



# A global comparative study for achieving effective, efficient and equitable REDD+ results (2016-2020): Midterm Review 2018

Final Report

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## Disclaimer

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## Foreword

The mid-term review of the Global Comparative Study (GCS) on REDD+ has been prepared by a team of independent consultants from Resources & Synergies Development Experiences Ltd, a subsidiary of Resources & Synergies Development Ltd. The authors wish to thank CIFOR experts and management and more particularly those who have shared with us data and meaningful insights. Although R&SD Experiences experts were not in charge of conducting the large surveying work among 70+ key informants, we wish to extend our gratitude to those people who shared very relevant experiences.

The mid-term review report consists of three sections as follows.

The first section addresses the project background, theory of change and influence strategies. In this section, readers will also find the scope of the review, the methods used and a concise introduction of the Monitoring and Evaluation Impact Assessment system (MEIA).

The second section includes the review findings. It is the core work of the review. The country summaries have been written on the basis of the progress reports 2017 and 2018. We chose to remind the key findings and the state of REDD+ in each country in 2017 and 2018 as they were described in both progress reports. Obviously, this reporting choice results in a longer document, but it allows readers to refer to a stand-alone mid-term review report. This section put much emphasis in providing answers to the evaluation questions. The body of evidence is large and is partly available in the core text of this report and partly found in annexes.

The third and last section offer concise conclusions and recommendations. In short, the GCS REDD+ Program is on track and is delivering outputs in an effective and efficient manner. When it comes to intermediate outcomes, many nuances are to be reported albeit the general evaluation of the Program is positive.

## Executive summary

The mid-term review of the Project “A Global Comparative Study for Achieving REDD+ Results” was initiated in 2018 by CIFOR’s Monitoring, Evaluation and Impact Assessment Team; it was finalized by a team of experts from Resources and Synergies Development Ltd, a Consultant headquartered in Latvia. The GCS REDD+ Team Leader and his teams provided all relevant documents including the survey raw data.

The methodology used in the mid-term review mainly consists of a series of analyses of data and information provided by seventy-four key informants who expressed their opinion in the scope of an in-depth survey<sup>1</sup>. This sample of actors, circa. 20 % of the actors engaged by CIFOR teams is representative in terms of geographical scope<sup>2</sup> and evenly stratified into private for-profit and private non-profit organizations. Annual progress reports (2016-2018) as well as the end of the phase II evaluation report prepared by ODI (2015) provided relevant information, too.

Five key evaluation questions guided our work:

1. How relevant are the module’s focus and planned activities to evolving target country contexts and the international REDD+ agenda?
2. Is the project making a contribution to intended outcomes?
3. Are the project’s assumptions about how knowledge will influence change through this project valid and comprehensive?
4. Is the project monitoring system collecting appropriate information systematically and how can it be improved?
5. What are opportunities for the project to enhance the outcome?

In short, all modules activities are relevant to very relevant to evolving target country contexts and the international REDD+ agenda. REDD+ is a moving – and some say elusive – target and despite shifts in terminology, broader carbon-related scope and many institutional changes, outputs from all modules remain useful globally and in the eight targeted countries.

The GCS REDD+ Project is contributing to the intended outcomes, and some cases to unintended positive outcomes as well. From our analyses, 69 % of informed implementers in target countries have the capacity, i.e. will, knowledge and support to implement. In addition, 92% of informed supporters promote, motivate and enable implementation of 3E principles. Finally, 62% of knowledge co-producers, i.e. actors engaged in project activities report coproduction outcomes (skills, values and understanding). These figures, albeit indicative, suggest two major trends. Firstly, supporters are easier to reach than are the other categories of stakeholders. Secondly, a significant portion of knowledge co-producers would rely on their own sources of information. The target was set at 50% on each of these intermediate outcomes. Despite the limitation of these statistics, we can argue with a reasonable level of confidence that the Project has exceeded its intermediate targets.

Some assumptions valid at the beginning of the project no longer hold. It is not surprising given the fast-changing global context and the even faster-changing contexts in targeted countries. At present, the theory of change designed at the beginning of the Project and the logical framework are still valid. It is noteworthy that the GCS REDD+ teams have proven their capacity to adapt to changing research and policy environment. Without this kind of capacity, they could not deliver as expected.

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<sup>1</sup> The consolidated survey transcripts exceed 1,000 pages. Information is mainly qualitative with many nuances.

<sup>2</sup> In addition to the global scope, the survey conducted on GCS REDD+ includes representatives from all targeted countries, i.e. Peru, Brazil, Guyana, Indonesia, Vietnam, Myanmar, Ethiopia and DRC.

Last but not least, the project monitoring system is not working as expected. This is the weak point of the Project. The Monitoring, Evaluation and Impact Assessment system is not operational yet, despite data and information being available. Pathways effectiveness is hard to assess with accuracy unless the MEIA system is fully operational.

Interviewed stakeholders have given a long list of opportunities to increase the project's contribution to outcomes. They are being discussed in Key Questions 1.2 and 2.4, and given in detail in Annexes 2 and 6. Some are owed to special circumstances or conditions found in single countries. In general, stronger stakeholder participation and capacity development are coming out as important opportunities that could be addressed in the last project phase.

By way of conclusion, it is fair to say the GCS REDD+ Project is on track. Teams have delivered according to plans as evidenced by a long list of relevant outputs (refer to (i) annual progress reports and on-line material and (ii) independent evidence from interviewees). The Project has hit its intermediate outcome targets. Obviously, there is room for improvement as evidenced by the long series of suggestions. Above all, these numerous opportunities show how relevant the project is. They also show how demanding and engaged are actors involved with REDD+.

The review of the previous GCS REDD+ carried out by ODI listed twenty recommendations. Out of these, nineteen have been fully or partly addressed. We found no evidence that the recommendation "Produce a short strategy document outlying what makes for the best 'match' between CIFOR and its collaborating organisations (type of partnership being sought)" was addressed. We encourage the Project teams to implement most recommendations made by ODI.

In addition, we wish to make the following key recommendations.

Firstly, the MEIA system should be put in place as soon as possible. It can be very useful to assess the pathways effectiveness and the contribution of the Project to final outcomes.

Secondly, the core discussion is about providing information and exerting influence. In short, it seems there is "enough information" and "not enough influence", in relative terms. Each pathway can be analysed as a decision-making process where a bottleneck – the weakest element – sets the pace to the entire system. Using the MEIA, the module leaders should be able to better identify obstacles and remedy them accordingly. It is not only about improving the flow of information and action but also positioning the product between information and influence. We can provide two examples. Policy briefs can be seen as shorter versions and more accessible written research findings. Face-to-face engagement with stakeholders, policy-makers in particular, including providing technical assistance, was acknowledged as an impacting behaviour. It is highly recommended that the Project continue to alleviate these two "bottlenecks".

Thirdly, we recommend not to engage into developing country-specific theory of change. The generic theory of change can still be used for the remaining implementation period of time. Instead, the Project should select and closely monitor up to four selected policy trajectories in order to enrich the body of knowledge on the process (stories of change).

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## Acronyms and abbreviations

3E	Effective, Efficient and Equitable
3E+	Enhance, Extend, Empower
AAU	Addis Ababa University
AFOLU	Agriculture, Forestry and Other Land-Uses
BDS	Benefit Distribution System
BSM	Benefice Sharing Mechanism
CI	Conservation International
CIFOR	Center for International Forestry Research
CONREDD+	National Coordination Committee, DRC
COP	Conference of Party
CRGE	Climate Resilient Green Economic, Ethiopia
CSO	Civil Society Organization
DAR	Derecho Ambiente y Recursos Naturales, Peru
DCI	Declaración Conjunta de Intención (Joint Declaration of Intent), Peru-Norway-Germany
DEVIDA	Comisión Nacional para el Desarrollo y Vida sin Drogas, Peru
DIAF	Direction des Inventaires et Aménagements forestiers, DRC
DRC	Democratic Republic of Congo
EEFI	Ethiopian Environment Forest Institute
EII	Earth Innovation Institute
ERPA	Emission Reduction Payment Agreement
FCP(F)	Forest Carbon Partnership (Facility)
FIF	Forest Investment Fund
FIP	Forest Investment Program
FLEGT	Forest Law Enforcement, Governance and Trade
FONAREDD	Fonds National REDD (REDD National Fund), DRC
FORETS	Forêts, Recherche, Environnement dans la Tshopo
FPIC	Free Prior Informed Consent
FREL	Ethiopia's Forest Reference Emission Level
GCF	Green Climate Fund
GCF Task force	Governors' Climate & Forests Task Force, Peru
GCS	Global Comparative Study
GFC	Guyana Forestry Commission
GGGI	Global Green Growth Institute
GHG	Greenhouse Gases
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH, Germany
GLF	Global Landscape Forum
GTP	Growth and Transformation Plan, Ethiopia
IBC	Instituto del Bien Comùn, Peru
ICV	Instituto Centro de Vida
IMAZON	Instituto do homem e Meio Ambiente da Amazônia, Brazil
IPA	Agriculture Research Institute, Brazil
JICA	Japan International Cooperation Agency
KEQ	Key Evaluation Question
KFW	Kreditanstalt für Wiederaufbau, Germany
LED-R	Low Emission Rural Development
Lol	Letter of Intent
MEFCC	Ministry of Environment, Forest and Climate Change, Ethiopia
MEIA	Monitoring and Evaluation Impact Assessment
MINAM	Ministerio del Ambiente (Ministry of Environment), Peru
MMRV	Monitoring, Measurement, Reporting and Verification



MoEF	Ministry of Environment and Forestry, Indonesia
MoU	Memorandum of Understanding
MRV	Measurement, Reporting and Evaluation
MSc	Master of Science
MtCO <sub>2</sub> e	Million tons of Carbon Dioxide equivalent
MTR	MidTerm Review
NCD	Nationally Determined Contribution
NFI	National Forest Inventory
NGO	Non-Governmental organization
NORAD	Norwegian Agency for Development Cooperation
OFLP	Oromia Forest Landscape Program
OSFAC	Observatoire Satellital des Forêts d'Afrique Centrale
PES	Payment for Environmental Services
PES	Payment for Ecosystem Services
PFM	Participatory Forest Management, Ethiopia
PhD	Philosophy Doctor
PNCB	National Forest Conservation Program
PTC	Plateforme Technique de Concertation (technical consultation platform)
R&SD	Research and Synergies Development
RBP	Results-Based Payment
REDD+	Reducing Emissions from Deforestation and Forest Degradation and Enhancing Forest Carbon Stocks
REM	REDD+ Early Movers (e.g. Germany)
SDG	Sustainable Development Goals
SLRT	Sustainable Landscape Rating Tool
SPDA	Sociedad Peruana de Derecho Ambiental, Peru
STA	Sustainable Tropics Alliance
TDC	Conditional Cash Transfer
TPRC	Tropical Peat Research Centre
TWG	Technical Working Groups
UNDP	United Nations Environment Program
UNFCCC	United Nations Framework Convention on Climate Change
USAID	United States Agency for International Development
USD	American Dollar
WB	World Bank
WGC	Wondo Genet College of Forestry and Natural Resources, Ethiopia
WRI	World Resources Institute
WWF	World Wide Fund for Nature

# Section 1: Midterm Review Introduction

## 1.1 Project Background

The global comparative study for achieving effective, efficient and equitable REDD+ results (GCS REDD+ Phase 3) works with research partners and stakeholders in eight countries to ensure that REDD+ policy-makers and practitioner communities have access to and use the information, analysis and tools needed to design and implement REDD+; create enabling conditions; and assess to what degree REDD+ has delivered effective, cost-efficient and equitable carbon and non-carbon benefits.

The project combines research, in-country capacity building for research, technical assistance and technology transfer, and policy engagement at sub-national, national, and international levels. The project is structured into four research modules (on policies and governance; the assessment of REDD+ projects on the ground; understanding MRV issues; and addressing landscape level challenges and private sector contributions to REDD+) and one knowledge-sharing module - designed to deliver salient, credible and legitimate knowledge products that address important gaps in REDD+ policy design and implementation.

Through co-production of knowledge, partners will develop their technical capacity to address policy and implementation challenges and assist in dissemination, multiplication and uptake of research results. The project builds on the experience from past phases of GCS REDD. It shows the catalytic potential of combining research, capacity building, and partner engagement to bridge the science-policy divide.

Building on this experience, the project will work with a wide range of stakeholders in NICFI priority countries to promote changes in policy and practice towards reducing emissions from deforestation and forest degradation and enhancing forest carbon sinks.

The GCS REDD+ has four research modules, working across eight focus countries. The titles of the research modules are (narrative descriptions of the modules can be found in Annex 1):

- Module 1: Towards effective policies and measures at the national level
- Module 2: Assessing the performance of sub-national and private corporate initiatives
- Module 3: Forest Monitoring, Measurement, Reporting and Verification (MMRV)
- Module 4: Integrating REDD+ measures with development goals at landscape level

All research modules are seeking to influence national, sub-national and global policies and practices and are supported in achieving this by integrated communications and outreach activities (coordinated under Module 5: Communications Outreach and Engagement).

Table 1 summarizes where the different research modules are active geographically and what type of influence they are hoping to achieve there.

