD countries had a disbursement rate in line with their Readiness Preparation grant disbursement plans, compared with the target of 60% (see Table 11), indicating that further improvements in efficiency are required as the FCPF progresses forward.

Table 11 Performance Measure of Efficiency of Grant Disbursements by FY15

Impact/Outcome/Output and Relevant Indicators	Expected Target	Status by End of FY15
Indicator 1.3.d. Percentage of countries with a disbursement rate that is in line with agreed Readiness Preparation grant (> USD 3.4 million) disbursement plans of Grant Agreement (up to 10% variance with plans)	60% (of countries with signed Grant Agreements)	9/35 or 26% of countries

Source: FCPF 2015a

The FCPF Annual Reports (FY13, FY14, FY15) consistently noted the inefficiency of disbursements associated with the Readiness Fund, and they took actions to improve efficiency. In response to the first evaluations recommendations to improve efficiency



and accelerate the delivery of funds, the PC decided to increase the funds available for REDD Readiness preparation (see Resolution PC/10/2011/1/rev).

Grant disbursements continued to be the reason for not meeting disbursement targets in FY13, as only three out of nine countries had signed Grant Agreements. In March 2013, the FCPF held a pre-PC workshop dedicated to understanding the reasons for slow disbursements. They noted the following reasons for slow disbursements: lack of procurement capacity in REDD+ project management units in countries, inadequate understanding of World Bank procurement rules, and lack of experience with drafting of ToR for the key readiness activities. The FCPF addressed the lack of procurement capacity in several countries by hiring a procurement specialist for the project management units. Additionally, the FCPF implemented several actions to further address efficiency. First, some staff from project management teams in government REDD units have been trained in procurement procedures. Second, the FMT has also made the ToR for readiness activities available on the FCPF website for easy access by other countries.

Disbursements continued to be an issue during FY14 and FY15. According to stakeholders in interviews, the online survey to REDD Country Focal Points and field visits, both internal and external factors affected the efficiency of grant disbursements.

Common internal factors identified as affecting the disbursement pace of the Readiness Fund were:

- long approval processes (e.g. signing grant agreements)
- long review processes
- multilateral due diligence and safeguards requirements being complicated and difficult to understand, particularly for procurement.

External factors included:

- uncertainty in the international REDD+ architecture, leading to delays before the Warsaw REDD+ Framework
- long processes for making decisions in the country (e.g. political processes)
- political situation in the country causing delays
- lack of knowledge and capacity to process paperwork with grant approvals in country financial administration units (e.g. Ministry of Finance).

It is clear from the stakeholder accounts across all groups that disbursement remains an issue within the FCPF (e.g. Figure 9, and separately in Sections 4.2 and 5.2) and further triangulated in FCPF Annual Financial Reports (FCPF 2012b; FCPF 2013a; FCPF 2014a; FCPF 2015a). Long approval processes, bureaucracy, long review periods and long processes for making decisions in the REDD Countries affected disbursements, hindering the effectiveness of the program and creating additional challenges for the FCPF to meet its targets. The inefficiency also compromised the relevance of early work done in a number of REDD Countries under their REDD Readiness formulation grant.

The first evaluation made a recommendation to improve disbursement efficiency within the FCPF. The recommendation was to move away from flat-rate commitments to “differentially sized grants to provide opportunities for tailoring grants to the needs and circumstances of individual countries” (Baastel and NORDECO 2011). Progress on this point has shown that it has been implemented on a first-come, first-served basis. So far, most countries which have applied have received the full USD 5 million. As the remaining funds are being allocated, there is competition for them. In addition, the



criteria for assigning additional financing require the Delivery Partner to certify that “significant progress” has been made. This feature has come under criticism. Following below is a case in point, which can be used to highlight the issues and challenges of the current approach:

Chile went from approval of its readiness program in 2014 to presenting a Mid-Term Report and receiving additional funding in 2015 (Chile 2015). The criteria to receive more funding included the Delivery Partner (in this case the World Bank) certifying “significant progress” and the country having committed 50% of its initial readiness grant. Chile could show expenditure of only USD 300,000 out of its USD 3.4 million grant, but it had “committed” an additional amount, taking it to over 50% by the time of the meeting, according to the World Bank Grant Reporting and Monitoring Report for Chile (2015). The decision to approve the additional funding for Chile poses challenges for the following reasons:

- there are not enough additional grants of USD 5 million if every participant country wishes to request an additional amount
- there are no criteria set out for assessing which countries will succeed, as the PC is still progressing on a first-come, first-served basis.

A PC Observer pointed out that there is competition between Delivery Partners for their countries to receive the additional funding they stand to gain. Delivery Partners are the ones to certify significant progress, but they are also in a position of conflict of interest, as they benefit from the country receiving the additional funding.

Finding: The efficiency of the Readiness Fund has improved and grants have doubled on an annual basis since 2011.

Finding: 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).

Finding: The cost-item of REDD Methodology support was lower than expected in FY15 because there were fewer R-Packages submitted than expected.

Finding: Poor efficiency in country-level disbursement has affected the effectiveness of the FCPF in supporting REDD Readiness implementation.

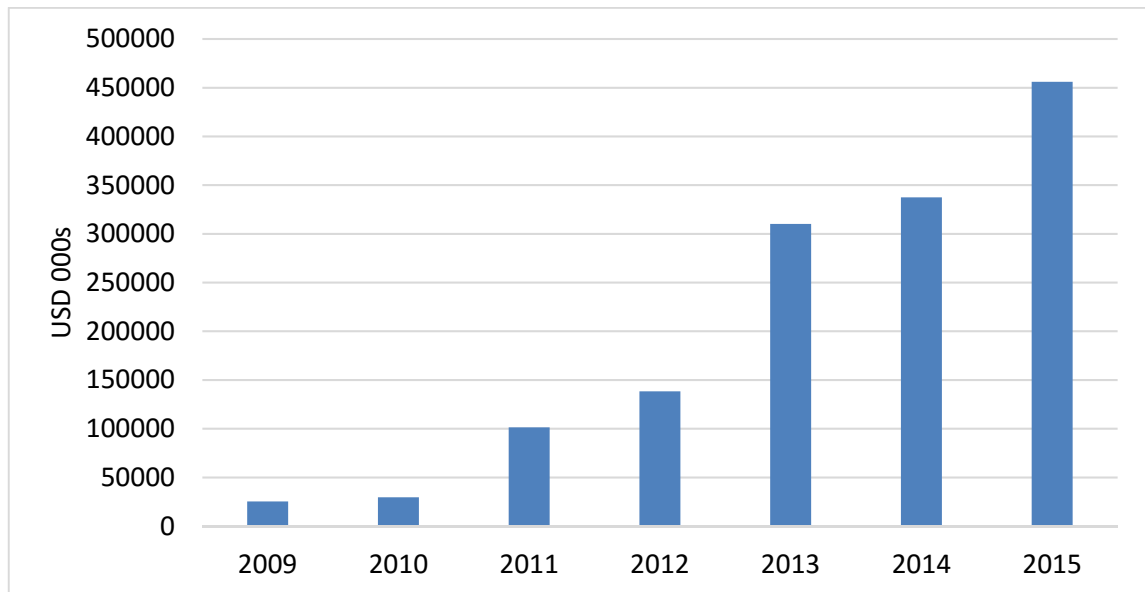
Finding: The criteria for the allocation of additional financing under the Readiness Fund did not take into account the full proposal for improvement under the first evaluation’s recommendation on differentially sized grants.

Analysis and Findings – Carbon Fund

The Carbon Fund receives financial contributions from governments, international NGOs and the private sector. The minimum contribution, according to the Charter, is USD 5 million. Many of the governments supporting the Readiness Fund also support the Carbon Fund (e.g. Australia, Canada, the European Commission, France, Germany, Norway, Switzerland, the United Kingdom and the United States of America). In addition, The Nature Conservancy provided USD 5 million to the Carbon Fund in FY09 and BP Technology Ventures provided financial contributions of USD 5 million in FY11. According to the FCPF (2015a), the Carbon Fund had a cash balance of USD 351 million, and it has grown consistently since 2009; total financial contributions amounted to USD 456 million as of the end of FY15 (see Figure 13). All PAs with Carbon Fund Participants indicate that any interest generated by prepaid contributions will be channeled to the Readiness Fund. For this reason, there is no investment income to report for the Carbon Fund.



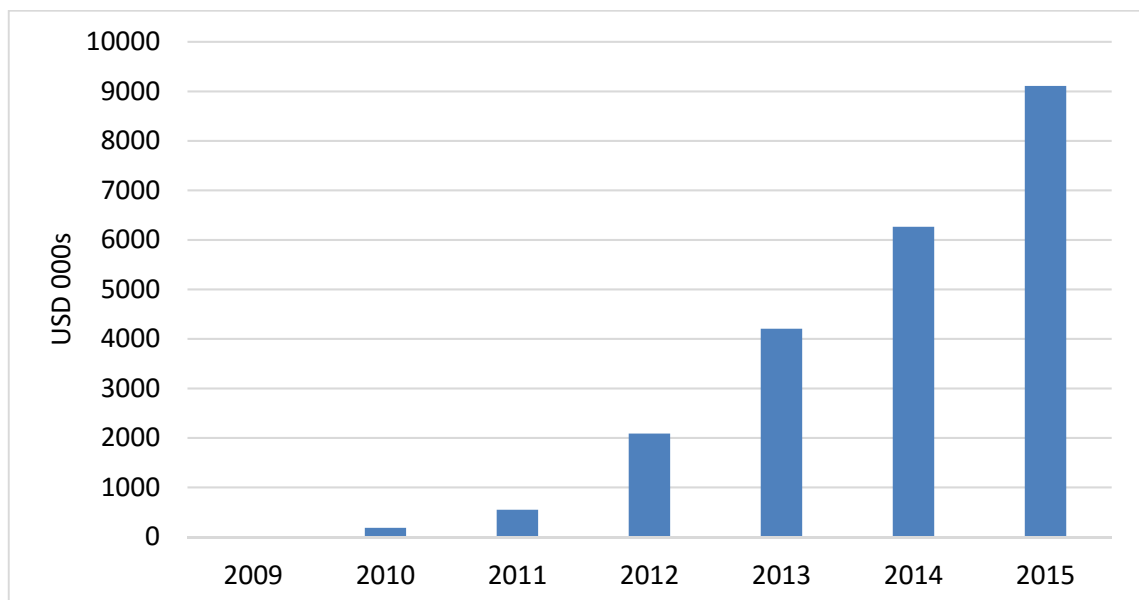
Figure 13 Carbon Fund Financial Contributions (Cumulative) FY09–15



Source: FCPF 2015a

The Carbon Fund has distributed USD 9.1 million in cash disbursements since its initial operationalization in May 2011. To date, the Carbon Fund has not made any payments for emission reductions (see Figure 14).

Figure 14 Carbon Fund Cash Disbursements (Cumulative) FY09–15



Source: FCPF 2015a

Of the USD 9.1 million in disbursements, administration costs were USD 3 million, program development costs were USD 1.8 million and shared costs were USD 4.3 million. Spending for the Carbon Fund was inconsistent with expectations, according to the 2015 Financial Report. Administration costs marginally exceeded budget allocations in FY15 due to extensive work by the legal team, as well as extended team



support and finalization of the ERPA General Conditions. Program development costs were significantly lower than budgeted, because work associated with being able to use the Carbon Fund took longer than expected. Procedures and guidance, such as the Methodological Framework, and legal guidance for the ERPA were more complicated than initially thought and took longer to prepare; see Section 5.2. Consequently, the Carbon Fund has not made disbursements in accordance with its planned budget or outputs. Scenarios were developed by the FMT on the time taken to develop ERPs and sign ERPAs. Allowing for slippage and flexibility, it was concluded that there was a need to extend the Carbon Fund's termination date from 2020 to 2025 (FMT Note 2014, Resolution CFM/12/2015/1).

On the positive side, the Carbon Fund and its Results-Based Framework will not be subject to the Operational Policy on Procurement from its Delivery Partners, since payments to be made under ERPAs will be for environmental services produced by the REDD Country Participant. This means that the Carbon Fund's pathway for efficient disbursement could take a different route than that of the Readiness Fund.

Finding: Contrary to targets and expectations, the Carbon Fund did not disburse financing for emission reductions in FY11–15.

Finding: 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.

Analysis and Findings – Outputs

Beyond disbursements, efficiency in producing outputs is also a key area to evaluate. The first evaluation found that the average wait time from the date of submission of the final version of an R-PP until the signing of a Grant Agreement was 13.4 months. It attributed this both to bank procedures and to the need for countries to identify additional financing sources for the implementation of their R-PPs.

The IEG (2012) noted that efficiency remained a challenge for the FCPF. While grant disbursements in FY12 increased, the delay in signing preparation grants was not systematically reduced by the FCPF. Based on data from 17 REDD countries analyzed in 2012, the delay was 14.5 months. Data reviewed for this evaluation³¹ found that the average time taken between the Completeness Check of the R-PP and the Signing of the REDD Readiness Grant Agreement was 13.4 months (see Annex 8 and Annex 10). This evaluation found that while the efficiency in mobilizing the financing for readiness outputs improved since the IEG review in 2012, overall the FCPF has not improved its performance in reducing the time to mobilize financing for outputs since the first evaluation in 2011. The minimum time period between the Completeness Check and Signing was one month and the maximum was 43 months.

Consultations with the FMT revealed that processes for signing Grant Agreements were amended and streamlined before the FCPF expanded its portfolio of REDD Countries in 2014, thereby addressing efficiency issues raised in the first evaluation. This may have been one of the factors that reduced the average time between submitting an R-PP and signing a Grant Agreement. However, according to the

³¹ Resolution PC/14/2013/2 states that all new entrants to FCPF were required to submit R-PP for approval as a pre-condition for both entry to FCPF and signing of the Readiness Preparation Grant Agreements. This change means that the finding from the first evaluation, of 13.4 months, could not be accurately compared between the first and second evaluations. Therefore, the metric of Completeness Check of the R-PP and the signing of the Grant Agreement was used, as this was consistent throughout the portfolio.



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analysis the average time between the completeness check and the signing of the grant agreement was still more than a year. This further indicated that there were efficiency issues in processing agreements affecting multiple countries.

The signing of Grant Agreements triggers a REDD Country's REDD Readiness implementation and the subsequent readiness outputs. According to interviews with REDD Countries, once the Grant Agreement is signed, new challenges start, which affect disbursement and the ability to produce outputs.

The FCPF is a "country-executed" program. For procurement of services to deliver readiness outputs, this means that in addition to the due diligence procedures of the Delivery Partner that need to be followed, the REDD Country must also follow the national legislation for procurement. Forest officials from REDD Countries mentioned that they found it challenging or were generally unfamiliar with having to navigate the technicalities of procurement procedures, especially in the FCPF's case, which requires the implementation of a dual-procurement process for country-level work. Several Delivery Partner country-level staff also commented that the process is difficult to understand and that they had often requested guidance from headquarters and the FMT.

In the online survey and in interviews, REDD Countries expressed that the issue of procurement was the key challenge in achieving progress on their readiness implementation, also noting that the FCPF program was dependent on the procurement of technical services and consultants to implement the work. On the other hand, public procurement is one of the top drivers of corruption, costing USD 2 trillion annually (Transparency International 2014). The due diligence systems of the Delivery Partners were seen by a Financial Contributor and an international organization as a safeguard against corruption in procurement processes.

The Evaluation Team developed a hypothesis to test the level of development and national circumstances and its correlation with the efficiency of reviewing and processing FCPF outputs and agreements. Annex 10 presents the data and analysis to test that hypothesis. The analysis concludes that the total process time was not dependent on development level, but rather that other factors appear to affect the length of the process (e.g. the time a country takes to resubmit between TAP reviews, the year in which a country starts the FCPF process, the time between R-PP Completeness Checks and the signing of the Readiness Grant Agreement).

The data shows that those countries which have joined the FCPF process from 2013 onwards benefited from improved efficiency between the submission of the R-PP and the signing of the Grant Agreement. This correlates with the FMT statement that streamlining procedures can improve efficiency.

Table 5 presents the performance of the FCPF in attaining its outputs against targets defined in its Performance Measurement Framework. An analysis of the FCPF portfolio with respect to these outputs is presented in Annex 8. The analysis shows that the FCPF has been effective in achieving high-quality R-PPs across the portfolio and that it exceeded its target. Targets for readiness implementation were generally not achieved, such as the target for MTRs and 10+ R-Packages by 2015. The under-performance was attributed to many different factors, which were outlined above.



Finding: REDD Countries require compliance with Delivery Partners' due diligence procedures and their national legislation to procure goods and services under the FCPF.

Finding: 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.

Finding: 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.

Finding: 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.

6.3.1 Leveraging

Context

With respect to the REDD Country level, the first evaluation found some important examples of co-financing. In a number of cases, this resulted in strategic and complementary outcomes, either by funding field pilots or by supporting the participation of national civil society. In other cases, co-financing became a necessity, driven by a long disbursement period from the FCPF Readiness Fund, which consequently resulted in other donors stepping in to fill the funding gap so momentum would not be lost. The first evaluation noted that the Readiness Fund allocation of USD 3.8 million was insufficient to cover the full costs of REDD Readiness and that leveraging financing from other sources was an important element for achieving national readiness (Baastel and NORDECO 2011).

Impact Indicator 1.4 of the M&E Framework measures to what extent the FCPF has catalyzed investment in REDD+ (Carbon Fund and grants). The FCPF is well positioned and designed to report co-financing and leveraged financing from other funding sources (see R-PP and ER-PIN templates). If the FCPF was efficient and effective, then the extent of non-FCPF investments under the R-PP process in Participant Countries and for implementation of ERPs (e.g. FIP, Bilateral, private sector) would be expected to be considerable.

Answer

Through triangulation of documents with stakeholder comments, this evaluation found that the Readiness Fund has resulted in more leveraged financing than the Carbon Fund, technically because no emission reduction programs were being implemented by the end of FY15. 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.

Analysis and Findings

The FCPF's templates allowed for careful planning to synergize with complementary programs and leverage co-financing for REDD Readiness. In Version 6 of the R-PP template (FCPF 2012a), Guidance Point 10 makes specific reference on how to



coordinate R-PP development and implementation with the FIP. R-PP guidance further noted that Investment Plans produced for the FIP process should avoid duplication of other activities proposed in the R-PP. Investment Plans developed under the FIP and R-PPs should promote synergy between the readiness and investment phases of REDD+. The R-PP template guidance noted that this might require coordination across institutions or working groups responsible for the R-PP and FIP processes.