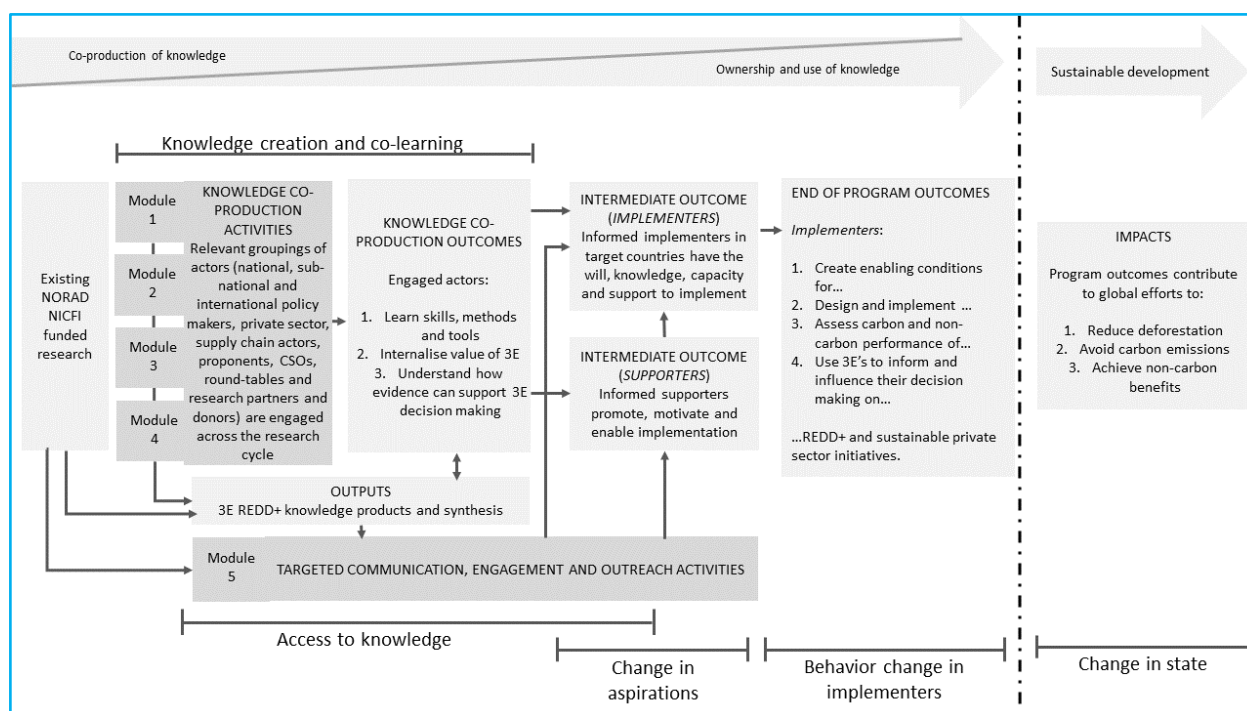
**Table 2- Module Geographies and Areas of Influence**

Module	Intended module influence by component	Global	Brazil	DRC	Ethiopia	Guyana	Indonesia	Myanmar	Peru	Vietnam
Module 1	1.1 REDD+ design (all levels)	X	X	X	X	X	X	X	X	X
	1.2 Transformational change (national level)		X	X	X	X	X	X	X	X
	1.3 Empowered CSO: (national/subnational level)		X	X	X	X	X	X	X	X
Module 2	2.1 Experience-based policy design: (all levels) *)									
	a) Jurisdictional profiles (global survey field work)	X	X		x		X		X	X
	b) Global impact study of sub-national initiatives (BACI Phase 3)		x				x		x	x
	2.2 Private sector contribution to REDD+ (all levels)	X	X				X			
Module 3	3.1 MMRV (national and international levels)	X	X	X	X	X	X	X	X	X
	3.2 Improved AFOLU information (all levels)	X			X	X	X		X	X
	3.3. MMRV capacity (national and subnational levels)				X		X	X	X	X
Module 4	4.1 Multilevel governance (all levels)	X					X		X	X
	4.2 Informed landscape management (subn. level)		X		x		X		X	
	4.3 Synergized supply chain and landscape-based interventions (all levels)	X	X				X			
Module 5	5.1 Partners engagement (all levels)	X	X	X	X	X	X	X	X	X

## 1.2 Project Theory of Change

### 1.2.1 Theory of change context

The theory of change reflects the knowledge that CIFOR has developed during the last nine years of NICFI supported research on how to effectively influence REDD+ policy and practice. This experience has highlighted the importance of developing ownership of the knowledge produced and the agenda for its use. An evaluation of CIFOR's global comparative study on REDD+, carried out in 2014, has also found that a combination of co-producing research, extensive engagement of knowledge users across the research cycle and targeted communications with key decision makers is effective in achieving ownership and use of information in REDD+ decision making (<http://www.cifor.org/library/6021/informing-redd-policy-an-assessment-of-cifors-global-comparative-study/>).



**Figure 1 - GCS REDD+ Theory of Change**

As a result, this project theory of change is structured in five phases (see Figure 1, with text in brackets pointing to the respective outcome and impact levels);

1. Knowledge creation and co-learning [knowledge co-production activities],
2. Enhanced access to knowledge [knowledge co-production outcomes],
3. Change in aspirations [intermediate outcomes],
4. Change in implementer behaviour that is assessed by looking at the resulting changed policy and practice [end of program outcomes],
5. and finally, Impacts on the change in state (e.g. carbon and non-carbon benefits, forest cover, carbon emissions etc).

The first four stages are within CIFOR's sphere of influence<sup>3</sup> and achieving the desired outcomes in these phases would mean the project will make a credible contribution to changes in state resulting from REDD+ and private sector the decisions of key policymakers and practitioners (i.e. create impact).

It is anticipated that throughout the 5 years of implementation, there will be a transition from CIFOR initiated co-production and co-learning to policy-maker and practitioner-initiated ownership and use of information in their decision-making processes.

## 1.2.2 Pathways

In order to ultimately contribute to changes in state, during this project CIFOR has been undertaking collaborative, policy and practice-oriented research. Through the deliberate process of knowledge co-production, which engages both implementing and supporting actors, the latter is equipped with skills,

<sup>3</sup> Those outcomes that a project can realistically exert influence over, see: Sarah Earl, Fred Carden, and Terry Smutylo, OUTCOME MAPPING Building learning and reflection into development programs, IDRC. January 1, 2001

values and understanding to take decisions that maximize the efficiency, effectiveness and equity of REDD+ and sustainable private sector initiatives.

In each of the target countries CIFOR has worked collaboratively with key actors in a number of research modules – each module focusing on a priority area for sustainable 3E REDD and private sector initiatives appropriate to the target country. This collaborative research has engaged relevant actors across the research cycle (including scoping, data collection and management, analysis and interpretation, scenario development and modelling and development of policy options).

As result of the close engagement with CIFOR, engaged actors (i.e. national, sub-national and international policy makers, private sector, proponents, CSOs, round-tables and research partners) has learned skills, internalise values, and develop understandings that is influencing how decisions are taken in their respective areas of responsibility. The interaction has also provided valuable learning for CIFOR in how to construct and implement utilisation-focused research in REDD and sustainable private sector initiatives (i.e. co-learning).

Concurrently, CIFOR has undertaken targeted outreach and engagement activities (Module 5), building on new and existing bodies of knowledge to inform key decision makers. These efforts are complementing the outcomes to be achieved through the knowledge co-production and begin to target different outcomes for two distinct audience groups – described in the theory of change as implementers and supporters.

Implementers are national and sub-national policy makers, private sector actors and REDD proponent organizations who take decisions that directly impact changes in state in target countries.

Supporters are international bodies, donors, CSOs, round-tables and research partners who have a role to play in advocating for, incentivising, monitoring or normalising behaviour that aligns with 3E principles.

While the theory of change differentiates between implementers and supporter groups in order to understand the process where-by change occurs, CIFOR acknowledges that individuals may move between categories depending on the function they are serving at a given time (e.g. a NGO serves as a REDD+ project implementer, but also as an advisor to national-level policy makers to support REDD+ decision making).

The same partner organization may sometimes find itself in an implementer role, at other times in a supporter role. These distinctions are made here not to classify partners but to describe their various functional roles along the impact pathway in the theory of change.

The cumulative result of the knowledge co-production and communication and engagement activities are changes in what implementers and supporters aspire to achieve. These changes are reflected in how supporting organizations promote, motivate and enable implementation of REDD and private sector initiatives and the extent to which implementers have the will, knowledge and support to pursue 3E implementation.

The result of these changes is the use of information, tools and analysis by implementers in target countries to create enabling conditions for; design and implement initiatives and assess carbon and non-carbon performance of REDD+ and sustainable private sector initiatives.

By contributing to shifting behaviour away from business as usual towards 3E principles throughout the lifecycle of REDD+ and private sector initiatives, the project will have a long term impact on the ability of target countries to achieve and assess carbon and non-carbon benefits, and with this, contribute to the NICFI targets, particularly mainly to NICFI's Outcomes 2 (governments in targeted developing countries have implemented REDD+-related policies), and 3 (private sector actors).

### 1.2.3 Project Assumptions

There are a broad series of assumptions defined in the scope of the GCS Project. They are reviewed in **Annex 5**.

## 1.3 Project Influence Strategies



### 1.3.1 Module 1: Towards effective, efficient and equitable Policies and Measures at national Level

Module 1 addresses the following:

- Long-term iterative engagement with key REDD+ actors in target countries – provision of information and facilitated discussion of findings within trusted peer networks.
- Building trust and reciprocity with national decision makers by responding to actor identified research priorities and producing some demand driven studies on high priority topics. This enables the team to demonstrate the value of the national actor's time investment in the research activities and reduce the risks of being seen as a purely critical voice – this is useful when the core research purpose relates to challenging business as usual practices with entrenched interest groups.

### 1.3.2 Module 2: Assessing the Performance of sub-national and private Corporate Initiatives

Module 2 addresses the following:

- Long term partnerships with implementers: since the beginning of research in 2010, there was purposeful dedication to building partnerships with Brazilian REDD+ implementers through strong interpersonal interactions and negotiated Memoranda of Cooperation. CIFOR involved implementers in site selection and review of survey instruments, shared data, returned results to implementers and study communities after both phases of data collection.
- Knowledge co-production with strategic partners: The Module 2 activity **a. Survey of subnational REDD+ proponent organizations** has grown tremendously through a new partnership between CIFOR, Earth Innovation Institute, the Governors' Forests and Climate Task Force, and the Climate Community and Biodiversity Alliance. We are in the midst of conducting 1) In-depth Assessment: Progress toward Jurisdictional Sustainability and 2) The Sustainable Landscapes Rating Tool (SLRT) in all 35 GCF Task Force member states, along with a few other states/provinces that are pursuing jurisdictional approaches to sustainability.
  - 1) Earth Innovation Institute (EII), the Center for International Forestry Research (CIFOR), the Sustainable Tropics Alliance (STA), and the GCF Secretariat are collaborating to provide each participating GCF member jurisdiction with an assessment of its potential for and progress towards jurisdictional sustainability via low-emission rural development (LED-R). The tailored, in-depth assessment will strengthen GCF members' quest for new partnerships, including with buyers of jurisdictions' products, investors, donors, and others. It should also position each recipient jurisdiction to more effectively compete for pay-for-performance finance, such as the German REDD+ Early Movers (REM) program.
  - 2) The SLRT has the potential to be very valuable to GCF member states and provinces as they advance towards jurisdictional sustainability. By providing user-friendly evaluations of the

many components involved in jurisdictional sustainability, applying the SLRT allows jurisdictions and other interested stakeholders to assess their progress, improve design and implementation of LED-R strategies, and attract outside interest and capital to support those strategies. Information that is made available to interested stakeholders such as investors or donors allows such stakeholders to gauge the potential risk of investment in a state in through a relatively straightforward scorecard, acting complementarily to other tools such as the GCF impact platform.

### 1.3.3 Module 3: Forest Monitoring, Measurement, Reporting and Verification (MMRV)

Module 3 addresses the following:

- Leveraging existing relationships to support implementation of MRV.
- Identify existing gaps and needs of stakeholders regarding REDD+ MRV, land use and forest monitoring.
- Capacity development at the (sub)national level to support use of guidance, methods and products/data related to REDD+ MRV, land use and forest monitoring.
- Co-production of methods and data with relevant stakeholders (e.g. government, communities) to support (technical) capacity to address country-specific REDD+ MRV, forest and land use (change) issues.
- Produce research products on the assessment of forest sinks and drivers of deforestation & forest degradation. This research will be (partly) done by young professionals (PhD & MSc students) which will provide them with training opportunities.
- Assist in dissemination and uptake of research results and contribute to open and free exchange of forest and land use monitoring data and information.
- Influencing national and international practices through international engagement – cooperative work with other international actors to produce useful guidance and products.

### 1.3.4 Module 4: Integrating REDD+ Measures with Development Goals at Landscape Level

Module 4 addresses the following:

- Use of strategic boundary partners: The Project has committed to influencing the practice of 3 MSFs, however the reach will likely be greater as GCF Task Force is the key boundary partner. The MSFs that are GCF members will be key targets for influence.
- Restitution of findings: all research findings will be returned to the MSFs, either once off or in a more in-depth fashion depending on available funds.
- Dedicated support to a small number of MSFs: There is scope to have more influence in Peru as there are 3 months of Taya's time allocated to follow up meetings with and supporting MSFs to reflect on and improve how they operate.
- Tool development – comparative results will be used to develop a self-assessment tool that MSFs can apply to their own operations.

### 1.3.5 Module 5: Sharing Evidence and Experiences

Module 5 addresses the following:

- Journalist training.
  - Targeted dissemination of knowledge products through audience segmented distribution lists and events.
  - Broad scale online dissemination.
- 
- The GCS REDD+ Phase 3 is developing an integrated, learning focused approach to monitoring, evaluation and impact assessment (MEIA). The project's MEIA activities align with the project theory of change (Figure 1 above) and focus on collecting and synthesizing evidence from all levels of the theory of change (i.e. 1: Knowledge creation and co-learning, 2: Enhanced access to knowledge, 3: Change in aspirations, 4: Change in implementer behaviour, and 5: Changes in state).
  - This approach enables the project to demonstrate how and why it was able to contribute to high-level outcomes and impacts thus contributing to an institutional knowledge base on how to undertake effective policy and practice-oriented research.
  - Over the five years of project implementation, the project will collect on-going monitoring data in relation to level 1, 2 and 3 of the theory of change (i.e. 1: Knowledge creation and co-learning, 2: Enhanced access to knowledge, 3: Change in aspirations). In level 1 (knowledge co-production), this information will include output tracking, event evaluations, outcome stories and influence logs.
  - For level 2 and 3, data collection on targets will be in the beginning (baseline), and in years 3 and 5 (and for end-of-programme outcome 3 also in year 4), and rely on a variety of sources, CIFOR's own analysis and external data (e.g. country reports) as specified in the results framework table.
  - At the project midpoint and end point additional in-depth qualitative data is supposed to be sought from engaged actors and a systematic assessment of CIFOR's contribution to desired level 3 and 4 outcomes (3: Change in aspirations, 4: Change in policy and practice) undertaken. As target countries are engaging with the project at different stages of REDD readiness and sometimes with an extensive history of engagement with CIFOR, it is anticipated that level 4 outcomes will be achieved at different scales across the life of the project. In year three this information will also be presented to the project steering committee at an extended, face to



face meeting in order to systematically take stock of project progress, lessons and develop plans for the final two years of outreach and engagement activities. At this point scoping conversations will also commence in relation to project impact assessments.

- Finally, in year five ex-post and ex ante impact assessment work will be conducted in relation level 5 (5: Changes in state). This impact assessment will examine the collective contribution of all three cycles of CIFOR's NORAD funded research to achieving carbon and non-carbon benefits in target countries as well as provide an assessment of likely future impacts based on various scenarios. This impact assessment work will draw heavily on the scientific data compiled during the multiple rounds of NORAD funding and look at the contribution of CIFOR knowledge to both policy and practice changes and the subsequent impact on deforestation rates, avoided carbon emissions and non-carbon benefits.

#### 1.4 Midterm review scope

The GCS REDD+ midterm review sought the views from engaged actors and a systematic assessment of CIFOR's contribution to desired level 3 and 4 outcomes (3: Change in aspirations, 4: Change in policy and practice) on activities undertaken so far. As target countries are engaging with the project at different stages of REDD readiness and sometimes with an extensive history of engagement with CIFOR, it is anticipated that level 4 outcomes will be achieved at different scales across the life of the project. In year three this information will also be presented to the project steering committee at an extended, face to face meeting in order to systematically take stock of project progress, lessons and develop plans for the final two years of outreach and engagement activities. At this point scoping conversations will also commence in relation to project impact assessments.

The MTR Team undertook a systematic review of module design and activities and assess the evidence of contribution to intended project outcomes (Levels 1,2,3 and 4 in the project theory of change) and identify opportunities to enhance achievement of outcomes. The review did not attempt to assess project contributions to impacts (level 5).

The review is intended to be learning focused and improve project performance during second half of the funded period. It aimed to enhance the research team's understanding about how knowledge generation is contributing to policy and practice change at the country level and as the result of engagement based on integrated and module specific knowledge, nationally and internationally.

The objectives of the mid-term review are given hereafter:

1. assess the alignment between the project design and intended outcomes
2. assess progress to date against the project theory of change
3. identify opportunities for the project to enhance its overall contribution to outcomes (intended and unintended)
4. test the project assumptions about how change will occur as the result of the project's influence and provide recommendations for refinements and modification
5. test the effectiveness of the integrated monitoring system and provide recommendations for improvement

The mid-term review used the project's theory of change as a framework to structure the collection and analysis of information on the contribution to outcomes and the validity of the project assumptions. Recognizing the inherent complexity of the contexts that the project is seeking to influence and the learning focus of this review, the midterm review will seek to understand what contribution, if any, the project has made to intended outcomes rather than seek to quantify the extent to which changes can be attributed to the project interventions.

Midterm review is guided by the following questions:

1. How relevant are the module's focus and planned activities to evolving target country contexts and the international REDD+ agenda?
  - 1.1. What changes have occurred in target countries and internationally that the project should take into consideration?
  - 1.2. What opportunities are there for the project to modify their activities to ensure continuing relevance?
2. Is the project making a contribution to intended outcomes?
  - 2.1. To what extent are the intended outcomes for targeted actor's observable?
  - 2.2. To what extent and in what ways has the project contributed to observed outcomes?
  - 2.3. Has the project contributed to any unintended outcomes?
  - 2.4. What opportunities exist to improve the potential influence of project generated knowledge and to enhance its contribution to outcomes?
3. Are the project's assumptions about how knowledge will influence change through this project valid and comprehensive?
  - 3.1. What evidence exists that knowledge co-production is enhancing understanding, use and influence of project knowledge?
  - 3.2. Are there other implicit change theories apparent in how the project is being implemented that should be integrated into the project theory of change?
4. Is the project monitoring system collecting appropriate information systematically and how can it be improved?

To address these questions, the review made use of existing monitoring and reporting data and qualitative data collected from project staff, knowledge co-producers, targeted international, national and sub-national REDD+ implementers and supporters. Detailed interview guides for each actor group can be found in Annex 3.

The majority of the time and budget for the review will be invested in addressing Question 2. Question 1 will involve an initial desktop review of project plans and the project theory of change. Question 3 and 4 will be addressed through analysis of data collected to address question 2.

### **Review Question 1 (KEQ#1)**

Review question 1 will be addressed in relation to all Module activities, this will be done through a desktop review of all Module implementation plans, partnership agreements and through consultations with Module leads.

The review will assess the extent to which the planned research, outreach and engagement activities are likely to contribute to the outcomes identified for targeted REDD+ knowledge co-producers, implementers and supporters. The purpose of this activity is to cross check alignment with the Module plans and the overarching project theory of change and to identify opportunities to improve during the second half of the funded period.

The review team will also work with each Module to clarify the nature of the knowledge co-production strategies applied by each module and clarify the particular impact pathways related to the different approaches to knowledge co-production (this inform the data collection tools for questions 2 and 3).

### **Review Question 2 (KEQ#2)**

Review question 2 will involve the collection of information from knowledge co-producers, targeted implementers and targeted supporters as well as a review of the reach of GCS REDD+ products and publications. Information will be collected through the use of standardized qualitative data collection tools from all (or a negotiated subset) of individuals and organizations. If sampling becomes necessary due to time and budget constraints the individuals and organizations to be contacted will be selected

in collaboration with module leads. Data collection will be done through a combination of face-to-face and online interviews and other survey techniques as appropriate. More details on the type of information that the qualitative data collection tools will collect in order to address these questions can be found in Table 2.

In order to report against the results framework indicators, the review team will also need to establish a retrospective qualitative baseline and mid-point assessment for outcomes related to all knowledge co-producers, targeted implementers and targeted supporter. This will involve collecting and averaging target group self-assessment and project team assessments of actor-tailored attributes aligned to level 1, 2, 3 and 4 of the theory of change ( 1: Knowledge creation and co-learning, 2: Enhanced access to knowledge, 3: Change in aspirations, 4: Change in implementer behaviour). This assessment will draw on the information collected during the GCS REDD+ project retreat on 25 and 26<sup>th</sup> of October 2017.

### **Review question 3 (KEQ#3)**

Using the knowledge co-production framework developed in the initial desktop review and consultation with module leads, this question will be address through interviews with knowledge co-producers. These interviews will seek information on both intended and unintended outcomes of their engagement with the GCS REDD+ research process. The interviews will also seek alternative explanations for the knowledge co-producers self-identified outcomes. This approach will be repeated with module research team members in close contact with the knowledge co-producers.

While conducting interviews for question 1, sub-questions will be included to focus the change theories in use within the project.

### **Review question 4 (KEQ#4)**

This section will present the findings of the review team relating to the use and usability of the project's monitoring system. This will draw on their experience of attempting to access and analyze existing project information and the trialing of more detailed and nuanced actor centric assessment tools. This question will directly inform the revision of project monitoring and reporting processes for the remainder of the project.

## 1.5 Methods

The midterm review drew on a range of existing reports, self-documented data sources and conducted a multi-stakeholders survey targeting specific actors in the REDD+ arena whose ideas, interests, institutions and framing information the project is trying to influence. The actors are categorized as knowledge co-producers, implementers and supporters (refer to Theory of Change or mid-term review plan for more details on these categories).

The following documents were used.

1. Narrative donor reports 2016, 2017 and 2018;
2. Partnership agreements;
3. Event feedback forms;
4. Influence logs; and
5. Trip reports.

Module leads reviewed the country and global actors identified in the tables below and consolidated this list based on the following:

- How significant are they for achieving the changes we are working towards?
- Do we have or do we plan to develop a significant relationship with them?
- What is our interaction with them and what is a realistic expectation of the outcomes likely to occur as a result of this?

The review relied on research teams to identify informants. These informants were drawn from a subset of relevant actors identified as key boundary partners during the planning process.

**Table 2** – Key Informants per Category and per Country

Country	Category			Total
	Knowledge Co Producers	Supporters	Implementers	
Brazil	6	1	4	11
DRC	5	4	3	12
Ethiopia	3	3	3	9
Guyana	3		2	5
Indonesia	4	3	4	11
Myanmar	1	1		2
Peru	2	6	5	13
Vietnam	3	4	4	11
Total Informants				74

## Section 2: Review Findings

### 2.1 Country summaries

Unit 2.1 provides an overview of the context prevailing in each targeted country, key findings and the state of REDD+ in the last two years. In addition, the GCS REDD+ Project is appraised in terms of pathways, unintended outcomes, positive CIFOR contributions, and opportunities to improve influence.

The context of each targeted country is given in **Annex 2**. In addition, this annex also includes illustrations of some promising practices of different research to influence strategies being implemented as well as opportunities to improve influence – strategies and alternatives we should consider

#### 2.1.1 Peru

##### 2017 Key findings

- Decision-making over forests and land-use management in Peru is carried out in the context of a complex governance arena that is inherently multi-actor and multi-level, including the national government, regional governments, provincial municipalities, NGOs, indigenous organizations, and producer cooperatives, among many others, due in part to decentralization processes and to the Law of Prior Consultation.
- The combination of the necessary coordination due to the nature of its decentralization process and a wider agreement on the participation of indigenous peoples in (still limited) decision-making spaces has slowly developed a culture for participation in government-led as well as other initiatives led by local and international NGOs. Where available, subnational spaces for participation are almost exclusively organized and run by national NGOs.
- The Peruvian government, in the context of REDD+ and global commitments such as the Paris agreement, is making some important efforts to improve cross-sectoral and cross-level communication, but this is a very challenging task.

##### 2017 State of REDD+ in Peru

- During 2017, the government administration that took office in 2016 was still struggling to get up to speed on REDD+, as well as the engagement processes that had characterized the previous administration. This had improved by the end of the year. Currently, Peru has met qualifications of the FCPF for an extra \$5 million (in addition to the FCPF money) for readiness. However, progress has been slow in many required arenas. The development of REDD+ safeguards is delayed, and part of it is being undertaken by a Brazilian consultancy group (it was due in October 2017 but has not yet finished). The Participation plan, under a consultancy to an NGO, is also delayed. A number of activities have been trying to move forward on the Norway agreement, but 2017 saw little significant progress. However, important progress was made on the expansion of the Conditional Cash Transfer (TDC) program of the National Forest Conservation Program (PNCB) into dozens of new indigenous communities, meeting the DCI target. The Framework Law on Climate Change was in the works in 2017 and was finally passed on 2 April 2018. The central government has continued with a high-level inter-ministerial

(intersectoral) coordination group for the NDCs, but Peru's NDC document is considered quite weak (e.g. according to <https://climateactiontracker.org/countries/peru/>).

### 2018 Key findings

- The combination of delays in the presentation of key material needed to set up Peru's REDD+ strategy (with knock-on effects on other related initiatives) has led the government to request collaboration from those CSOs and NGOs that the government deems to have 'technical' knowledge to support the process of development of Peru's REDD+ strategy.
- Work carried out by the government in 2017 to improve cross-sectoral and cross-level communication reached a turning point in 2018 with the proposal to restructure climate change governance in Peru. There is much optimism for a faster rate of decision-making and more effective participation of CSO/NGOs in the decision-making process, but it remains to be seen how this new structure will work in practice.
- More generally, the combination of expectations for participation due to the Law of Prior Consultation, donor expectation, and the opening of participatory spaces around REDD+ in 2017 have led to more effective participation from CSO/NGOs in 2018. It remains to be seen how much of the input given in these spaces will make it to policy.

### 2018 State of REDD+ in Peru

- During 2018, the government administration that took office in 2016 was still struggling to get up to speed on REDD+. However, the receipt of an extra \$5 million from the FCPF for readiness last year, came with a clear deadline for the completion of the national safeguards interpretation process that has not been met. The failure by a consultancy company to submit a viable safeguards program, added to the resignation of the civil servant in charge of the safeguards process, and the lack of personnel in that section of the Ministry of the Environment, has led to an opening of participatory spaces for NGOs and CSOs that the government recognizes as 'technical' experts on the matter. As such, a workgroup for REDD+ safeguards, for which CIFOR has been invited to participate, was put together in 2018 for work to be carried out throughout the first semester of 2019. Although there have been previous similar workgroups, this new iteration seeks more than advise on the interpretation of safeguards, and instead requests direct input on the drafting and carrying out of said interpretation by expert organizations. This openness to input from different sectors has also been solidified in a series of 'Dialoguemos' events surrounding the regulation of Peru's Framework Law for Climate Change. Although most of these workshops have been organized in Lima, participants show a general sense of satisfaction by the openness to discuss policy and due to the high-level decision-makers that have taken part in these events. Towards the end of 2018, the government embarked in a re-organization of the governance structure for climate change in Peru, which has also been opened for discussion with the CSOs and NGOs that sit in the Grupo REDD+ (of which CIFOR is an active member). As such, there is a clear awareness of having to amend the way in which REDD+ and climate change issues more widely have been dealt with up to now, seeking new solutions to a few years of small gains.
- 2018 also evidenced a clear expansion in the Conditional Cash Transfer (TDC) program of the National Forest Conservation Program (PNCB) into dozens of new indigenous communities, with a clear promise by the government to fund the program for a yet indeterminate number of years after the culmination of the Joint Declaration of Intent Peru signed with Norway and Germany. Throughout 2018, the PNCB has hired a large team to manage the TDC program. Finally, the high-level inter-ministerial coordination group for the NDCs is still ongoing, but its lack of a clear outcome led to the previously mentioned proposal to re-organize climate change

governance in Peru in order to speed up the rate of decision-making. Finally, we also welcome the incorporation of ONAMIAP (Peru's only gender-based indigenous organization) as part of the official indigenous stakeholders that the Ministry of the Environment calls to its meetings.

### Pathways effectiveness

In Peru partnerships have played an important role in capacity building and there is the experience of MINAM receiving capacity building from University of Maryland, US Forest Service, Silvacarbon and through projects such as KFW and Moore Foundation. CIFOR has also supported this effort through work undertaken with Silvacarbon on community forest monitoring. In addition, CIFOR has done some work directly to support the technical aspects of MRV within the department. This has had a significant role in improving capacities for monitoring and use of spatial data which feeds other government agencies such as DEVIDA and department for territorial organization (ordenamiento territorial).