In addition to the guidance points in the R-PP template, there was a box with lessons learned. Lesson 7 noted that it was important to establish coherence in the context of work conducted on other related initiatives (e.g. Forest Law Enforcement Governance and Trade (FLEGT), FIP) and any other bilateral initiatives. Lesson 8 recommended that countries should clearly show how proposed activities would be supported by the anticipated sources of funding (e.g. bilateral, multilateral, UN-REDD, private, unilateral, etc.). REDD Country Participants should use the budget tables in the R-PP template (found after each component) for this purpose and present them as an aggregated final budget.

Finding: 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.

REDD Country Participants filled in budget lines in the R-PPs, which were compiled by the FMT and reported in the FCPF Annual Report. The R-PP guidance reminds countries that they should have coordinated readiness and FIP investment programs.

The FCPF Annual Reports FY14 and FY15 noted that the cost of REDD Readiness often exceeded the grant funding available from the FCPF Readiness Fund and that REDD Country Participants frequently turned to leveraging additional external funding to finance REDD Readiness activities. According to the FCPF (2014a) Annual Report, more than USD 81 million was received from non-FCPF investments under the R-PP process. In FY15, the amount had increased to more than USD 185 million. The amount grew due to a number of new countries that had not provided information for FY14, but reported it instead in FY15. The UN-REDD Programme and bilateral partners constituted the bulk of that financing. The same reason explains why the amount of non-FCPF financing received for the implementation of ERPs increased from USD 594 million in FY14 to USD 1.1 billion in FY15.

The Annual Reports noted that these numbers were not exhaustive. Nonetheless, the information presented shows that there was a significant opportunity to leverage public financing for both the Readiness Fund and the Carbon Fund under the FCPF. Coordination at the country level with these programs is thus paramount to the success of the FCPF.

Despite the increased coordination that the reporting mechanism in the R-PPs represented on paper, this evaluation found that it had not necessarily resulted in unilateral, bilateral and multilateral donor coordination on the ground. This was the case in multiple countries, emphasizing the urgent need for further improvements in efficiency of disbursement and country-level coordination with other REDD+ bilateral and multilateral processes. In Peru, for example, bilateral donors initially coordinated with the FCPF on assigning work programs. However, the disbursement from the FCPF took longer than expected and bilateral partners went ahead with their own work programs.

Lao PDR had its R-PP endorsed by the PC in October 2010, yet it had not implemented its main readiness components by the time of the evaluation. On the other hand, Lao



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PDR, a FIP pilot country, commenced the implementation of its FIP program in 2013. The original idea in Lao PDR was to have the REDD Readiness process start before the FIP. Due to institutional restructuring within the government which affected the Department of Forestry, the FCPF readiness process was delayed; see *Annual review of REDD+ activities in Lao PDR 2012–2013* (Government of Lao PDR, 2013).

According to stakeholders interviewed, in Vietnam the UN-REDD Programme was effective and efficient in getting readiness activities going on the ground. The FCPF initiated its activities several years thereafter, despite having its R-PP endorsed by the PC back in 2011. The speed of implementation had more to do with the operating modalities of UN agencies than recipient-executed modalities of the FCPF. Nonetheless, the UN-REDD Programme and the FCPF have been complementary in Vietnam. The UN-REDD allocated its work at a national level, while the FCPF engaged at the provincial level on Provincial REDD+ Action Plans (MacDonald Stewart and Swan 2013).

There were examples of efficient and strategic FCPF programming. In the DRC, one of the contributing factors to its efficient progress in both its R-Package and ERP development was that it saw the “big picture” of REDD+ and understood the importance of FCPF alignment with various other multilateral financial instruments, such as the FIP, International Development Assistance (IDA) financing from the World Bank, and the Central African Forest Initiative (CAFI).

Progress on FCPF readiness in Ghana was also attributed to its programmatic approach of aligning readiness with its FIP, which in turn was aligned with its future ERP development (see the field visit report in Annex 3).

A point of ambiguity in the FCPF Annual Reports was that the leveraging was presented as an “amount of non-FCPF investments received for the R-PP process” and an “amount of non-FCPF investments received for the implementation of ERPs.” The assumption had been made that the financing had been received for the implementation of ERPs. The annual report did not distinguish it from ongoing, unrelated REDD+ programs in the country. The ambiguity can be found between the Annual Country Progress Report and the planning documents (FIP Investment Plans, R-PPs, ER-PIN Annex 1 Financing Plan summary table).

According to interviews, some of the financing reported as “received” from bilateral programs, for example, was financing related to programs that had already commenced before the FCPF ERP was conceived in the REDD Country. Examples include USD 18 million from the government of Germany (KfW/GIZ) to the government of Lao formulated in 2009/2010; some FIP pilot countries (FIP formulation 2010 before ER-PIN); and more than USD 100 million listed under Indonesia as coming from the FIP for implementation of its ERP, while review of Annex I Financial Plan of Indonesia’s ER-PIN (2014) revealed that the FIP was not listed as an “expected source of finance.” On the other hand, the FCPF Annual Report FY 2015 did not report Berau Forest Carbon Partnership (grants), in which Indonesia’s ER-PIN proposed its engagement (note that the ER-PIN for Indonesia from 2014 is pending review and changes are expected). The evidence shows that there is ambiguity of the leveraged financing attributable to FCPF readiness and Carbon Fund programs.

The FIP started with eight pilot countries in 2010, and it disbursed its financing more rapidly than the FCPF. As a result, many of the REDD Country Participants completed a portion of their FCPF readiness processes with FIP financing. The FIP evaluation within the CIF noted, “the FIP Investment Plans do not clearly describe how FIP fits into the broader UN-REDD Programme context, making it difficult to understand how these



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plans would complement other ongoing and planned efforts.” The expectation was that the FIP, launched shortly after the FCPF and UN-REDD Programme, would be complementary to them by providing bridge financing, building on their REDD Readiness work. According to FIP documents (CIF 2016), FIP directed more than half of its financing for capacity building, institutional strengthening, and governance reform – typically associated with Phase 1 REDD Readiness work programs. While this evaluation noted that the FCPF ER-PIN process aimed to establish linkages between the Carbon Fund and the FIP in selected countries, it is too early to conclude whether that linkage occurred in the implementation of ERPs.

A review of FIP Investment Plans found that the extent of the linkages varied. Ghana’s Investment Plan stated that it is building directly on the FCPF; it would implement the FIP and other projects related to REDD+ within this collaborative framework to avoid duplication and facilitate synergies and learning (CIF 2012a). Indonesia’s FIP Investment Plan deferred on the commitment to link with the FCPF, stating that it would consider linkages when the Investment Plan becomes operational (CIF 2012b). Lao PDR’s Investment Plan stated that it expected to link the FIP to its R-PP and REDD Readiness activities, as they would be coordinated and overseen by the same executing agency, the Department of Forestry (CIF 2011). Lao PDR started implementation of the FIP in 2013, but had not started implementation of its REDD Readiness by December 2014.

According to consultations with FIP pilot/FCPF REDD Country Participants, connections between the FCPF and FIP were not synergizing consistently due to slow disbursements within the FCPF. The slow pace of disbursements resulted in missed opportunities to align with the FIP. Consequently, the FIP was seen as filling gaps in REDD Readiness, and it was recognized as an important source for capacity building, institutional strengthening and general REDD Readiness during the evaluation period. This finding was consistent with the evaluation of the FIP under the CIF (ICF International 2014).

Consultations with Financial Contributors noted that coordinating their bilateral programs with the FCPF was also important. There were some successful examples, but the onus to coordinate the programs was on the REDD Country Participants. There were cases in which a donor, in response to delayed FCPF disbursements, readjusted some programs to include more financing for MRV systems. Other bilateral programs also responded to financing gaps because of slow FCPF country-level disbursement.

As there are no ERPs under implementation, it is difficult to assess to what extent the FCPF has leveraged financing for those programs. The FCPF (2015a) stated that 14 Country Participants had reported more than USD 1.1 billion in non-FCPF investments for the implementation of ERPs. The FIP, along with bilateral programs from Germany and Norway, accounted for the majority of that financing.

Several REDD Country Stakeholders and seven Multilateral staff noted that the FIP was an important part of the FCPF process and that REDD Country Participants that were not part of the FIP were at a distinct disadvantage (e.g. Madagascar, Ethiopia). It was pointed out during the evaluation’s commenting period that this point should be balanced against the observation that many REDD Countries have “had a lengthy period of under resourcing, which has resulted in a governance capacity deficit, and that it is unlikely that the readiness grants are sufficient to regain ground.”



Finding: The UN-REDD Programme, FIP and bilateral programs provided the bulk of co-financing and leveraged resources for REDD Readiness.

Finding: 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.

Finding: 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.

Finding: 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.

6.3.2 The Performance of Superstructure Groups

Context

Having sufficient technical capacity to administer, manage and implement the FCPF program is crucial to its success. This section addresses the performance, merits and issues of FCPF superstructure groups from the viewpoints of REDD Countries, Financial Contributors, Delivery Partner staff, and the FMT. Refer to Section 3.3.3 for an overview of superstructure group roles within the FCPF.