The national forest inventory was started through a project with FAO. And REDD+ projects have fed other work such as early warning systems for monitoring deforestation which is a significant contribution and it was felt that REDD+ finance pushed government to develop a robust monitoring system.

CIFOR has been well placed to take advantage of momentum in the regions with regard to regional development plans and water management and through engagement with these actors has had opportunities to share knowledge and expertise which has helped in guiding activities. For example, there has been some engagement with private sector water suppliers such as SEDAPAL.

An interviewee described that "the private sector is starting to be really active in protecting water supply and watersheds in the main watersheds of Peru. So, they are kind of new actors from the private sector. It's interesting that for instance SEDAPAL, the water company in Lima, decided to train their staff or the managers on ecosystem services and climate change. They called [CIFOR] and a course to the managers of SEDAPAL was delivered. It was amazing that there were people from human resources, from finance but also from the more technical part [...] It was the first time they were attending a presentation on ecosystem services and climate change" (interview R05).

Despite CIFOR having made some contributions to the National Strategy for Forests and Climate Change and especially in relation to the information on adaptation, the comments by CIFOR on peatlands were not taken into consideration, meaning that peatlands were not addressed in the final document. This has meant that there is still a huge knowledge gap in Peru with regard to this valuable resource and in terms of the implications and necessity to protect these areas. In order to address this gap a lot of research has been undertaken on peatlands under the GCS REDD+ project.

CIFOR has also sought opportunities to bring the government into the conversations. One strategy has been to include Peru in the International Tropical Peatland Centre. This center is hosted by CIFOR at its headquarters in Bogor and is an initiative set up by the Ministry of Forestry of Indonesia. They have invited Peru, DRC and Republic of Congo to join. There are also other efforts to raise the profile of peatlands in Peru through direct engagement with the ministries and by inviting government officials to participate in events such as the GLF, and IUFRO where peatlands have been included in the agenda. "[T]here are going to be so many meetings on peatlands including the Government of Peru in an international context and [...] some dialogue is also going to help very much in the progress towards inclusion of peatlands in the national strategy for climate change mitigation" (interview R03).

### Project contribution to any unintended outcomes

One documented unintended outcome was that through hiring a student for master's work who had previously worked in MINAM for 5 years meant that a closer relationship was possible with some actors



in MINAM (interview R03). Some students who had worked with CIFOR have gone on to take up significant positions within local government or companies and this would bring benefits in terms of opportunities for decision making on relevant topics (interview R05). Considering the success of CIFOR's collaborative work with students in terms of capacity development and opportunities for networking they may consider developing more opportunities for local studentships or fellowships.

It is fair to say that the GCS REDD+ Program has contributed to foster cross-sectoral and cross level communication, resulting in more effective participation from CSOs.

## 2.1.2 Indonesia

### 2017 Key findings

- Earlier in 2017, the Indonesian Ministry of Environment and Forestry announced the decreasing rate of Indonesia's deforestation from the period of 2016-2017 to 496,370 hectares. During 2015-2016, deforestation rate was 630,000 hectares. Of the 497,000 hectares, 64,3% of deforestation occurred inside forested areas.
- World Resources Institute analyzed tree cover loss within Indonesia primary forest and the legal boundaries of oil palm, wood fibre, mining and selective logging concessions from 2000 to 2015. Ca. 55% of forest loss occurred within the concession area (more than 11 million acres). In addition, oil palm and pulp paper industry were the main contributors to forest loss in Indonesia. Nearly 4 million acres and 3.7 million acres of primary forest have turned into oil palm and wood fibre plantation. Interesting trends are observed in 2012-2013 when forest loss in oil palm plantations declines significantly and persists at the same level until 2015. Conversely, forest loss in selective logging concessions (HPH) continues to increase in 2000-2015 and for the first time in 2015, forest loss in selective logging concessions outstripped forest loss in palm oil concessions, and these losses occur mostly in Kalimantan and Papua.
- However, a basic definition of deforestation is still a matter of debate at the international level. Such definition affects how deforestation rate is being calculated, thereby imposing doubts toward its accountability. The definition of deforestation in Indonesia has become an old debate. This deforestation definition leads to differences in deforestation calculations between Indonesia and globally. Such differences, as in the view of missing tree stands for industrial timber plantations (timber plantations). International deforestation accounts for the loss of natural forest for HTI, whereas KLHK does not count it.
- Recent development: effort to include oil palm into forestry definition. Institute Agriculture of Bogor actively involves in this process. According to professor of Forestry Policy, Faculty of Forestry, IPB, Prof. Dodik Nurrochmat, all types of palms, except for oil palm belong into the category of forest plants. This meets FAO forest criteria: FAO (2006) defines forest as 'land spanning more than 0.5 hectares with trees higher than 5 meters and a canopy cover of more than 10 percent, or trees able to reach these thresholds in situ'.
- President Jokowi declared the oil palm moratorium in the wake of the 2015 fire and haze crisis. Mongabay (2018) wrote that the moratorium draft also mandates a review of existing licenses, since many are known to have been issued in violation of procedures, and a review of those now in the process of issuance. In conjunction, a CIFOR study showed that zero deforestation commitments linked to pledges of major palm oil corporate groups, as well as a moratorium on future expansion of large-scale oil palm plantations, would reduce the cumulated deforestation over 2010–2030 between 14% and 47%. The actual percentage would depend on the growth of future world palm oil demand. Indonesia could still increase



its national palm oil production by 86% in the zero-deforestation scenario and by 60% in the moratorium scenario in 2020 (compared to 2010 in a context of medium growth of international demand). Emissions from land use and land-use changes are projected to rise even further. However, the zero- deforestation commitment or the moratorium on expansion of large-scale oil palm plantations beyond the current level could help reduce total GHG emissions between 13% and 16% by 2030.

#### 2017 State of REDD+ In Indonesia.

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- Two years ago, Indonesia's REDD+ Agency and the National Council on Climate Change merged into the Ministry of Environment and Forestry (MoEF) in 2015. Developments have been slow, raising questions about the effectiveness of the merger. Novia Widianingtyas from the MoEF Climate Change Directorate reported that as part of Norway's USD 1 billion Letter of Intent (LOI), the Indonesian Government is now committed to issuing regulations mandating the REDD+ funding instrument as a vital element for the initiative. As of mid-2017, a registry system linking REDD+ financing, REDD+ implementation and Safeguard Information System has been completed, but it needs to be in full operation for Indonesia to be eligible for results-based payments. Meanwhile, the funding instrument will be in the form of a Public Service Unit, a unique government entity known by its Indonesian acronym, BLU. A BLU is a unique hybrid entity: it is a government body that can manage its own finances including expenses and investment outside the state budget and that can receive revenue from own activities. Early 2018, MOEF enacted four ministerial regulations on REDD+ implementation: regulation on REDD+, national registry system, MRV and GHG emissions.

#### 2018 Key findings

- Earlier in 2018, the Indonesian Ministry of Environment and Forestry announced the decreasing rate of Indonesia's deforestation from the period of 2016-2017 to 496,370 hectares. During 2015-2016, deforestation rate was 630,000 hectares. Of the 497,000 hectares, 64,3% of deforestation occurred inside forested areas.
- CIFOR partners with WRI Indonesia and Yayasan Madani Berkelanjutan to jointly develop knowledge that aims to update the understanding of the context of REDD+ in Indonesia (drivers, actors and agencies). The country profile update is currently being finalized and expected to be published by mid-2019.
- CIFOR's peatland experts have supported the Indonesian Peatland Restoration Agency (BRG) in setting reference levels for peatland restoration in Indonesia. The RL was determined by using historical data for the 2006-2015 period for changes in vegetation cover (25 MtCO<sub>2e</sub>) in forests and peatlands, decomposition in deforested and degraded peatlands (228-278 MtCO<sub>2e</sub>), canal construction (21-24 MtCO<sub>2e</sub>), and peatland fires (110 MtCO<sub>2e</sub>). With an additional 10.8 MtCO<sub>2e</sub> of GHG emissions a year from deforestation and degradation, peat decomposition, and emissions from drainage canals, projected average emissions levels from Indonesia's peatlands in 2030 are 569 MtCO<sub>2e</sub>; 510 MtCO<sub>2e</sub> without El Niño, and 588 MtCO<sub>2e</sub> with El Niño.
- Indonesia has the world's richest in coastal blue carbon ecosystems - housing around 3 million hectares of mangroves and 0.3 million hectares of seagrass meadows. The carbon stored here – 3.14 billion tons in mangroves and 0.39 billion tons in seagrass – is of global climate significance, and under serious threat. However, protecting and sustainably managing mangroves is also an important potential solution for climate change mitigation. The Blue

Carbon summit (July 2018, Jakarta) generated key action points for creating blue carbon opportunities in Indonesia.

#### 2018 - State of REDD+ In Indonesia.

- Early 2018, the Ministry of Environment and Forestry (MoEF) enacted four ministerial regulations on REDD+ implementation: regulation on REDD+, national registry system, MRV and GHG emissions. By the end of 2018, Indonesia and Norway agreed to enter the third phase of REDD+ implementation, result-based payment. This was done after resolving issues related to the MRV Protocol and the Environmental Fund Management Agency, which was settled by both parties before February 2019.

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#### Pathways effectiveness

Pathways work slowly but they are still working. Institutional changes on the one hand and REDD+ not being on the top of the agenda for the Indonesian Government on the other hand resulted in progress slower than expected. However, key findings reported here above demonstrate that pathways from research to action are effective. There is room for improvement in terms of time-efficiency, but one has to bear in mind external factors such as elections and related institutional change. REDD+ is a moving target and information labelled as “research on REDD+” - albeit very relevant to low carbon strategies.

#### Project contribution to any unintended outcomes

CIFOR has supported the Indonesian Peatland Restoration Agency (BRG) in setting itself up, and in setting reference levels for peatland restoration in Indonesia (see above).

### 2.1.3 Ethiopia

#### 2017 Key findings

- The Climate Resilient Green Economy (CRGE) strategy has been a key national document that gives the political space needed to include the forestry sector and REDD+ in Ethiopia's development discourse.
- Ethiopia has achieved significant milestones in establishing an MRV system to support REDD+, and setting the stage for results-based payments in forest carbon.
- Although, the political opening that followed the overthrow of the military regime in 1991 appeared to have given a space for civil society organization, the introduction of a new proclamation in 2009 highly restricted the activities and funding of such groupings in the country. According to USAID (2010) assessment, for the government international NGOs are not looked at as development partners, but gap-fillers.
- Nevertheless, climate change and environmental degradation made different entities, (government, and non-governmental organizations, civil associations, community based (social) work together to address shared problems. Thus, the first initiative that appeared to be a multi-stakeholder scheme started with climate change and the REDD+ issues in the country.
- While the national REDD+ is only a government, and not a multi-stakeholder, platform, the REDD+ Technical Working Group is established at Federal and Regional level and is composed of more diverse stakeholders than the SC which is composed of inter-governmental agencies, the TWG is a multi-stakeholder group established by involving high level technical experts from relevant ministries, research institutions, academia, NGOs and community-based organizations.

#### 2017 State of REDD in Ethiopia

- In 2017, Ethiopia received USD 18 million in start-up funding from Bio Carbon – CF programme under World Bank, to prepare and start a landscape-scale REDD+ approach in Oromia Regional State. The Oromia Forest Landscape Program (OFLP) is globally the first to receive this kind of funding. The program has prepared around USD 50 million funding for results-based payments, which can be accessed by OFLP upon verification of emission reductions. Ethiopia has been developing a national MRV system, with offices at the federal and regional level. The MRV system received technical assistance and funds through UN-REDD (FAO) and the FCPF. Ethiopia recently (May 2018) held a workshop to share findings from their National Forest Inventory (NFI). Results are not yet ready to be publicly shared. This round of NFI is based on the FAO forestry definition, whereas Ethiopia's Forest Reference Emission Level (FREL) submitted to the UNFCCC uses a different definition that includes dense woodlands and bamboo forests.
- REDD+ plays a pivotal role in financing Ethiopia's Climate Resilient Green Economy (CRGE) strategy. The CRGE was published in 2011 to guide Ethiopia into a green economic path to reach middle income status by 2025. Forestry is one of the four pillars of CRGE; three components of REDD+ (reducing degradation, reducing deforestation, and increasing carbon sequestration) are abatement levers within CRGE. The strategy targets 7 million hectares of reforestation/afforestation/area closures and improved forest management by 2030.

## 2018 Key findings

- In 2017, CIFOR held an MRV workshop to get insights about the institutional and governance aspects of MRV implementation in Ethiopia. Results were used in a recently-published occasional paper (Bekele *et al.* 2019).
- The national REDD+ institution only includes government entities at national and subnational levels, and thus is not a multi-stakeholder platform. It is, however, informed and works closely with the REDD+ Technical working group, which is a multi-stakeholder platform.

## 2018 State of REDD in Ethiopia

- In REDD+ and the forestry sector, 2018 marked several large changes. The issuance of the 2018 Forest Proclamation, which amends the 2007 proclamation; and – shortly after - the change from Ministry of Environment, Forest and Climate Change (MEFCC) into a Commission (EFCCC). The new forest proclamation introduces forest management rights to community and associations that were not recognized before. Regulations to clarify the procedures are still being developed. The move from Ministry to Commission has introduced uncertainties in how the forestry sector and climate change issues are governed across levels and across regions.

## Pathways effectiveness

There is very limited knowledge of the actual GCS REDD+ research work that CIFOR is/has been doing – the exception being people who were engaged as informants, but even then, the purpose and outputs of the data collected were not well understood.

There is great knowledge of and respect for the broader body of CIFOR research and this is being drawn on by technical experts in developing and implementing Ethiopia's Climate Resilient Green Growth Strategy more generally. Examples were research on exclusion, benefit sharing, and gender in forestry. CIFOR's role as a convener of actors and facilitator of critical debate on issues was acknowledge and welcomed.

Knowledge co-producers recognized benefits to them in terms of new methods, rigorous research practices, increased knowledge and improved networks.

Both consultants and institutions indicated these would be of lasting value beyond their work with CIFOR, however, there is no direct line between this a REDD+ implementation

There was limited evidence of a link between CIFOR's work and the will or capacity to implement 3E REDD – this was either already high or more influenced by other factors and actors

## Project contribution to any unintended outcomes

There is no evidence of unintended outcomes.

## 2.1.4 Brazil

### 2017 Key Findings

- Brazil demonstrated early success in tackling large-scale drivers through a policy mix that was built on command-and control interventions (Börner *et al.* 2015, Cisneros *et al.* 2015) and included global commodity chain actors (Gibbs *et al.* 2015).
- One factor that featured prominently in progress towards transformational change in the REDD+ policy domain was the presence of multi-actor coalitions calling for such change, as in Brazil (Brockhaus *et al.* 2017).
- Some of the most important jurisdictional approaches to low emissions development have been at the subnational level, particularly in the states of Acre and Mato Grosso, and in municipalities such as Paragominas and São Félix do Xingu.
- Rigorous impact evaluation of the Sustainable Settlements REDD+ Project in the Transamazon region highlights positive forest conversation outcomes (Simonet *et al.* in press).

### 2017 State of REDD+ in Brazil

- Brazil succeeded in reducing Amazonian deforestation by around 80% from 2004 to 2012, the result of a series of public policies (Soares-Filho *et al.* 2010) and private and sectoral measures that were initiated prior to the MoU with Norway in 2008. Nevertheless, some have argued that the agreement with Norway helped consolidate the political will needed for continued progress (Seymour and Busch 2016). While the Amazonian deforestation rate remains far lower than when the bilateral agreement started, it has increased somewhat since 2012 (Moutinho *et al.* 2016). A 27 percent uptick in deforestation in 2015-2016 compared to the previous year, combined with a lower reference level consistent with rules established for the Amazon Fund, led to a reduction in performance-based payments from Norway the following year (Norwegian Ministry of Climate and Environment, 2017).
- Brazil has a national REDD+ strategy, and it was the first country to submit its FREL to the UNFCCC, and it is in the process of finalizing its Safeguards Information System. Yet, some of the most important advances have been at the subnational level, especially in the states of Acre and Mato Grosso. Acre became the world's first jurisdictional REDD+ program through its State System of Incentives for Environmental Services, which was passed into law in 2010 (Alencar *et al.* 2012; Duchelle *et al.* 2014). Acre's REDD+ program, along with the statewide REDD+ program of Mato Grosso, are supported by the REDD+ Early Movers Program of the German government. Several other states are in the process of consolidating jurisdictional REDD+ / low emissions development programs with the support of the Governors' Climate and Forests Task Force.

### 2018 Key Findings

- In spite of earlier success (Börner *et al.* 2015, Cisneros *et al.* 2015) for which Brazil was much praised, deforestation began to increase since 2013.
- Important jurisdictional approaches to low emissions development were seen in the states of Acre and more recently in Mato Grosso. Despite early-optimism, municipal-level initiatives such as those in Paragominas and São Félix do Xingu have resulted in limited outcomes (e.g. inclusion of indigenous groups, equity for example with smallholders, leakage of deforestation through indirect suppliers) and efforts have now moved to state-level actions.

- Rigorous impact evaluation of the Sustainable Settlements REDD+ Project in the Transamazon region highlights positive forest conservation outcomes (Simonet *et al.* 2018), but limitations of the REDD+ project approach have become evident (Angelsen *et al.* 2018).

### 2018 State of REDD+ in Brazil

- The Amazon Fund, the largest REDD+ results-based payment scheme, has seen payments for reduced deforestation reduced already, in 2017, and recent elections in Brazil have changed the political scenario with the rise to power of anti-environmental and climate-denial discourses. The first measures of Brazil's new government included its withdrawal from candidacy to host UNFCCC COP 25 in 2019.
- International funding for low emission development in Brazil seems to be changing orientation. Considering the strong federal discourse against the Amazon Fund and the interference of external powers in the Amazon, the fund faces an insecure future. Moreover, recent changes at the Ministry of Environment have stalled the negotiation on the 96 million USD from the Green Climate Fund. International donors are exploring possibilities to fund states directly.

### Pathways effectiveness

The strength of CIFOR's work in Brazil has depended on long term relationships and partnerships with significant actors working on REDD+ and forest management in the country. Through successful collaboration with these actors, the knowledge which CIFOR is generating is being drawn on for engagement with diverse stakeholders including at a policy level which confirms the pathway in the theory of change which develops the pathway from supporter to implementer. In addition, there is a direct influence as many of these organizations are also implementing projects and activities. There is significant evidence to demonstrate that CIFOR is working with key actors in the climate change scene in Brazil. These include working with TNC, IPAM, and ICV.

TNC is a global NGO who has done work focusing on conservation of ecosystems, reducing pressure on natural resources, combating deforestation and promoting sustainable agriculture. They have worked on environmental adequacy in accordance with the Forest Code and forest restoration. They also address the issue of conservation and low emissions through projects and public policies. They have had a continuous relationship with CIFOR since 2012 working at the municipal level to strengthen environmental management including other themes related to productive chains and sustainable agriculture for rural producers. Since 2015 they have been working more specifically using the concept of low carbon development rather than REDD. They draw heavily on scientific information and consider themselves to be a science-based organization working to promote, develop and monitor using science, as such they draw on CIFOR's work considering this to be *"the largest literature source in Brazil and in the world on REDD"* (interview BI01).

IPAM has worked for 23 years in the Amazon and has been involved since Rio 1992 in the climate change debate. They also work on *"public policies, qualifying the debates at federal, state and local levels in order to support and influence in the adequate direction for public policies"* (interview BI02). Their project work is grounded in science and they do their own research and produce their own publications.

The Instituto Centro de Vida (ICV) works mainly on forest conservation and combating deforestation particularly in the state of Mato Grosso, with a view to supporting more sustainable and better management practices. Since 2008 they have been working together with state government to develop the REDD+ law in Mato Grosso and the strategy called *"Produce, Conserve and Include"* which is now a State strategy. As a result of this the state managed to raise about 45 million Euros from KFW and

the UK in order to implement with ICV a jurisdictional REDD+ system to address deforestation and forest degradation. They have also identified governance elements which have enabled this initiative including a platform for information transparency (interview BI03).

While CIFOR's engagement with this actor has been in terms of conducting research on them, there are no shared work agendas and this organization feels that for CIFOR to have a deeper impact in Brazil they would need to invest in human resources in order to engage more fully in debates and activities on the ground. *"CIFOR has done a lot of research on our activities and such, but I do not see CIFOR as an influential actor for the time being. So, to be able to contribute more, CIFOR needs maybe to invest more in human resources, to really have a voice at the federal level. At the federal level, CIFOR could play a role in showing that few resources have so far been transmitted to REDD frameworks"* (interview BI03).

Biofilica is a company which is 10 years old and has been involved in climate change issues and conservation mechanisms through the development of projects with the focus on REDD+. They have also more recently focused on legal reserve compensation schemes according to the Forest Code in Brazil which came out of the REDD idea. They currently have 6 projects and promote the idea that forest conservation is attractive and profitable for those who own forests in the Amazon and other regions of Brazil. As one informant stated they engage with *"actors from different niches. There are actors who influence positively in the context of the exercise of this mentality of bringing issues into discussion, and CIFOR itself is an example of this, which is an organization that we see that brings this importance of REDD. In Brazil, IDESAM has always been involved in the work we do, which helps to "chew" this concept and to transmit this mechanism to society. And often such discussions remain within the scope of the United Nations, governments, but it has to leave and reach the society. So, these organizations that do this work are very important"* (interview BI04).

On the other hand, actors such as IPAM have reinforced the view that successful partnerships are essential for research and bring opportunities for mutual benefits. *"Therefore, having a partnership in terms of study is very good, because the CIFOR team (in the fieldwork) has the experience and resources to do all the necessary preparation for well-designed research. This adds a lot to the work that we develop, because they are pilot projects, where we really want to test models and ways that work more efficiently. We ourselves want to know if it works and how it works in order to replicate in other projects. This is very beneficial and CIFOR is a recognized institution, which develops a very good and serious work since many years, adding this way, a lot to the discussion [...] as CIFOR has a global focus, having this interaction with those who are working in the field, developing activities, seeing the reality, which has the knowledge of the local reality, is very important. Each situation has a different context, and the knowledge about it is very important for REDD, which ends up changing from region to region, therefore, when focusing on behavioral change (talking about practices), the context, the background of each situation is very important. So, without a partnership, it is very difficult for CIFOR to carry out this type of research and to achieve the desired knowledge, this means that the partnerships enrich the work of CIFOR as well"* (interview BKC03).

Another finding that came out of the interviews is that there is strong dialogue between organizations working in the field of climate change and undertaking projects at a state level. There is a Sustainable Tropical Alliance which includes IPAM, ICV, IDESAM and others. This platform allows for sharing and development of discussions and ideas and has been instrumental in pushing forward the REDD agenda at a state level in both Acre and Mato Grosso. A key institution involved in the low emissions development discourse at a state level is Earth Innovation Institute (EII) who is a key partner for CIFOR. With CIFOR they have worked on the development of the jurisdictional profiles. In addition, EII has supported the subnational governments in the design of their strategies taking into consideration conservation and production approaches. They have promoted multi-sectorial dialogues to further opportunities for discussion between these sectors and have developed monitoring platforms to



ensure transparency and the durability of the strategies (interview BCK04). They work closely with the GCF Taskforce in Brazil, Peru, Indonesia and Colombia and aim to involve the private sector in discussions as well. As they are a key actor, this reinforces the pathway through which CIFOR knowledge is able to influence discussions and actions on the ground. As a result of the success of the strategies in Acre and Mato Grosso, other states such as Tocantins and Maranhão are also considering their own strategies. The government of Tocantins have approached EII for support (BCK04).

CIFOR was praised for always trying to make research “better” through improving tools, making available knowledge and encouraging opportunities for dialogue. In this way, it is seen as an organization which is accessible and open for dialogue. Organizations feel that they have much to gain in terms of research skills through collaboration with CIFOR. CIFOR is also known for its neutral position and it is felt that it could play a key role in raising awareness regarding climate constraints as well as through more efforts to engage society, as particularly in Brazil it is felt that society can play a significant role in pushing the government to action.

#### Project contribution to any unintended outcomes

No unintended outcome identified from key informants.

#### 2.1.5 Guyana

##### 2017 Key findings

- The Year 6 Interim Measures Report covering period January 2015 to 31 December 2016 has recently been released for public comments and feedback. The report has been reviewed and the comments have been summarized, presented and discussed during a visit to the Guyana Forestry Commission on 22-24. Jan. 2018.
- REDD+ results are reported in high level of detail, facilitating assessments of action, analysis and achievements. This is of growing importance given the evolving framework for enhancing transparency under the UNFCCC. Guyana is in this sense ahead of many other developing countries and could aim to share such experiences.

##### 2017 State of REDD in Guyana

- The REDD+ process remains important in the country. This is important given the changing boundary conditions (oil found in Guyana) in terms of Norway-Guyana agreement, the lack of performance-based payments and the changes in the Government of Guyana. The progress report demonstrates the stability and evolution of GFC’s monitoring and reporting capacities.

##### 2018 Key findings

- Guyana’s MRV efforts are progressing well in both operational reporting but also engaging in targeted R&D to fill knowledge and capacity gaps. Interesting research foci are related to the introduction of Sentinel-2 data to replace Landsat and Rapideye, and get a better handle on degradation monitoring. The work with CIFOR and Wageningen University and Research on using Terrestrial Laser Scanning for improving allometric models on Tier 2 level.
- GFC has been working on the next annual MRV report covering period 2017/2018. The report is in final preparation.



## 2018 State of REDD in Guyana

- The REDD+ process remains important in the country, but Guyana does not yet have a safeguards information system, one of the four key elements of REDD+ under the Warsaw Framework. That said, there has been progress in developing many of the systems needed for a SIS, particularly regarding the environmental safeguards that are covered by the MRVS.

### Pathways effectiveness

Currently the work that CIFOR is doing in Guyana supports the Theory of Change. There have been significant efforts to address knowledge needs through the provision of information important for decision making. Knowledge co-generation can be seen to be one of the mechanisms which is proving to be successful.

Direct engagement with the GFC, which has been facilitated through the signing of an MoU, means that CIFOR is well placed to address the needs of the GFC and also respond to requests. Providing opportunities for more demand driven engagement and targeted capacity building. A direct relationship which is maintained with actors within the department and frequent visits to support the work being undertaken by the department has also contributed to the success of the agreement.

*“CIFOR has a lot to offer and having that direct relationship with CIFOR takes you from the abstract to the direct, and that direct relationship really can be very beneficial, given the large body of policy and scientific work that CIFOR has done. I could imagine what our reality would have been if we didn’t have that direct relationship. It would not have been as effective. But this direct relationship really has boosted the effectiveness of how much we can benefit from CIFOR, and hopefully vice versa as well”* (interview transcript GI01).

CIFOR has also been working closely with Iwokrama, who are involved in projects with community stakeholders and indigenous peoples and together they have been involved in knowledge co-generation activities as well as working on proposals, through training and providing networking opportunities.

*“It has been very good. It has been very informative, in the sense that we have been able to access information that perhaps we may not necessarily have come across as rapidly as we have been able to benefit from through this project with CIFOR. We have been able to participate in international conversations, we’ve been able to access training and so on. It also has helped us to continue to improve the role and the – not the influence, I want to find a better word, in terms of being able to assist and be able to form a kind of an independent opinion and to be able to deliver, as well, independent information to assist the process in the country”* (Transcript GKC01).

The theory of change is also validated in Guyana through the fact that the knowledge provided by CIFOR is being used to guide work with other actors such as indigenous communities and is used to guide implementation practices on the ground. On informant mentioned *“I think we have directly imparted knowledge that we gained through working with CIFOR, with the indigenous organizations, through the CMRV process, where we show them how we go about determining how much biomass is in a particular tree and the methodologies that we would use to determine biomass establishment and so on. ... Also, the forest-dependent stakeholders, as well – like, for instance, various concessionaries and so on, where we have workshops, they have various workshops with community development organizations, the various forest-dependent stakeholders. [With] forest dependent stakeholders, we*

*would usually do outreaches and so on, and some of the aspects that we gained from – some of the knowledge gained from CIFOR, we do impart on them” (transcript GKC03)*

#### Project contribution to any unintended outcomes

No evidence found supporting unintended outcomes.