The first evaluation made a key recommendation to the FCPF to improve efficiency and effectiveness at the country level: “Look at the option of further decentralizing FMT staff to other country regions beyond the Africa region and for further strengthening the support to REDD countries including through additional support to staff based in delivery partner’s country offices to help foster further coordination on the ground and smoother implementation.” The FCPF’s response to the first evaluation’s recommendation was that it partially agreed with and acknowledged the need for providing stronger technical support to REDD Country Participants. The FCPF proposed that it could advocate mainstreaming REDD+ in the World Bank’s portfolio by transferring technical support to staff at the level of the Delivery Partners’ country offices.

Answer

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.

Analysis and Findings

According to the FMT, since the first evaluation the number of FMT staff increased from approximately 19 Full-Time Equivalents (FTEs) in 2011 to approximately 25 FTEs by December 2014. The FMT deployed a number of country Focal Points and safeguards



specialists to regional and country offices to support REDD Country Participants. The focus of the FMT also shifted away from REDD Readiness towards program development in the Carbon Fund. The FMT responded to this development by reorganizing itself around core teams, including technical support, accounting methodology, funds, finance, social inclusion, communications and knowledge management. The FMT placed the key focus of each team on country support. Additionally, some team members were assigned partial responsibility for coordination within the three country regions (Africa, LAC, and APAC).

Field visit reports and in-depth interviews presented a mixed set of experiences in relation to the effectiveness of the FCPF management structure at the country level. Madagascar and Nepal benefited from technical advice arranged at World Bank country offices through teleconferences with technical experts based in Washington DC. Mexico noted that the FMT recruited additional staff. Ghana benefited from an effective Task Team Leader, who encouraged a programmatic approach to REDD+ by synergizing readiness efforts with the FIP and the ERP. Peru noted that the REDD Readiness program would benefit from more country-level support from the IDB. Papua New Guinea noted that their FCPF Delivery Partner, the UNDP, also implemented part of their UN-REDD Programme. As a result, it felt that it received adequate technical support from its Delivery Partner at the country level with good coordination between both programs.

Guyana reported that it has expressed sentiments of having difficulty with its Delivery Partner, the IDB, to the FCPF. During the commenting period for the draft report for this evaluation, Guyana submitted a statement³² which created disagreement with its Delivery Partner, reproduced as a footnote to comply with OECD DAC quality standards. Consultations with the Delivery Partner confirm that the relationship has

³² *We wish to further clarify that these difficulties are not only associated with administrative matters relating to implementation, but more so, with a deliberate effort by the delivery partner to implement individual preferences (mainly that of the IDB-contracted FCPF consultant), on what FCPF should entail. This has led to increasing undercurrents that signal to Guyana that there are two tracks to FCPF – the track approved by the Participants Committee, and another that the IDB Guyana wants to take. This signals to Guyana a more fundamental issue of overstepping of allowed influence and impositions in the approved work of the Guyana FCPF activities. We believe that this matter needs to be more specifically identified as a Guyana concern in the Report and the danger in creating unnecessary duplication and introducing confusion in the FCPF process, highlighted, and the need for a solution (or a solution in itself) identified.*

Another example of individual views of the delivery partner, stymieing the work of the FCPF, is the clear signal by the delivery partner that it does not support Guyana applying for the Carbon Fund track through the submission of its ER PIN. The point was raised by the IDB FCPF Consultant that Guyana has to wait for the FCPF to be completed to then apply for the Carbon Fund and submit its ER-PIN. This kind of confusion that is caused by the delivery partner signals a need for a higher level of competence of the IDB, to be involved in the FCPF. A mechanism is recommended to be put in place to assure this, as the absence of this, as has been the case in Guyana, has significantly contributed to the derailing of progress on the FCPF.

In this regard, we are of the view that there is a lack of accountability in the delivery partner's performance on the FCPF to the point where only through assessments such as these can points such as the ones being made be made. Guyana recommends that a stronger provision for regular, routine, standard audits of delivery partner performance under the FCPF be integrated in the framework and recommended to the PC.

We also recommend that there should be a clearly set cut-off period after which the delivery partner cannot show progress working with countries on the FCPF that a re-evaluation of the role of that delivery partner be triggered and consideration of changes in this regard be contemplated.

As a further safeguard, we recommend that the implementing agency be allowed to report on pervasive issues experienced. Currently in the Guyana case, performance of the FCPF is reported in a one-way relationship – the IDB to the FCPF, and there is no provision for the implementing agency to also have access to the FCPF to report on challenges outside of the delivery partner, especially in cases where the challenges stem from the delivery partner, and fair representation of the issues may not be made which results in countries becoming stuck and without alternatives to moving forward outside of agreeing with the preferences of the delivery partner, whether these are thought to be the best way forward, or not.



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been strained. Guyana's experience with their Delivery Partner³³ is unique in the FCPF program.

Financial Contributors had different viewpoints on the effectiveness of the FCPF and its management at the country level. They wanted more country-level technical support for FCPF and related programs (e.g. ERP, FIP, ISFL, GEF, etc.), as well as stronger support for following up on country-led processes (e.g. procurement). This does not necessarily mean more FMT human resources present in the country. Instead, four Financial Contributors noted that the World Bank's country office directors should prioritize the FCPF by allocating personnel to support its processes. Several World Bank country office staff agreed with that proposal. Still, some World Bank staff noted that it is the responsibility of the country office staff to manage a broad portfolio of projects. They gave the following example: a portfolio of infrastructure loans of more than USD 100 million could be managed by the same staff member that is managing the FCPF (USD 3.8 million). In that respect, the Delivery Partner staff found it difficult to justify prioritizing human resources to a highly complicated process such as the FCPF, especially when the grant amount was only a small fraction of the entire country portfolio.

Financial Contributors also expected the World Bank to place much greater emphasis on FCPF activities. Several mentioned that as the FCPF advances with the national ERPs currently in the Carbon Fund pipeline, more technical expertise will be needed at the country level to address the technical challenges foreseen within the ERPs. Financial Contributors expected that consultation processes and the Methodological Framework will require technical assistance. Some stakeholders working with Delivery Partners, NGOs and REDD Country Participants also pondered the technical needs of ERPs, and they mentioned that there are many issues to be resolved. There were no Delivery Partner annual country reports from the World Bank to the FCPF to provide information on unresolved issues or technical challenges at the country level. However, the IDB and UNDP were required to present annual reports under the transfer agreements as part of the Common Approach.

According to interviews, so far the FMT has provided close support to countries formulating their ER-PINs, and this effort was noted as positive by REDD Countries and some Financial Contributors. To ensure the quality of the ER-PIN document, the FMT checked the completeness of each ER-PIN to ensure that it was consistent with readiness information and that the ER-PIN had potential to be included in the Carbon Fund pipeline. That resulted in an efficient and meaningful process. It is worth mentioning that a few Technical Expert stakeholders flagged that the TAP review scheduled for the ERPDs will likely generate debate around the added value of the review for REDD Country Participants.

Some REDD Country Participants and national Technical Experts found that the country-level management of the FCPF was confusing when "staff from Washington" participated in the in-country missions. Government officials were not always clear on the roles and functions of visiting staff within their country's FCPF program (i.e. are they from the FMT or Global Practice?). The Evaluation Team discovered that no information on the organizational roles and functions (e.g. organigram, data sheet with assigned contacts and responsibilities) of the FMT staff (i.e. specific individuals) or

³³ *The Delivery Partner pointed out that the FCPF arrangements have since changed in Guyana, and that these views may not reflect the views of the current Government.*



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country-level World Bank staff was available on the FCPF website. The UNDP did, however, have the FCPF Program's country contact points listed on its website.

Finding: Tailor-made technical support from the FMT contributes to improved efficiency at the country level.

Finding: The FMT and Delivery Partners provide important technical support to REDD Countries in most cases.

Finding: 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.

Finding: 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.



7. CONCLUSIONS AND RECOMMENDATIONS

7.1 Conclusions

This following section on conclusions is structured following the Organization for Economic Cooperation and Development (OECD) Development Assistance Committee (DAC) evaluation criteria for relevance, effectiveness, impact, sustainability and efficiency.

7.1.1 Relevance

The main conclusions on relevance were:

One of the key strengths of the FCPF has been the structure and common readiness framework that the Facility has provided REDD Countries throughout the portfolio. This was especially important during the absence of a global agreement on REDD+ prior to the Warsaw REDD+ Framework adopted in November 2013.

The FCPF has responded to REDD Countries' strategic priorities for forests and climate change by providing financial and technical assistance for their REDD Readiness preparation and implementation. Most REDD Countries acknowledged the importance of the FCPF for its role in kick-starting the National REDD+ Strategy process, stakeholder consultations, and raising awareness.

The FCPF was relevant to most of the Financial Contributor countries, given that their governments' policies have continued to support initiatives that halt and reverse deforestation in developing countries. The FCPF provided an opportunity for Financial Contributors to support the construction of the first multilateral REDD+ Results-Based Framework to be used for piloting incentives for REDD+.

The evaluation observed some weaknesses in the extent to which the Delivery Partners' country engagement strategies were aligned with the REDD+ agenda in REDD Countries.