#### 2.1.6 Vietnam

##### 2017 Key findings

- Vietnam is globally among the REDD+ pioneering countries, yet faces significant challenges in implementing performance-based payment.
- Outstanding progress has been recorded on how REDD+ has gradually led to improved forest governance, but REDD+ policies and measures are yet to be seen as transformational and effectively tackling drivers of deforestation and degradation.
- Highlights are the national REDD+ strategy and PES; they offer useful lessons for other countries but still require more inclusive decision-making, refinement of safeguards system, and enhancement of law enforcement.
- Before 2018, REDD+ aimed to achieve cross- sectoral collaboration with an independent Vietnam REDD+ Office that reported to Cross-Ministerial Steering Committee. However, in April 2018, the REDD+ office was merged into the existing forest management steering committee and goes back to business as usual by which REDD+ is now fully run by Forestry Sector.

##### 2017 State of REDD in Vietnam

- The national REDD+ strategy was revised in 2017. The review of the previous strategy has cited many CIFOR publication on REDD+ in Vietnam. A CIFOR expert was also invited to provide comments and feedbacks for development of the revised strategy.

##### 2018 Key findings

- Vietnam REDD+ Fund was established in 2015 but it was inactive till 2018. Now the government agency who manages REDD+ postponed the Fund operation as they could not identify funding sources to equip and maintain the fund.
- In 2018, the government has actively refined its safeguards information system but there is limited involvement of indigenous and communities during consultation processes.

##### 2018 State of REDD in Vietnam

- Nineteen National REDD+ Action Plans were approved by Provincial People’s Committees. Provincial REDD+ units were established but only in provinces where donors such as JICA and World Bank FCPF are funding REDD+ activities.

### Pathways effectiveness

In Vietnam, the project has worked very intensively with policy makers at the government level and provide learning events at both national and provincial levels. The government of Vietnam awarded a prize to CIFOR's national staff in 2018. Knowledge co-producers recognized benefits to them in terms of new methods, rigorous research practices, increased knowledge, research capacity, exchange ideas and improved networks. However, there is a question to the degree of "co-operation/-production" between CIFOR and policy makers or government research institutes. It is critical for supporters for policy makers to have good understanding about the research and findings to be able to advise real policy makers along the way.

The theory of change that the project used could be not fully adequate in Vietnam context, as there are many factors affecting: mandate's organization; uncertainty/risk; opportunity cost; institutional systems, political will and economic priorities.

### Project contribution to any unintended outcomes

It seems that some stakeholders no longer fully believe GCS REDD+ Program genuinely engage them in knowledge co-production. This loss of trust is definitely an unintended outcome.

#### 2.1.7 Myanmar

##### Context overview

Myanmar has had a democratic system in place since 2010 which replaced the previous military government. There is still a lot of internal conflict and instability which may limit the possibilities to accomplish the ambitious targets set out in the NDCs to assign 30% of the country for conservation either as forestry reserve (30%) or state protected area (10%). Within the NDCs there are number of activities which relate to REDD+ and the forestry sector is the main sector related to mitigation activities. In addition, the Ministry of Energy and other local government departments are engaged in climate change adaptation and mitigation activities. The REDD+ agenda is currently led by the Ministry of Natural Resources and Environmental Conservation and the Department of Forestry.

Reliable information is limited and one good source for information on REDD is the portal for UN-REDD Myanmar. There are also a number of other NGOs or organizations involved in working on REDD+ in Myanmar including the Korean Forest Service and ICIMOD, which is an international organization working in the Himalayan region. The University of Forestry has a number of academics working on REDD+ and they have weekly seminars and workshops to share their knowledge on REDD+. There are links between this university and the local forest department office which provides opportunities for training.

There is limited research and databases available although the Ministry of Natural Resources and Environmental Conservation is considered to have reliable data on forest monitoring and remote sensing data on land use and forest areas (interview: MCKC01). There is hope that a public portal with information will be developed in the near future although there are still a number of technical difficulties and limitations to overcome.

It was felt that there is some political will to move the REDD+ agenda forward in the country although not all informants were optimistic about this (see also MS01). In particular it is felt that the NDC commitments may be ambitious given the political context in which many of the country's forests are found. Much of the forest cover is in the mountainous regions of the country which in turn are the areas that are currently experiencing a lot of civil unrest with contestation over the ownership and use of the lands and resources. For a number of years now there has been a restoration and reforestation programme which is being implemented by the government and there has been a forestry policy in place since 1995.

There are some organizations who are pushing for an update of this policy given that this was developed before the transition to democracy and so it is felt that there are important changes which should be considered in order for meaningful steps to be taken towards reducing deforestation (MS01). These actors would like a thorough analysis of deforestation and drivers in Myanmar and for the policy to be based on actual up to date data.

One current issue is that the indigenous Naga people are in conflict with the government over forested areas. The state is trying to implement community forestry initiatives in these areas and is promoting REDD+ but there is some resistance due to lack of clarity over resource and land rights in these areas which have been traditionally used by these peoples. In particular the conflict is also related to the traditional systems of land use which involve shifting agriculture. Along with other NGOs, MERN is currently undertaking research activities and advocacy work in order to highlight the traditional land and resource management systems in these areas and their sustainability with the aim of better informing policies in relation to these indigenous peoples and including a rights perspective.

There are some community forest monitoring initiatives which involve awareness raising and have proved important in halting some illegal deforestation in the region bordering China. This area has problems with deforestation with the entrance of loggers from China.

### 2017 Key Findings

- Drivers of deforestation and degradation in Myanmar are identified by consultations with stakeholders and based on stakeholders' perception without credible scientific evidence to confirm whether these perceptions are valid.
- Amongst drivers identified including small scale and large-scale agriculture, timber over harvesting, illegal logging, firewood collection and charcoal production, Myanmar chose to focus on minor drivers (firewood, charcoal) ignoring major ones (large-scale agriculture).
- In the current NDC, Myanmar has identified mitigation actions and policies in the primary areas of forestry and energy, complemented by supporting policies in other sectors. REDD+ plays critical role in country commitment.
- Cross sectoral coordination is seen as the biggest challenge for REDD+ implementation in Myanmar.

### 2017 State of REDD+ in Myanmar

- The National REDD+ strategy version 4 is currently published on the UN- REDD website for public feedback before it will be revised by the government in June 2018. The current draft was prepared, based on analysis of drivers, inputs from Technical Working Group (Drivers & Strategy), initial consultations with 6 ministries and the development of problem/solution trees. The Forest Department formed a core unit with three technical working groups (TWG) to perform REDD+ related activities.

- CIFOR was now developing the REDD+ country profile for Myanmar which analyses direct and indirect drivers of deforestation and degradation as well as policies and measures. The research is jointly conducted between CIFOR and Department of Forestry/Forest Research Institute. Based on request by Myanmar's Forestry Department, CIFOR is carrying out an assessment of benefit sharing mechanisms related to REDD+ as input for REDD+ policy design in Myanmar.

### 2018 Key Findings

- Myanmar's government with support from UN-REDD+ has carried out 6 consultation workshops on safeguards in 2018, one in each of six provinces. Another five consultation workshops will be organized in 2019. While some ethnic groups were very active in consultation and raised their concern on land grabbing and indigenous rights, many other ethnic groups refused to participate in this consultation and indicate their intention to only provide their comments when the final draft of REDD+ is ready.
- Although large-scale agriculture is identified as a major driver of deforestation and degradation, according to a study of the UNDP in different ecological regions in Myanmar, agriculture expansion only occurs in a few districts in Myanmar, and firewood collection is a much larger problem than previously thought.
- Joint research by CIFOR and Myanmar Research Institute assessed the effectiveness of current community forestry benefit sharing and lessons learned for the REDD+ benefit sharing policy in Myanmar. Preliminary analysis shows that the benefits generated from community forestry are captured by only a small number of powerful actors, and that decision-making related to the distribution of benefits is not based on participatory processes.
- Only a few studies document and analyze the benefit sharing mechanism for REDD+ and community forestry, and there is no study to date on costs required to implement sustainable forest management and to implement the proposed benefit sharing mechanism.

### 2018 State of REDD+ in Myanmar

- The National REDD+ strategy was open for public comments in April 2018 with the hope that it could be finalized by 2019. However, the consultation process took longer. With UN-REDD support, a draft safeguard information system was developed, and the country decided to have consultations of it in all states and region. Major concerns were expressed by indigenous groups on land use rights and the restriction on swidden areas. The government of Myanmar asserts that a benefit sharing mechanism is one of the areas they need to define before the REDD+ strategy can be finalized.

### Pathways effectiveness

There was limited data available for this evaluation from Myanmar and so it is not possible to draw any general conclusions with regard to the pathways for change which CIFOR is implementing in the country. We were only able to interview one knowledge co production actor and one supporter. However, from what is reported in the progress reports 2017 and 2018, there is no sign that pathways do not work.

## Project contribution to any unintended outcomes

No evidence found of unintended outcomes so far.

### 2.1.8 Democratic Republic of Congo

#### 2017 Key Findings

- REDD in DRC is gradually moving to the Jurisdictional Provincial level. CAFI (Central African Forest Initiative) provincial integrated projects will constitute some of the important steps towards this jurisdictional move.
- The Mai Ndombe Jurisdictional province appears as good laboratory where lessons for scaling up to other provinces will be learned.
- Beside the province Jurisdictional activities, early actions at the national level identified by the country include MRV, Land tenure reform, land use planning. <sup>[1]</sup><sub>SEP</sub>

#### 2018 Key Findings

- Module 1 targets three activities: an update of the Country Profile published in 2013, the first-round analysis of the REDD+ Actors' policy networks in DRC, and the media analysis that was already completed in 2013 and updated in 2015. The first draft of the update of the country profile is already available, and currently under translation into English. The data collection for the PNA is completed and we are working on the draft report. A meeting is expected in Kinshasa with stakeholders before the end of 2019.
- The research about drivers of deforestation and forest degradation in DRC has not seen much advance during the last five years. The publication of the forest national emission reference (NERF) document in January 2018 remains focused on deforestation and does not include forest degradation.
- Within the Global study initiated between the Governor's Climate and Forest Task Force (GCF) and CIFOR, a profile study was done at Mai Ndombe. This province is one of the pilots chosen to implement REDD+ at the provincial jurisdictional level in the country. This is done in such a way that information can be generated to forward REDD+ in other provinces.
- Linked to Module 3 activities, efforts at the national level are driven by ideas from a Reflection Workshop on "How to Structure MRV at the Provincial Level". This complements current efforts on moving ahead with MRV at the national level mainly lead by FAO and partners. Following some early discussions with FAO and partners, it was agreed that CIFOR's contribution can be useful in exploring how to strengthen MRV at the sub-national level. Consultations with the secretary of the Ministry of Environment confirm their expectation for CIFOR to focus on one specific activity that can generate lessons for the entire country.
- DRC is well-advanced in the Carbon Fund (i.e., results-based payment) phase under the FCPF as one of the first countries to sign an Emission Reduction Payment Agreement (ERPA), which will be implemented in Mai Ndombe province, poised for policy learning and later scaling up to other provinces (Reyniers 2018).

## 2018 State of REDD+ in DRC

- DRC was the first country in the Congo basin to engage in the REDD+ process in 2009, drafted its national strategy in 2012 and was the first to submit a fully reviewed ERPD to the FCPF committee in November 2016. The country is also the first in the sub-region to capture USD CAFE funds (US\$ 2 million) to support national REDD+.
- DRC has gone through difficult negotiations on the transition of the State political power during the last four years, with major crises between December 2016 and January 2019. This ended with the first democratic transition at the head of the State since the independence of the country. Before this, in 2015, the country has implemented the last revised constitution increasing the number of provinces from 11 to 26, which led to election of new governors at the head of the new provinces. This political context has influenced the intervention of policy actors in the forest domain during the recent years.
- Forest cover assessment in DRC remain a challenge for various reasons. Up to January 2019, a national territory management plan has not been designed yet and debates are still about strategies to gather financial resources (Kengoum, 2019).
- Between 2013 and 2018, the institutional arrangements proposed in the national REDD+ framework strategy have been progressively put in place, in some more successfully than in others. The REDD+ policy process has seen a slow-down, while the role of community forestry activities has grown in the debates and in the field, led by different initiatives without a clear link to REDD+. The expectations about REDD+ are that the Mai Ndombe jurisdictional project that completed the very first ERPA in the region, together with the CAFE-funded projects, deliver first lessons to help move ahead with the design of the full national REDD+ strategy. In the meantime, studies meant to support the design of this strategy have not been completed for many reasons, both political, financial and due to conflicts between actors (such as CN-REDD and FONAREDD) clashing over competencies in the policy process.
- Key studies on a benefit sharing mechanism and on Free Prior Informed Consent (FPIC) have not been completed and there is no consensus about the policy options in this regard. The National REDD+ coordination that was in charge of the elaboration of these is lacking funding as the country moved to the next phases before the said instruments were completed and donors re-oriented their funding. ONARED and United Nations agencies are the main beneficiaries of the CAFE funding to implement projects.

## Pathways effectiveness

Currently CIFOR has used a number of strategies in DRC and an important one has been making scientific information available to key stakeholders. There has also been some engagement with government in order to share information which has subsequently been used to contribute to decision making.

*“Scientific evidence has led to decisions and strategies being made. We have scientists working with us. We also deal with research agencies on themes that our own scientists do not cover [...] Sometimes, we request research from CIFOR or other agencies in order to have a scientific point of view or to confirm results”* (interview DRCI02).

*“I have read a lot of CIFOR publications and have attended several activities organised by them (one in Jakarta). I collaborate closely with Denis [Sonwa] of CIFOR and have used several of their documents in my work, such as the document on REDD+ benefits sharing. Their publications are valuable”* (interview DRCI02).



*“CIFOR's documentation is a real asset for anyone who wants to get good quality and efficient information. Personally, in some of my consultations involving the use of forest products, I have used and referenced data published by CIFOR” (interview DRCS02)*

*“CIFOR has a strong reputation and is a reference point in research and scientific aspects of REDD in the DRC. They do research and publish them, train actors and journalists, and implement forest projects in Kisangani. We all go to CIFOR for training and information about REDD both in the DRC and out of the DRC, such as Cameroun” (interview DRCS03).*

CIFOR has played a role in bringing actors together through their participation in the meetings to support the Congo basin forests partnership. This is a consortium of countries and agencies that meet regularly to discuss the sustainable management of the Congo basin forests. During these meetings CIFOR has been in charge of STREAM, the session on climate, intended to foster reflection on how to respond to climate questions in Central Africa. In the last STREAM session in 2017, actors who participated in MRV training had the opportunity to share their learnings with other colleagues. This information has then been used by various actors in their activities at the provincial level. CIFOR has also been engaged in capacity building sessions and information sharing on REDD.

CIFOR was involved in organizing an event in August 2017 which brought together journalists and media operating in DRC. The aim of the workshop was to share practical aspects about REDD+ and MRV processes. This gave journalists the opportunity to understand the reality of implementation of REDD in the country as well as offering insights in contextual issues and enabling networking with other institutions working on REDD in the country. One attendee stated, *“These contacts were useful for all of us so we could also collaborate with the media more effectively”* (interview DRCS02).

#### Project contribution to any unintended outcomes

Perhaps the growing appetite for capacity building in the country is an unintended – and positive - outcome that can be partly linked to the GCS REDD+ Program. Indeed, teaching and research activities conducted by CIFOR together with the University of Kisangani in the scope of the EU-funded FORETS Project use publications from CIFOR. Using well-written and well-documented scientific documents has a didactic role in higher education. Papers produced in the course of GCS REDD+ were used by CIFOR partners as references to teach and train Congolese MSc students (FORETS Project) on how to write scientific papers. Congolese partners and students value such intellectual resources.

## 2.2 International Engagement Summary

### Changing international context

New trends in REDD+ include:

#### **Local scale, tenure and gender issues**

- When it comes to REDD+ benefits, generally speaking men want cash while women want development. In REDD+ villages, women say their wellbeing has declined, they are in fact left out of forest decisions. This lead to scale up gender considerations in REDD+ development projects.



- New findings show that tenure security can help achieve REDD+ objectives. REDD+ as it currently stands turned out to be ill-prepared to navigate the context of rights abuses and has the potential to exacerbate this situation. These concerns remain and should be considered in the implementation of REDD+.
- More broadly, rural and indigenous women's tenure rights and participation in climate change agreements and programs is now central to debates.
- REDD+ projects that bypass local concerns are bound to fail. Local communities and other local actors can e.g. play a major role in achieving REDD+ MRV. However, this requires attention to their needs and motivations.
- This "people-centric" approach in landscape restoration shows the limit of the private sector's role in REDD+. The role of the private sector is about sustainable profit generation and managing risks attached to their investment. It cannot and should not go beyond that.

### Financing

- Regarding benefit-sharing mechanisms, a new framework helps evaluate ways of distributing benefits from REDD+ initiatives.
- A new study finds little private finance in REDD+ efforts, and blended finance a way forward. There is a lot of private sector support for reducing deforestation and degradation through investing in e.g. plantations or conservation-based business, but the invested amount is not known.
- For REDD+ payment, countries need framework, then investment. If the bulk of REDD+ funding has so far been with readiness, because it started first and is still continuing, it is now tapering off. Donors are now more trying to support implementation and results-based payments. Without the international funding, countries would get loans to put into forests. But so far, most countries have not, and those that do borrow don't call it REDD+ (but afforestation, forestry development planning, etc.).
- The problem with the business case for REDD+ is that a lot of it used to draw on financing from the carbon market. But now, the importance of the carbon market declined.
- "In late February [2019], the Green Climate Fund approved the first payout of \$96million to Brazil in return for decreased deforestation in 2014 and 2015 (amounting to a reduction of 19 million tons of GHG emissions). Another 38 countries have submitted their levels and could be eligible for payments in the future. However, concerns have been raised about the methodology of the scheme, centring on the baseline data submitted by each country. Using publicly available, satellite-based statistics for global forest cover, scientists from the School of Geosciences at the University of Edinburgh have drawn up a comparison with the baseline data submitted by countries in the Asia-Pacific region. Their analysis has found significant differences in the size – and sometimes the direction – of change in forest area for seven countries."

### Biodiversity

- A new study explores the relationship between payments for adding ecosystem carbon and the level of biodiversity in 12 landscapes across seven countries (Finland, Indonesia, Mexico,

Laos, Peru, Tanzania and Vietnam). The results show that increasing ecosystem carbon is good for species diversity

- The immense carbon storage potential of tropical wetlands and peatlands is still largely unappreciated. Works are now on progress on how to incorporate mangroves and peatlands into REDD+ strategies

### International influence by module

A core activity of the project lies in organizing and participating to global events where REDD+ and other closely related topics are addressed.

A strong segment of the pathway towards desired change is the delivery of outputs. Table 3 below provide a summary of output type delivery over the first three years of implementation.

**Table 3 –** Presentations, Technical and Scientific Papers (publications), Blogs and other Science Communication and Policy / Info Briefs delivered over the last three Years (2016 – 2018)

Output Type		2016		2017		2018	
		Nb.	Ref.	Nb.	Ref.	Nb.	Ref.
Presentations	M1			9	PR_2017 p.25	7	PR_2018 p.35
	M2			19	PR_2017 p.26	12	PR_2018 p.35, p.36
	M3			5	PR_2017 p.27	14	PR_2018 p.36, p.37
	M4			10	PR_2017 p.28	12	PR_2018 p.37
	M5					-	
	VAR	26	PR_2016 p.13-p.14-p.15				
	Tot.	26		43		45	
Technical and Scientific Papers (Publications)	M1			11	PR_2017 p.34-p.35	9	PR_2018 p.39-p.44
	M2			10	PR_2017 p.35	10	PR_2018 p.39-p.44
	M3			15	PR_2017 p.35-p.36	28	PR_2018 p.39-p.44
	M4			7	PR_2017 p.36-p.37	15	PR_2018 p.39-p.44
	M5					-	
	VAR	39	PR_2016 p.16-p.17-p.18-p.19	6	PR_2017 p.37		
	Tot.	39		49		62	
Blogs and others science communications	M1	1	PR_2016 p.20	4	PR_2017 p.38	3	PR_2018 p.44
	M2	5	PR_2016 p.20	7	PR_2017 p.38-p.39	9	PR_2018 p.45
	M3	8	PR_2016 p.20	11	PR_2017 p.39	8	PR_2018 p.45
	M4	3	PR_2016 p.20	6	PR_2017 p.39	4	PR_2018 p.46
	M5					-	
	Tot.	17		28		24	
Policy/Info Briefs		8	PR_2016 p.21	6	PR_2017 p.40-p.41	53	PR_2018 p.46-p.51
Multimedia Products				7	PR_2017 p.42	13	PR_2018 p.52, p.53

#### Notes

- Unclear distribution of outputs such as Presentations and Publications in 2016.
- In 2016, 2017 and 2018 progress reports, data pertaining to workshops were not taken into account.

The annual delivery of outputs has increased a lot over the last eighteen months. On the one hand, research efforts, i.e. data collection and processing, writing and reporting, take time. It explains the

modest number of outputs delivered in the first year. On the other hand, shorter outputs such as policy/info briefs can be prepared using existing research findings.

Consolidated data provided in Table 3 above clearly indicate an increase in relevant product delivery pace. It also suggests a clear move towards issuing policy briefs. In this respect, the Project Team have adapted their work and output format to a pressing demand from many stakeholders: provide knowledge and findings in a concise format, convenient to policy-makers and decision-makers.

It is too soon to derive any definite conclusion on the influence of this move. Nonetheless, it is worth to monitor if the delivery of an impressive number of info and policy briefs – it means material convenient to policy-makers, policy planners and decision-makers – in 2018 will have a greater impact on the use of science-based and facts in designing policies.

From the Project activities at the global scale, it is worth to mention the following facts:

- M1 data that shows an increase in use of CIFOR knowledge in developing REDD+ (PNA data)
- UNREDD interest in REDD+ database (very early)
- GCF impact platform, using information from rating tool and jurisdictional work (plus others from partners) will acknowledge CIFOR
- (Supporters) interest in M2 methods from GCF – Jo Puri etc
- M2 How sub-national level is using 2-page briefs and (Peru – being used in proposals to UNDP) – offer to do this jointly with EII coordinate on how we report on this.
- M2 EII and CCBA sustainable landscape rating tool (another joint outcome story) – we had input develop and piloting of the tool
- Gender – FCPF World Bank – CIFOR was invited to share lessons on mainstreaming gender into REDD+ (looking at all work in M1)

From non-targeted countries, it is also relevant to mention the following requests and interests:

- Mozambique wants to learn from the comparative study findings – from more advanced countries etc
- WB request to work more with CIFOR
- Laos WB REDD+ readiness program – a personal connection read our papers and pushed the government to follow up with CIFOR
- Invited to conduct assessment of REDD+ project in Colombia by an indigenous community (unfunded)

## 2.3 Overall project summary – against KEQs

There are four key evaluation questions as given below. Data and evidence from interviewees were extracted using the guides given in **Annex 3**.

### 2.3.1 KEQ #1 How relevant are the module's focus and planned activities to evolving target country contexts and the international REDD+ agenda?

KEQ #1.1 What changes have occurred in target countries and internationally that the project should take into consideration?

Over the last eighteen months – since the survey took place – many changes had occurred in target countries and internationally.

**Internationally**, there have not been many REDD+ updates since 2015 when the global negotiation processes of REDD+ were finished. For one interviewee in Indonesia, if CIFOR wants to continue to lift REDD+ as one of the main research topics, it is important for CIFOR to transform the idea of REDD+ into broader topics. For example, CIFOR might want to consider saying that REDD+ is part of the NDC and that is one way to achieve NDC targets, or link it to SDGs. The same respondent mentioned that the last and only international event that using the terms of REDD+ clearly was Tropical Forest Exchange 2018 in Oslo. The other science communities' events no longer specifically mention REDD+ in their agenda. They prefer to call it sustainable livelihoods, land use governance, etc.

REDD+ seems less of a priority currently. Firstly, there was a credibility problem at the local level in many places given how it was sold. Secondly, it has been increasingly used as a mechanism to support other government agendas or explained as one way of delivering on other global agendas.

**Peru** was championed as one of the early starters in REDD+ due to the diversity of REDD+ projects in the country since 2008. More recently it has been struck by a number of high-level corruption cases coming to light and there have been some significant changes in government as a result which have led to administrative changes within the departments overseeing REDD+, and there is optimism that she has an interest and knowledge of these themes as well as an interest in promoting more technical aspects such as guidelines. Recent changes include the development of the National Strategy for Forests and Climate Change which involved participation from civil society and other organizations in the development of this framework. More recently MINAM has installed a space called "Dialoguemos" ("let's talk") which has allowed for increased participation of different sectors in the decision-making process and addresses topics including DCI, regulations and indigenous communities (see section 2.1 above).

In **Brazil**, the context is slightly complicated (see section 2.1 above) by the fact that the spotlight has been on the Amazon due to its forest cover and biodiversity whilst at the same time it has had high rates of deforestation and a very strong agricultural sector. These assets mean that it attracts resources but there are also increased tensions between conflicting agendas. There is a

feeling that REDD+ has disappeared from the main discussion agenda and has migrated to other topics such as forest restoration, degradation and other issues more relevant within the context of the Forest Code. The fact that Brazil has not fulfilled the reduction of deforestation as a requirement for raising funds for the Amazon Fund has created a negative feeling for Brazil. There is also concern for the environment in light of the new government in place in Brazil (written in 2018).

**Guyana** has a new government since 2015. They have been designing a new green state plan, which they call the Green State Development Plan. That has not been finalised. Additionally, they have just updated the National Forests Policy and Forests Plan, as well as they are working on finalising a VPA for the EU FLEGT. The priority area includes working on a strategy that would update the low carbon development strategy. And that would be the Green State Development strategy that the government is pushing. GFC recently had a revision of their forest policy and forest plan, for the next 10 years, so it was released in spring 2018. After various consultations, they would have drafted a national forest plan and policy, and that would be their main priority focus area for the next 10 years, going to 2028. It has been in keeping with the actual policies and plans of the green state development strategy that the government is pushing.

In **Indonesia**, the merger of MoEF resulting in individual think tank to influence REDD+ in Indonesia. At present there is an impression that REDD+ is only owned by one directorate general, which is Dirjen PPI and is part of the MoEF. When the BP REDD (REDD Supervisory Agency) was still standing, consultations on REDD+ policy direction in Indonesia were widely opened to the public (NGOs, research centers, CSOs, etc), but after BP REDD was closed, consultations were taken directly by the minister and directorate general to think tank representatives. At present the government prefers to consult with experts from existing think tanks for more specific issues, for example CPI for climate finance, PPILH, BLU REDD+, partnerships for stakeholder engagement, Mr. Rizal Boer from Center For Climate Change, and Prof. Daniel Murdiyarso (CIFOR and Bogor Agricultural University) for carbon calculations. The reduced budget for stakeholder engagement is felt to be influential enough to change this behavior. REDD+ in Indonesia seems to be getting more and more closed because people who understand are getting fewer and fewer. In addition, the lack of direct communication lines to MoEF also further closed the flow of information on REDD+ in Indonesia.

The MoEF merger process and the cessation of BP REDD (REDD+ Supervisory) activities then the acquisition of REDD+ by the Director General of PPI (Climate Change Control) is an important event in the politic map of REDD+ in Indonesia in the last 2 years since President Jokowi came into government. The MoEF merger has resulted in a change of officials in respective government institutions, which resulted in a paradigm shift. At the moment the government's focus is to increase foreign exchange and the commodities with the potential to increase foreign exchange is palm oil, so that the current government's focus is more on oil palm management. Climate change including REDD+ is no longer the main focus. Only MoEF still uses the REDD+ term, even though the international community, even donors, have developed the idea of REDD+ to broader topics such as jurisdictional approach, landscape approach, low emissions development. While Bappenas (National Development Planning Agency) uses the term of Low Emission Development. So, there is no common agenda between the two government agencies that play a role in regulating REDD+ agenda in Indonesia.