The FCPF's role as a key player in international REDD processes was strengthened during the evaluation period given the continued acceptance of REDD+ in the UNFCCC. The latest negotiations on the Paris Agreement further reinforced the role of forests and REDD+ in global climate action. This provided a conducive environment for the FCPF to offer lessons from readiness preparation and implementation to international climate negotiations. The FCPF's specific attribution to the global REDD processes cannot be confirmed with certainty due to the complexity of the international REDD+ architecture and the limitations of the scope of the evaluation.

7.1.2 Effectiveness

This section on conclusions on effectiveness is divided into four sub-sections: (1) FCPF's technical support to REDD Countries, (2) stakeholder engagement and multi-sectorial dialogue, (3) knowledge sharing, and (4) FCPF's response to the recommendations of earlier evaluations.

The main conclusions on FCPF's technical support to REDD Countries were:

The FCPF has been effective in kick-starting national REDD Readiness processes in over 40 countries and in building the first multilateral Results-Based Framework for REDD+. This is evident from the number of endorsed R-PPs



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and ER-PINs presented, as well as the number of signed Readiness Grants, which exceeded the target during the evaluation period.

The FCPF has faced challenges in reaching advanced stages of readiness at the portfolio level and securing investments for the Future Emissions Reduction Programs. Slow disbursements at the country level, lack of understanding of Delivery Partner policies, and coming to terms with technical complexities have led to delays in the FCPF program. The uncertainty on how the required upfront investments for the future Emission Reduction Programs will be financed has created challenges across the portfolio in managing stakeholder expectations with respect to timing and the availability of funds for REDD Countries. However, it is important to note that the level of progress of the FCPF was assessed against the timelines originally set in the M&E Framework, which can be considered only indicative. The FCPF was initially established as a pilot to test and develop the REDD+ approach in partnership with key stakeholders.

Even if some of the quantitative targets have not been met, the FCPF has generated valuable lessons learnt for developing the REDD+ approach. For example, that key elements of governance need to be in place and sufficient trust must exist among the stakeholders at the country level for results to be achieved.

The FCPF provided a number of useful tools to REDD Countries to navigate the readiness preparation processes. Instruments that have increased the effectiveness of the FCPF include templates (R-PP) and the Readiness Assessment Framework, which have helped REDD Countries to produce standardized information for undertaking REDD+.

While robust, the Carbon Fund's Methodological Framework is viewed as technically challenging among the REDD Countries, whom expect adequate technical support to meet its criteria and indicators. This creates a future challenge to the program given the REDD Countries' concerns on the technical complexity of the Framework.

The FCPF's reporting system did not function to its full potential. Not all data necessary for monitoring, reporting and decision making data were able to be provided across the portfolio. In spite of the fact that the country-level Annual Progress Reports were aligned with the FCPF Monitoring & Evaluation Framework, the quality of reporting from the REDD Countries and Delivery Partners varied significantly. As a result, the FCPF Annual Reports prepared by the FMT could not provide solid portfolio-level analysis on all components. The lack of direct feedback from country-level stakeholders reflected another missed opportunity to harvest information from field-level actors and their experiences with the FCPF.

The operationalization of the Common Approach for Environmental and Social Safeguards contributed positively to the program's effectiveness by allowing support to REDD Countries to be channeled through multiple Delivery Partners (the IDB and the UNDP in addition to the World Bank).

A lack of clarity around the compliance and use of different environmental and social safeguard systems constituted a challenge for the FCPF's readiness implementation. The existence of multiple global safeguard policies for REDD+ (e.g. Institutional: FCPF, Forest Investment Program and Policy: UNFCCC, UNREDD) has created concerns among the REDD Countries about additional work burdens and overlapping efforts to comply with the multiple reporting requirements. It was also



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unclear to many REDD Countries how to use the social and environmental assessment to support the National REDD+ Strategy formulation.

The main conclusions on stakeholder engagement and multi-sectorial dialogue were:

The FCPF has made concerted efforts to ensure high levels of stakeholder engagement in the FCPF at global, regional and national levels. The FCPF has supported the REDD Countries in engaging stakeholders primarily by fostering participation in FCPF governance as Observers and by providing funding through the Capacity Building Program targeted at IPs and CSOs. The R-PP and ER-PIN formulation processes have constituted an important setting for stakeholder engagement at the country level between the governments and the IPs and CSOs, and also among other multi-sectorial players, such as different ministries.

The FCPF has not achieved systematic gender mainstreaming in the Facility's operations, which is an important shortcoming in the program. The current gender mainstreaming elements of the FCPF focus mainly on basic aspects of equality, such as number of men and women participating in events. However, the different implications of the FCPF actions to men and women have not been analyzed in-depth.

The FCPF has not managed to attract private sector interest and engage effectively across the portfolio. However, challenges in private sector engagement is a common challenge in REDD+ projects and programs across the globe.

In terms of multi-sectorial coordination at the country level, the FCPF had a minor role in most REDD Countries. The R-PP template provided a section and guidance for reporting on multi-sectorial dialogues. However, these mechanisms were internal to the REDD Countries and many of them integrated wider processes in forestry than just REDD+.

Main conclusions on knowledge sharing and communications in the FCFP were:

The FCPF has played an important role in providing useful information for the REDD Countries to carry out REDD Readiness activities. The FCPF has been successful in creating an extensive network of stakeholders for sharing knowledge, for facilitating South-South learning, and an information platform on REDD Countries.

The absence of a formal strategy document for knowledge sharing and communications constituted weakness in the FCPF. Measuring the extent to which the participants' obtained new knowledge would have provided the Facility with useful information to continually develop and enhance the benefits gained from training events, technical assistance and knowledge products.

Main conclusions on the FCPF's response to the recommendations of earlier evaluations are:

The follow-up actions based on the recommendations of the first evaluation strengthened the effectiveness of the FCPF, considering that most of them were either achieved or partially achieved. This accomplishment demonstrated effective decision-making and ownership on behalf of the FMT, PC and REDD Countries for improving the FCPF program.

Those recommendations of the first evaluation that were not implemented relate to some of the current weaknesses in the implementation of the program (i.e. lack of a formal knowledge-sharing and communications strategy and poor engagement with the private sector). These aspects were directly linked to outputs and outcomes in



the FCPF Results Chain, constituting a potential risk for future program implementation and its intended results and impacts.

7.1.3 Impact, Sustainability and Efficiency

Main conclusions on impact, sustainability and efficiency were:

The FCPF reached a stage where the existing monitoring system does not fully correspond to the current situation in program implementation and the global context. The fact that the FCPF has only achieved approximately half of its expected outcomes has weakened the Results Chain. Each level (output-outcome-impact) is based on the assumption that the expected results of the previous level were achieved.

The FCPF encountered challenges in disbursing funds at the Country level and disbursement rates for REDD Readiness implementation was significantly lower than that which was initially expected. Common internal factors identified as affecting the disbursement pace of the Readiness Fund were related to long approval processes (such as transfer agreements, grant agreements). Technical review processes were also long, however there is general agreement of the added technical value of the reviews. Of relevance to Delivery Partners, multilateral due diligence and safeguard requirements were complicated and difficult to understand for the REDD Countries, particularly with respect to procurement. External factors included previous uncertainty in the international REDD+ architecture (leading to delays before the Warsaw REDD+ Framework was adopted in 2013) and long processes for making decisions in the country (e.g. political issues).

Considerable investments into the development of the world's first multilateral results-based framework for REDD+ have helped to operationalize the Carbon Fund. Even if the Carbon Fund has not yet disbursed financing for Emission Reductions, it has continued to acquire significant capitalization.

The FIP, UNREDD and bilateral programs filled some of the financing gaps for readiness preparation and implementation in the REDD Countries caused by inefficient disbursements, leading to unintentional leveraging responses.

Tailored technical assistance to the REDD Countries improved the efficiency of the program leading to a supply of ER-PINs presented to the Carbon Fund that exceeded its target.

7.2 Recommendations

The recommendations are clustered under four headings: Readiness Fund, Carbon Fund, both funds, and recommendations for future evaluations, and they are addressed to the Participants Committee, the Facility Management Team, Delivery Partners, REDD Country Focal Points, and Carbon Fund Participants.

7.2.1 Recommendations Addressed to the Readiness Fund

Continue working on the implementation of REDD Readiness through the structured Readiness Framework of the FCPF. The PC should continue providing the REDD Countries with support for their REDD Readiness preparation and implementation by building on the positive experiences with the FCPF so far.

Improve the disbursements for REDD Readiness at the country level. The FMT should facilitate the provision of technical assistance upon the request of REDD Countries for the procurement of goods and services (consultancy contracts) for REDD Readiness implementation. Procurement calls for contracting technical assistance



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could be bundled and sequenced to implement several REDD Readiness components (drivers of deforestation, REDD+ Strategy, SESA/ESMF) by the same provider. This could also reduce the resources needed to oversee the work. Prioritize technical assistance to the countries with the largest undisbursed finance.

Produce useful tools to support the implementation of the SESA/ESMF. The PC should request the FMT to produce guidance on the sequencing of the SESA/ESMF with other components of REDD Readiness implementation, especially for the development of the National REDD+ Strategy. In addition, produce a well-structured SESA/ESMF template with detailed guidance, requirements and steps for implementation. The template could include guidance on how to synergize SESA/ESMF work to comply with Delivery Partner, FIP and UNFCCC safeguard requirements. This work is a priority.

Improve efficiency with greater transparency and accountability. The FMT and Delivery Partners at the country level should work together to ensure that lags between PC allocation and Delivery Partner approval and grant signing are reduced. This is very important for the grant decisions made by the PC for additional financing (USD 5 million). Prioritize FMT and Delivery Partner support to “stranded” REDD Countries where there has been slow disbursement (lags of more than six months) or high undisbursed finance (more than USD 2 million undisbursed after three years). Improve the transparency and accountability of delayed disbursements with actions taken and reasons reported by Delivery Partners to the PC. Appropriate monitoring criteria for disbursement should be set and results placed on the FCPF website. The criteria should also be included in the revised M&E Framework.

7.2.2 Recommendations Addressed to the Carbon Fund

Review the Methodological Framework and, if relevant, align it with UNFCCC/IPCC methods/systems and guidance with the aim of reducing any additional reporting burdens on REDD Countries for both the Carbon Fund and UNFCCC. Present the results at a PC meeting and Carbon Fund Meeting with an accompanying report.

Include detailed guidance on how to manage consultations during the ER-PIN formulation process, focusing on targeted consultations. The detailed guidance should be presented in the ER-PIN template and as a guidance note that other programs could also use.

Create a private sector program designed to improve private sector engagement, to leverage and scale up private sector commitment and participation in the FCPF. The private sector program could, for example, develop a linkage with the Science Based Targets Initiative. The FCPF could operate the program under the umbrella of the Green Climate Fund’s Private Sector Facility, for instance, or another organization that is resourced to reach out and engage effectively with the private sector. Step up efforts to establish direct partnerships with multinational companies, going beyond consultation for the implementation of Emission Reduction Programs. Provide a clear business case for attracting private sector interest.

Revise the Charter to reduce the minimum threshold of USD 5 million for entry into the Carbon Fund in order to attract interest from smaller potential contributors.

7.2.3 Recommendations Addressed to both Funds

Strengthen the alignment of Delivery Partner country engagement strategies and the countries’ REDD+ agendas. The Delivery Partners should discuss options of how



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to ensure alignment of Delivery Partner country strategies with national REDD+ agendas. Delivery Partner country management units should report alignments and malalignments of the country engagement strategies with national REDD+ agendas. To improve transparency and accountability, the Delivery Partner Grant Reporting and Monitoring Report could be used as a basis for this.

Continue providing country-tailored technical support to REDD Countries. The FMT should continue to provide REDD Country Focal Points and technical staff with tailored capacity building and technical assistance, especially for matters that can improve efficiency. Technical support could also help REDD Countries to identify options of how to bridge financing gaps in Emission Reduction Project implementation.

Consolidate the reporting system of the FCPF. The reporting system of the FCPF should be strengthened by revising the REDD Country Annual Report template to align it with the updated M&E Framework. The FCPF should continue using the “traffic light” system of the Annual Reports as long as it is aligned with the M&E Framework and completed in the same way by all REDD Countries. The Delivery Partner Progress Report templates should also be harmonized with the M&E Framework. Improve FCPF’s transparency, communication and ability to monitor stakeholder expectations by encouraging national CSOs – and IPs, if relevant – to provide a response to the Country Annual Progress Report. Upload the submission to the FCPF REDD Country page on the FCPF website.

Change the Delivery Partner of the IP and CSO Capacity Building Program and overhaul the Program. The PC should transfer the management of the Capacity Building Program to a Delivery Partner whose internal management rules allow for more flexible administration of a small grants management scheme. The PC should also considerably increase the financing allocated for the Program. Earmark financing to ensure that Observers (from all categories) can apply for projects. Formulate an M&E Framework and Learning Strategy for the Program.

Formulate and implement a Gender Mainstreaming Strategy. The PC should make a decision about the formulation and implementation of a Gender Mainstreaming Strategy, including a work plan and related budget to allow for its effective implementation. Revise the Charter to formalize the Women’s Observer seat.

REDD Countries should **continue working to involve multi-sectoral stakeholders in dialogues and institutional arrangements for REDD+**, especially when preparing and implementing Emission Reduction Programs. Present success cases of multi-sectoral actors within institutions and in dialogues at PC meetings.

Design and implement a Final Knowledge Sharing and Communications Strategy. The PC should endorse a decision to design and implement a complete Knowledge Sharing and Communications Strategy. The formulation process should be outsourced to a specialized organization or company in order to reduce any risk of creating an unnecessary burden on the FMT in managing the Facility. The strategy should be formulated in coordination with other forest initiatives of the World Bank and other Delivery Partners in order to strengthen synergies and harmonize messages. Strengthen the knowledge-sharing dimension of the FCPF to go beyond knowledge sharing and focus on knowledge generation. The Knowledge Sharing and Communications Strategy should include indicators and M&E tools that allow systematic monitoring of user satisfaction and learning from knowledge products and events.

Revise the M&E Framework of the FCPF. The FMT should request a revision of the M&E Framework (2013) from the PC. The revised M&E Framework should be built on



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achievable targets based on assumptions with a risk mitigation plan. The new M&E Framework should also produce a monitoring tool that allows any stakeholder to obtain a snapshot of the portfolio-level situation on REDD Readiness implementation in the REDD Countries (i.e. alignment of the FCPF dashboard and the M&E framework). The indicators and targets for the Carbon Fund should be revised to reflect the extension of the Carbon Fund's timeline to 2025.

7.2.4 Recommendations for Future Evaluations

Implement future evaluations in real-time and under a framework contract. The PC should amend the Charter for evaluations and set up a real-time, independent evaluation under a framework contract in order to assess and provide timely feedback and an opportunity to facilitate learning about the achievements and challenges of the FCPF. In order to facilitate the work of future Evaluation Teams, the FMT, Delivery Partners and REDD Countries should improve the availability of the contact details of key stakeholders. In addition, provide sufficient resources for in-depth field level lessons learning and stakeholder feedback from all continents by increasing the number of field visits and recruitment of local consultants. This second evaluation shows that it is especially challenging to obtain first-hand information from Africa and small islands, due to communication challenges. Ensure that all entities expected to follow up on the evaluations' recommendations, including the PC, provide a systematic response in order to be compliant with OECD DAC evaluation quality standards.

RESPONSE TO THE SECOND EVALUATIONS RECOMMENDATIONS

Joint Response (from PC, Delivery Partners (IDB, UNDP, WB) and World Bank Management) to the Recommendations in the Second Final FCPF Evaluation Report Version of September 19, 2016

Version of November 10, 2016

Introduction:

This is a joint response to the recommendation from the second FCPF evaluation endorsed by the Oversight Committee (on behalf of the Participants Committee), the Delivery Partners (World Bank, IDB and UNDP) and the World Bank Management, keeping in view that the recommendations are relevant for necessary follow up to one or more of the above constituents of the FCPF.

The second independent evaluation of the FCPF is a significant effort to assess the successes and challenges of the FCPF. This is necessary as the global pilot facility has progressed with the implementation of readiness for reducing emissions from deforestation and forest degradation and is advancing with preparation of the first pilots for implementation of REDD+ programs for results based payments under the Carbon Fund. The evaluation is based on five FCPF country visits and information received from desk reviews, online surveys and interviews with representatives covering relevant stakeholders.

The Endorsement Note of the Oversight Committee (OC) included in the Evaluation Report aptly recognizes the significance of the evaluation findings and recommendations, and the methods used to assess the evaluation questions as agreed in the Inception Report whilst also noting key caveats. The joint response below takes into consideration the OC Endorsement Note recognizing that the Evaluation Report is a good basis to consider the recommendations and the relevant follow up actions to improve the effectiveness and efficiency of the FCPF. In drafting the action plan, the OC will keep in view the emerging context of REDD+ globally and the role of FCPF as a pilot facility for REDD+.

The representatives of the partnership endorsing this joint response (referred to as respondents) concur with the essence of the conclusions and recommendations of this evaluation. There are some areas where the respondents would like to add their perspective to the findings and recommendations presented in the report taking into consideration the past and ongoing efforts on REDD+. Divergence of opinion on specific recommendations is attributed to the specific respondent/s.

World Bank Management as Trustee of the FCPF would like to note that the Evaluation focuses primarily on the operations of the FCPF and not of the World Bank, except where recommendations are pertinent for the World Bank's role as delivery partner for the FCPF.

Second FCPF Evaluation: Recommendations

The recommendations are clustered under four headings: Readiness Fund, Carbon Fund, both funds, and recommendations for future evaluations, and they are addressed to the Participants Committee (PC), the Facility Management Team (FMT), Delivery Partners (DPs), REDD Country Focal Points, and Carbon Fund Participants.

	Recommendation	Response
	Recommendations Addressed to the Readiness Fund	
1.	Continue working on the implementation of REDD Readiness through the structured Readiness Framework of the FCPF. The PC should continue providing the REDD Countries with support for their REDD Readiness preparation and implementation by building on the positive experiences with the FCPF so far.	Agree The Readiness Framework set up by the FCPF serves as good basis for providing continued support for Readiness to the countries. For further effective support the FCPF PC and Delivery Partners will take into consideration on how to optimize the readiness support over the next few years given that Readiness Fund is due to close in 2020. In addition Readiness Support through the FCPF would also need to consider other possible forms of support that countries could leverage given the emerging context of Nationally Determined Commitments and the Green Climate Fund. A note detailing the implications of delivery of readiness efforts through the FCPF Readiness Fund by its closing date, and other opportunities that countries could leverage outside the FCPF could be tabled for discussion by the PC.
2.	Improve the disbursements for REDD Readiness at the country level. The FMT should facilitate the provision of technical assistance upon the request of REDD Countries for the procurement of goods and services (consultancy contracts) for REDD Readiness implementation. Procurement calls for contracting technical assistance could be bundled and sequenced to implement several REDD Readiness components (drivers of deforestation, REDD+ Strategy, SESA/ESMF) by	Ongoing/Partially Agree Respondents agree with the principle of bundled procurement services for efficiency gains through pre-packaging contracts, and this is already being done in several countries and some success has been achieved in these countries. Following the recommendation of the first evaluation an assessment of bottlenecks that REDD countries face in disbursements under the Readiness Fund was made by the

	<p>the same provider. This could also reduce the resources needed to oversee the work. Prioritize technical assistance to the countries with the largest undisbursed finance</p>	<p>FMT and procurement was highlighted as one of issues. The Delivery Partner task teams have been assisting REDD countries with sample ToRs, conducting trainings in World Bank Procurement Policies and bundling of procurement contracts where possible. In addition lessons from similar examples of grants implemented by Delivery Partners should be reviewed.</p> <p>The respondents do not agree that prioritizing technical assistance with the largest undisbursed grants would resolve the challenge as there are other limiting factors to disbursements in countries. Rigorous portfolio monitoring to address the issues on disbursements case by case is already in place.</p>
<p>3.</p>	<p>Produce useful tools to support the implementation of the SESA/ESMF. The PC should request the FMT to produce guidance on the sequencing of the SESA/ESMF with other components of REDD Readiness implementation, especially for the development of the National REDD+ Strategy. In addition, produce a well-structured SESA/ESMF template with detailed guidance, requirements and steps for implementation. The template could include guidance on how to synergize SESA/ESMF work to comply with Delivery Partner, FIP and UNFCCC safeguard requirements. This work is a priority</p>	<p>Agree</p> <p>Respondents agree that countries need active support on SESA application. Regional workshops in REDD countries have been held since the first evaluation to disseminate and enhance application of SESA, Feedback and Grievance Redress Mechanisms amongst others. Countries have reflected on the need to reenergize the discussion with the REDD Countries on what the most useful forms of support for SESA could be. It is to be noted that SESA itself is a tool for strategic assessment. Hence additional guidance (as opposed to tools and templates) and dissemination of best practices from countries that have successfully applied SESA could be beneficial for REDD countries. The means of support to enhance SESA and ESMF implementation, including capacity gaps, could be defined together with REDD countries and other Delivery Partners. The World Bank will / plans to also mobilize internal discussions to build ideas to accelerate the process.</p>
<p>4.</p>	<p>Improve efficiency with greater transparency and accountability. The FMT and Delivery Partners at the country level should work together to ensure that lags between PC allocation and Delivery Partner approval and grant signing are reduced. This is very important for the grant decisions made by the PC for additional financing (USD 5 million). Prioritize FMT and Delivery Partner support to “stranded”</p>	<p>Partially Agree</p> <p>Respondents agree to the overall essence of this recommendation. It appears that reference to efficiency is within the limited context of timely signing of grants after PC approval and disbursements of signed grants. Portfolio level monitoring by the FMT is already in place and will be adapted to make it more robust to monitor key</p>

	<p>REDD Countries where there has been slow disbursement (lags of more than six months) or high undisbursed finance (more than USD 2 million undisbursed after three years). Improve the transparency and accountability of delayed disbursements with actions taken and reasons reported by Delivery Partners to the PC. Appropriate monitoring criteria for disbursement should be set and results placed on the FCPF website. The criteria should also be included in the revised M&E Framework</p>	<p>milestones on a quarterly basis. The FMT is regularly reviewing grant signing and disbursements whilst noting where the status quo on slow progress with respect to grant signatures and disbursements is unchanged for six months or more and bringing it to attention of DP Task teams for relevant follow up actions. The dashboard for the Readiness Fund is being adapted to display information transparently based on reporting by Delivery Partners.</p> <p>The recommendation however assumes that support from the Delivery Partner is the solution to the delays in signing of Grant Agreements/ undisbursed finance though this may not be the case. Country circumstances vary and due recognition of factors resulting in the delay and the extent to which these are resolvable in a reasonable time frame is necessary. An FMT note on options to exercise where there are excessive delays could be discussed by PC (in conjunction with Recommendation 2 above).</p>
<p>Recommendations Addressed to the Carbon Fund</p>		
<p>1.</p>	<p>Review the Methodological Framework and, if relevant, align it with UNFCCC/IPCC methods/systems and guidance with the aim of reducing any additional reporting burdens on REDD Countries for both the Carbon Fund and UNFCCC. Present the results at a PC meeting and Carbon Fund Meeting with an accompanying report.</p>	<p>Agree</p> <p>The respondents agree with the report that the Methodological Framework (MF) is robust to ensure environmental and social integrity for results based payments for REDD+ yet there is a need to strongly support REDD countries to apply and conform to the MF. It is to be noted first two REDD countries have successfully applied MF and there are more in the Carbon Fund Pipeline that are in the process of applying MF and therefore timely support will be required. It is also to be noted however, the objective of the methodological framework and UNFCCC guidance is not the same. The MF is a standard for results based payments ie criteria against which monitored Emission Reductions will be paid for whilst the set of UNFCCC decisions that make up the Warsaw Framework are intended as guidance on the approach to REDD+ overall and not as funding criteria. The Warsaw Framework envisages funding through</p>

		<p>other mechanisms, including, inter alia, the Green Climate Fund (GCF). In addition, the MF is actually already being reviewed continuously, as exemplified by the revisions made to the MF in June 2016. It may be appropriate for the FMT to prepare a note to be discussed by the PC, assessing the commonalities and differences in the principles of the Methodological Framework with the other standards such as UNFCCC and once the GCF guidance on REDD+ is finalized.</p>
2.	<p>Include detailed guidance on how to manage consultations during the ER-PIN formulation process, focusing on targeted consultations. The detailed guidance should be presented in the ER-PIN template and as a guidance note that other programs could also use</p>	<p>Ongoing/Partially Agree The respondents agree to the need for managing consultations throughout the REDD process (readiness, Emission Reductions program preparation and implementation). Countries have undertaken extensive consultations during Readiness preparation which have also resulted in raised expectations from stakeholders. The ER-PIN formulation process is largely complete in the majority of countries that have expressed interest in piloting programs with support of the FCPF Carbon Fund hence the recommendation is relevant for the Emission Reductions Programs rather than ER-PINs. Joint Guidance on consultations issued by FMT and UN-REDD Programme for readiness imbibes principles of robust and targeted consultations and remains relevant for consultations at jurisdictional level for program design and implementation. The Recommendation does not address the communication aspects of REDD+. Proper communication and messaging around program preparation, timelines, implementation and expected benefits is an important aspect for managing expectations. REDD countries have prepared communication strategies as part of the Readiness Process and communication related to programs needs to be integrated into country communication strategies. This recommendation including the need for further tailoring existing guidance on consultations at ER-PD stage, will be considered together with the recommendation on guidance on application of SESA with inputs from REDD countries.</p>

3.	<p>Create a private sector program designed to improve private sector engagement, to leverage and scale up private sector commitment and participation in the FCPF. The private sector program could, for example, develop a linkage with the Science Based Targets Initiative. The FCPF could operate the program under the umbrella of the Green Climate Fund’s Private Sector Facility, for instance, or another organization that is resourced to reach out and engage effectively with the private sector. Step up efforts to establish direct partnerships with multinational companies, going beyond consultation for the implementation of Emission Reduction Programs. Provide a clear business case for attracting private sector interest</p>	<p>Partially Agree The respondents agree in principle with the need to enhance private sector engagement but not in its entirety. In our opinion carving out a dedicated Private Sector Facility is not the solution for engaging the private sector. It is our view that the private sector should be targeted strategically, including in partnership with organizations such as the Tropical Forest Alliance, World Business Council For Sustainable Development and others to realize the impact structurally across the REDD countries for addressing the drivers of deforestation. A discussion paper defining the purpose, scope and means of such engagement, in consultation with other Global Practices within the Bank with experience, IFC, FIP, and the GEF amongst others, will be prepared by FMT.</p>
4.	<p>Revise the Charter to reduce the minimum threshold of USD 5 million for entry into the Carbon Fund in order to attract interest from smaller potential contributors.</p>	<p>Disagree Respondents disagree with this recommendation as it is not a finding based on evidence. Reducing the threshold of 5 million will have implications such as high transaction costs and will not be worth the effort of engaging additional partners in the Fund. As the recommendation is partially meant to enhance private sector engagement, it should be noted that interest in purchase of ERs is not high at present.</p>
Recommendations Addressed to both Funds		
1.	<p>Strengthen the alignment of Delivery Partner country engagement strategies and the countries’ REDD+ agendas. The Delivery Partners should discuss options of how to ensure alignment of Delivery Partner country strategies with national REDD+ agendas. Delivery Partner country management units should report alignments and malalignments of the country engagement strategies with national REDD+ agendas. To improve transparency and accountability, the Delivery Partner Grant Reporting and Monitoring Report could be used as a basis for this.</p>	<p>Partially Agree Respondents partially agree with the rationale that this recommendation builds upon. However, the assumption that aligning DP country strategies with national agendas will elevate implementation of REDD+ nationally is not correct in its entirety. Further DP country offices reporting such alignments/ misalignments to the PC is not practical nor does it directly help with the national REDD+ implementation. Respondents therefore disagree with a</p>

		<p>mandated need for DPs to report on alignment to the PC due to limited value added and lack of practicality.</p> <p>However, aligning the DP country support strategies across various sectors with the national REDD agenda such as the INDCs would be helpful. Hence key consideration would be how to elevate the attention to forest/REDD+ nationally and comprehensive actions that could help this support.</p>
<p>2.</p>	<p>Continue providing country-tailored technical support to REDD Countries. The FMT should continue to provide REDD Country Focal Points and technical staff with tailored capacity building and technical assistance, especially for matters that can improve efficiency. Technical support could also help REDD Countries to identify options of how to bridge financing gaps in Emission Reduction Project implementation.</p>	<p>Partially Agree</p> <p>Respondents agree that recognizing country specific context and providing country tailored support would be helpful. The recommendation implies that support continued at the current level would lead to increased efficiency at the level of the Facility. Some other pertinent questions need to be considered in the context of enhancing support across the FCPF countries and for operationalizing this recommendation such as (i) can we achieve more efficiency with more of the same form of support? (ii) what are the limiting factors in implementation?, and (iii) whether FCPF can provide the same level of intensive support to all countries and (iv) are there specific areas where tailored support could help with the acceleration of REDD+ implementation?</p>
<p>3.</p>	<p>Consolidate the reporting system of the FCPF. The reporting system of the FCPF should be strengthened by revising the REDD Country Annual Report template to align it with the updated M&E Framework. The FCPF should continue using the “traffic light” system of the Annual Reports as long as it is aligned with the M&E Framework and completed in the same way by all REDD Countries. The Delivery Partner Progress Report templates should also be harmonized with the M&E Framework. Improve FCPF’s transparency, communication and ability to monitor stakeholder expectations by encouraging national CSOs – and IPs, if relevant – to provide a response to the Country Annual Progress Report. Upload the submission to the FCPF REDD Country page on the FCPF website</p>	<p>Agree</p> <p>Major steps have been taken since the first evaluation to develop and operationalize the M&E Framework, the reporting templates for the countries and the DPs. Some targets and indicators of the M&E framework need to be revised in view of the changed assumptions since 2011. Revision of the M&E Framework and thereafter the country annual reporting template would be useful to align with the developments of the FCPF since 2011 and will be. considered by the OC at the time of preparing the action plan.</p>

<p>4.</p>	<p>Change the Delivery Partner of the IP and CSO Capacity Building Program and overhaul the Program. The PC should transfer the management of the Capacity Building Program to a Delivery Partner whose internal management rules allow for more flexible administration of a small grants management scheme. The PC should also considerably increase the financing allocated for the Program. Earmark financing to ensure that Observers (from all categories) can apply for projects. Formulate an M&E Framework and Learning Strategy for the Program</p>	<p>Partially Agree</p> <p>This recommendation is partially relevant given the progress already made on implementation of IP and CSO capacity building program since the second evaluation was commissioned. IP and CSO capacity building program grants have been already committed and the program is now under implementation. Making changes/ transfer of existing program to another arrangement would not be helpful at this stage. Documentation on regional programs, including the results framework, is available on the Operations Portal of the World Bank.</p> <p>Depending on other sources of finance becoming available for the related initiatives supporting IP and CSO engagement (Dedicated Grant Mechanism of the FIP, potential increased financing through FCPF etc.) moving forward a programmatic approach could be considered with a single window to channel funds through the World Bank.</p> <p>Separate financing for all Observers categories could be considered by PC.</p>
<p>5.</p>	<p>Formulate and implement a Gender Mainstreaming Strategy. The PC should make a decision about the formulation and implementation of a Gender Mainstreaming Strategy, including a work plan and related budget to allow for its effective implementation. Revise the Charter to formalize the Women’s Observer seat</p>	<p>Agree</p> <p>Respondents agree with the overall relevance of this recommendation based on the finding that 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 in the past Mainstreaming gender issues is being carried out with support from the FCPF. PC approved a budget of US\$ 411,000 to kick start the gender relevant activities in the context of REDD+. Further opportunities will be explored to ensure synergies with World Bank Gender Strategy and ongoing efforts through PROFOR, and other Delivery Partners. PC can consider formalizing the Women’s Observer seat.</p>

6.	<p>REDD Countries should continue working to involve multi-sectoral stakeholders in dialogues and institutional arrangements for REDD+, especially when preparing and implementing Emission Reduction Programs. Present success cases of multi-sectoral actors within institutions and in dialogues at PC meetings</p>	<p>Agree Respondents agree with the proposed recommendation and the need to engage other sectors, especially Agriculture, Energy and Environment and Finance. The PC, including REDD countries, could consider how to energize the multi-sectorial dialogues nationally beyond inviting countries to report/ present case examples of effective multi-sectorial dialogues in countries. Other sectoral partners (other than Ministries of Environment/Forest) should be encouraged to participate in knowledge exchange/ relevant fora and at PC meetings.</p>
7.	<p>Design and implement a Final Knowledge Sharing and Communications Strategy. The PC should endorse a decision to design and implement a complete Knowledge Sharing and Communications Strategy. The formulation process should be outsourced to a specialized organization or company in order to reduce any risk of creating an unnecessary burden on the FMT in managing the Facility. The strategy should be formulated in coordination with other forest initiatives of the World Bank and other Delivery Partners in order to strengthen synergies and harmonize messages. Strengthen the knowledge-sharing dimension of the FCPF to go beyond knowledge sharing and focus on knowledge generation. The Knowledge Sharing and Communications Strategy should include indicators and M&E tools that allow systematical monitoring of user satisfaction and learning from knowledge products and events.</p>	<p>Ongoing/Partially Agree Respondents partially agree on the need to enhance the communication and knowledge sharing through the FCPF. FMT has fostered and scaled up efforts especially on communication aspects since the completion of first evaluation but there is a need to do more on this as countries begin to design scaled up programs that will require escalated knowledge exchange on several critical technical themes. There is an existing working strategy on communications that can be strengthened to add the systematic knowledge sharing dimension. More importantly a robust action plan could add impetus to knowledge sharing in coordination with the agriculture and environment practices within the Bank and with the Forest Investment Program. Options for a systematic approach for knowledge sharing and resources required can be explored further. M&E Framework could be adapted to include relevant indicators for monitoring the effectiveness of communications and knowledge sharing.</p>
8.	<p>Revise the M&E Framework of the FCPF. The FMT should request a revision of the M&E Framework (2013) from the PC. The revised M&E Framework should be built on achievable targets based on assumptions with a risk mitigation plan. The new M&E Framework</p>	<p>Agree The Respondents agree with this recommendation and its relevance. Need to adapt M&E targets is well recognized.</p>

	<p>should also produce a monitoring tool that allows any stakeholder to obtain a snapshot of the portfolio-level situation on REDD Readiness implementation in the REDD Countries (i.e. alignment of the FCPF dashboard and the M&E framework). The indicators and targets for the Carbon Fund should be revised to reflect the extension of the Carbon Fund’s timeline to 2025</p>	<p>The FMT is in the process of improving the Facility level Monitoring Tool for tracking readiness and could consider a similar tracking tool for monitoring milestones for the Carbon Fund. This recommendation would be considered together with recommendation 3 on aligning reporting systems and the recommendation for future evaluations</p>
<p>Recommendation for Future Evaluations</p>		
<p>1.</p>	<p>Implement future evaluations in real-time and under a framework contract. The PC should amend the Charter for evaluations and set up a real-time, independent evaluation under a framework contract in order to assess and provide timely feedback and an opportunity to facilitate learning about the achievements and challenges of the FCPF. In order to facilitate the work of future Evaluation Teams, the FMT, Delivery Partners and REDD Countries should improve the availability of the contact details of key stakeholders. In addition, provide sufficient resources for in-depth field level lessons learning and stakeholder feedback from all continents by increasing the number of field visits and recruitment of local consultants. This second evaluation shows that it is especially challenging to obtain first-hand information from Africa and small islands, due to communication challenges. Ensure that all entities expected to follow up on the evaluations’ recommendations, including the PC, provide a systematic response in order to be compliant with OECD DAC evaluation quality standard.</p>	<p>Partially Agree Respondents are not clear on the recommendation suggesting amendment of the Charter. The Charter provides that the FCPF should conduct evaluations and mandates the PC to determine the purpose, timing and frequency of the evaluations. Perhaps revising the M&E Framework would be more appropriate as the objectives and frequency of evaluations is defined in the M&E framework. The various models of evaluation have pros and cons and implications of a framework contract for future evaluations will need further discussion. Thematic assessments focusing on specific areas of interest for example could yield real time lessons that could be more useful for the Facility in the short term. These could then be complemented with evaluations in the medium term commissioned by the FCPF. Opportunities to tap into evaluations conducted by other initiatives such as NICFI, and IEG will also be considered.</p> <p>This recommendation would be considered together with recommendation 8, addressed to both Funds, on revising the M&E Framework.</p>

A joint response to the recommendations in this evaluation is herewith provided. An action plan for implementing relevant recommendations will be prepared and shared with the PC for adoption no later than PC23.



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