In **Vietnam**, the emergence of VRO into State Steering Committee as mentioned above could be a favourable signal for REDD+. The biggest change is the revised forest law in 2017 which will be in effective in 2019. This is an important legal framework, in which there are many articles are relevant to REDD+. Specifically, it highlights forest ecosystem services payment, therefore PES is become a mandate by law. Vietnamese government is looking at the potential of engaging private sectors, starts with major emitters such as waste industrial water; aviation; aquacultures into V-PES effort. To do so, we need many in-depth researches to provide reliable, scientific and evidence-based inputs for preparing for such policies. We would like to suggest that CIFOR should consider and discuss further with VNFOREST to support VNFOREST in these matters. Governmental decision No.419/QD-TTg. REDD+ is also included in Vietnam's National Determined Contributions (NDC). The law of planning is effective from 1st January 2019. It plans to replace sectoral planning by national and sub-national planning approaches. This could be a potential opportunity to integrate REDD+ into social-economic development planning of each province.

In **Myanmar**, REDD+ activities are not very speedy. In the last five years, the Forestry Department have been very active to forecast on the Redd+ activities but over the last eighteen months they do not focus on REDD+ activities. REDD+ was no longer a priority.

In **Ethiopia**, the Prime Minister changed everything, not just within the political party. There was a big political shift. In the previous government, forestry was sidelined. They re-established it simply to get money from outside because the World Bank demanded it. Norway demanded it, "You need to have a national Ministry to talk to." So they came up with establishing the new Ministry. There is huge interest and support of the government on REDD+. Also the research centres, the NGOs, the international centres, everyone is interested in REDD+. It's just that most stakeholders do not understand the actual processes that are followed, i.e. they do not know how to make it work in Ethiopia.

In **DRC**, the REDD+ agenda is the responsibility of some local elites - nationals working for the environment sector, both governmental and non-governmental, mainly based in Kinshasa - and the international community. In the provinces, where community forestry processes are being implemented; the REDD+ process is visible only in a few zones and with specific REDD projects. The most obvious project in provinces is the Mai-Ndombe project, with concrete emission reduction impact seen in the area. The Mai Ndombe project integrates, both LED and REDD strategies. There are management tools such as goals, environmental and social indicators, and results-based payment mechanisms. Lots of funding agencies support that project: CAFI, PIF (World Bank), and the private sector. Millions of tonnes of carbon emission reduction estimated as a result of this project by 2021.

On a technical level, the Ministry of Environment and Sustainable Development (also in charge of forests and climate issues) is in charge of REDD+ in the DRC. The REDD national committee (CONREDD) includes many other agencies on REDD+, but the government leads the process.

The private sector is interested only in the REDD projects, not the process. The private sector here is not comprised of forest companies, which are not attracted by the REDD process but only by community forestry as a way to go around the 2012 moratorium on logging concession. The private sector that is attracted by the REDD process is made up of carbon investors (Novacel, Era, WWF). The Ministry of Finance has the mandate to lead the steering committee in the preparatory and implementation phases. It works in conjunction with the Ministry of Environment. During the past 18 months these two ministries have not collaborated well for the design and implementation of REDD+. This can only negatively influence the process of REDD+ implementation in the DRC. As far as I am aware, the two do not hold regular meetings.

KEQ #1.2 What opportunities are there for the project to modify their activities to ensure continuing relevance?

Most activities carried out by the REDD+ GCS team keep the project on target. It is a matter of time (the objectives are ambitious) and a matter of circumstances (there are several factors beyond the control of the project team, i.e. a few assumptions may no longer hold and there is some risk linked to staff movement, inside the team or among key stakeholders).

Opportunities are listed in **Annexes 2 and 6**.

## 2.3.2 KEQ #2 Is the project making a contribution to intended outcomes?

### KEQ #2.1 To what extent are the intended outcomes for targeted actor's observable?

Analysis return results as given in **Annex 4**. The intended outcomes for targeted actors, i.e. Implementers and supporters are largely observable.

For example, the development of a monitoring system on deforestation in Peru resulted from information on REDD+ finance and influence on the government. MRV and deforestation monitoring have been taken up by the “Programa Bosques” under MINAM. Indigenous people have defined the Amazon Indigenous REDD+. Peru, Norway and Germany have reaffirmed Joint Declaration of Intent (DCI) for Green Growth.

In Indonesia, implementers have adapted to institutional changes created individual think tanks because a strong knowledge base has been continuously updated.

The Project achieved its intended outcomes in Ethiopia as evidenced by many examples provided by interviewees, several of them noteworthy a forestry department, learning lessons from cases overseas, networking among donors and other actors, MRV and gender topics better understood, and taken into account, etc.

In Brazil, the development of initiatives from the Green Climate Fund has been positively influenced by the project GCS REDD+, the quality of information the different phases have delivered and former impacts, e.g. since 2015 with establishment of national strategy, a decree and an advisory board relevant safeguards system.

In Guyana, making progress on safeguards and land titles / cadastre and the low emissions development and REDD+ agenda were pushed forward as a result of the Paris Agreement, a pivotal event where the Project was actively present. The establishment of the Guyana REDD+ Investment Fund and the cross-network coordination including mining, agriculture, forest harvesting, protected areas and infrastructure development is instrumental for targeted actors to address MRV and REDD+.

In Myanmar, there are positive signs such as community forest monitoring initiatives which involve awareness raising in the region bordering China (area of illegal logging).

In DRC, a vulnerable post-conflict country engaged into the second phase of REDD+, implementers have benefited from training and access to information.

Intended outcomes have also been reported in progress reports 2016, 2017 and 2018. Key findings from progress reports 2017 and 2018 can be found in section 2.1 above.



KEQ #2.2 To what extent and in what ways has the project contributed to observed outcomes?

The Project's contributions as reported by the interviewees are listed in **Annex 4**.

- has been accompanying DRC in the process of implementing the second phase of the REDD+ process;
- has shared experience in forest conservation, climate change and low-carbon impact development;
- has conducted research relevant to forest conservation, forest governance and climate change, and made scientific information available to key stakeholders;
- has conducted training in relevant topics such as MRV, REDD+ benefit sharing;
- has influenced jurisdictional coordination and leadership by government;
- has brought the government into the peatlands topic conversations, CIFOR invited Peru to join the International Tropical Peat Research Centre (TPRC, hosted by CIFOR);
- has carried out global evaluations which help to understand, compare, and see examples of how things are done in other countries (lessons learned);
- has engaged with the government in order to share information which has subsequently been used to contribute to decision making;
- has engaged with a broad range of stakeholders through training, workshops, capacity building and provided networking opportunities;
- has made some contributions to the National Strategy for Forests and Climate Change and done some work directly to support the technical aspects of MRV;
- has provided rigorous methodology and research practices to address forestry and climate change issues;
- has worked in close collaboration and partnership with other research bodies;
- has provided training and demonstration of how to be more outcome oriented and policy relevant in conducting research.

KEQ #2.3 Has the project contributed to any unintended outcomes?

Two unintended outcomes are reported as follows:

- In Peru, an informant reported that an unintended positive outcome was that through hiring student for master's work who had worked in MINAM for 5 years previously meant that a closer relationship was possible with some actors in MINAM.
- Still in Peru, students who had worked with CIFOR have gone on to take up significant positions within local government or companies and this would bring benefits in terms of opportunities for decision making on relevant topics.

KEQ #2.4 What opportunities exist to improve the potential influence of project generated knowledge and to enhance its contribution to outcomes?

Opportunities to improve influence have been reported by key informants (see **Annex 2**). The main issue is to prioritize those opportunities while taking into account which assumptions remain valid and which do not (see section 3).

The large number of opportunities to improve influence as reported by key informants tell three things:

1. the complexity of the trilogy co-generating scientific knowledge, knowledge management and decision-making has to be taken into account by all stakeholders;
2. a real interest in pursuing the initiatives encouraged in the GCS REDD+ Project exists; and
3. there is room for further improvement, in particular speaking a language which is not only rigorous, neutral and relevant but also understood by a broad range of users with very different background.

Table 4 offers a structured summary of the project's achievement towards intermediate outcomes.

**Table 4** – Intermediate outcomes, targets and achievements.

	Baseline	Target year 3	Achieved
<b>Intermediate outcome (implementers)</b>			
Informed implementers in target countries have the capacity (will, knowledge and support) to implement	At most, 25% of targeted implementers demonstrating capacity to implement	50% of targeted implementers influenced by CIFOR engagement show capacity to implement	<b>69%</b>
<b>Intermediate outcome (supporters)</b>			
Informed supporters promote, motivate and enable implementation of 3E principles	At most, 25% of targeted supporters reinforcing use of 3E principles	50% of targeted supporters influenced by CIFOR reinforcing use of 3E principles	<b>92%</b>
<b>Intermediate outcome (knowledge co-producers)</b>			
Engaged actors: 1. Learn skills, methods and tools 2. Internalize value of 3E 3. Understand how evidence can support 3E decision making	At most, 10% of actors engaged in project activities reporting coproduction outcomes	50% of the actors engaged in project activities reporting coproduction outcomes (skills, values and understanding)	<b>62%</b>

Using information extracted from the in-depth interviews carried out in the scope of module 2, it is possible to provide a rough estimate of the level of achievement in quantitative terms. A clear list of implementers, supporters and knowledge co-producers was not provided at the beginning of the Project. However, should such a list have been prepared, it would not have passed the test of time. Many things have changed since the beginning of the Project, i.e. the content of such lists of targeted actors change all the time. Besides, supporters and implementers are mixed up when it comes to outcomes<sup>4</sup>.

Reports refer to 327 proponent organizations (focusing on activities in 8 NICFI priority countries: Brazil, DRC, Ethiopia, Guyana, Indonesia, Myanmar, Peru and Vietnam). The survey was carried out through a representative sample of 74 interviewees.

<sup>4</sup> "Since 2017, we are not separating supporter-related from implementer-related outcome anymore". Annual Progress Report 2018, p.61.

From their answers, about two third of targeted implementers show capacity to implement while the vast majority of supporters use the 3E principles to some extent. Finally, about two third of knowledge co-producers report co-production outcomes and acknowledge co-benefits.

These results are indicative because there was no accurate lists of stakeholders and stakeholder categories have not clear boundaries, i.e. an implementer can also play the role of knowledge co-producers, etc. In addition, the MEIA not being operational yet, proper tracking of knowledge and other outputs utilization is difficult.

Nevertheless, these findings suggest two interesting trends. Firstly, supporters are easier to reach than are the other categories of stakeholders. Secondly, a significant portion of Knowledge co-producers would rely on their own sources of information.

### 2.3.3 KEQ#3 Are the project's assumptions about how knowledge will influence change through this project valid and comprehensive?

The continuous validity of assumptions is addressed below. In short, the following assumptions directly relevant to knowledge production are controversial.

- (A) The knowledge we produce on REDD+ will provide alternative applications for countries that are actively pursuing low emissions development pathways.
- (B) Key stakeholders are capable of using technical information that will result from this research.

However, it is worth mentioning that controversy aroused on these assumptions varies from country to country, and even among informants. The first assumption is controversial because some informants argue that knowledge is either obsolete given the fast development of land-use change and economic activities not only in the forestry sector but also in other sectors like mining, agriculture, energy, etc., not to mention the change of staff and decision-makers at the top positions. In addition, knowledge produced on REDD+ is sometimes very difficult to convert into technical guidance relevant to implementation. It is thus a matter of applicability.

The second assumption arouses some controversy mainly because very few key stakeholders are actually able – or willing – to use technical information resulting from research.

The REDD+ GCS Team has already adapted to this situation, mainly through tailoring the knowledge publications to non-scientific audience.

Finally, it is important to mention that most assumptions still hold (see table 4 below).

From data provided by key informants through the MTR questionnaire, it was possible to assess which assumptions still hold and which do not. Obviously, there is some limitation in this finding for several reasons. Firstly, the sample of stakeholders, while robust, is not representative neither at national scale nor at global scale. Secondly, most assumptions include several facets and the perception of key informants is not always comprehensive. Thirdly, the qualitative nature of the data incurs some room to interpretation for the evaluation team. Finally, key informants did not provide any or not enough information to assess whether assumptions were still valid.

Table 5 hereafter gives a summary of assumptions and the comment from the MTR Team. The table provided in **Annex 5** refers to evidence from interviews.

#### **Table 5 – Assumption Assessment**

Assumptions	Evidence from interviews to validate/dispute assumptions
Frequent dialogue with policy-makers and other stakeholders will foster a collaborative spirit.	It seems that his assumption strongly holds. Several key informants pointed out that the presence of CIFOR experts in the country, maintaining frequent / continuous dialogue with policy-makers make a big difference. We can look at this assumption through the lenses of strategy and tactics. Most decision-makers and politicians do not read science papers, journal and reports. In this respect, shorter version of written knowledge such policy briefs are well received. But nothing is as good as face to face dialogues.
Political will needs to be present at all levels to advance on policies and activities that reduce emissions from the land use sector.	This assumption holds. Virtually all key informants confirm that the central government and the donor community and international partners are driving the REDD+ agenda. However, when it comes to implementation, political will must be present at sub-national and landscape levels, i.e. close to those communities and other stakeholders involved with land-use.
Frequent dialogue with pilot developers will ensure that the project meets their information needs.	This assumption holds. A few informants advised CIFOR to design and conduct research in close consultation with local initiative, in particular with the private sector involved in low emissions project.
The knowledge we produce on REDD will provide alternative applications for countries that are actively pursuing low emissions development pathways.	This assumption arouses some controversy. Some stakeholders believe the knowledge base is very robust and relevant to decision-making and planning related to low emissions initiatives, called REDD+ or something else. Some stakeholders argue that knowledge produced on REDD+ is not practical enough or too technical so it cannot be translated into action at sub-national and landscape level. Some say expertise – technical assistance – is needed more than knowledge itself.
Making the forces against transparent processes explicit, will mean that mechanisms to counter them become part and parcel of the policy development process.	This assumption still holds. Stakeholders agree that transparent processes must be encourage in policy development. Consequently, capacity building of green journalists, for example, is well received.
Key stakeholders are capable of using technical information that will result from this research.	It seems this assumption has become controversial. The controversy revolves around who is a key stakeholder and what does she or he need the technical information for. This assumption holds when key stakeholders are highly educated people. It holds among international decision-makers and researchers, especially in the planning stage. It holds when it comes to build a corpus of knowledge and toolkits. It seems the assumption is flawed when it comes to put the technical knowledge at work. Some policy-makers and some implementers are not capable to use technical information derived from research. Some are capable but may be reluctant to use it because it means they have to deal with change. In short, they know <i>what</i> to do but do not know <i>how</i> to do it. Consequently, they do not use technical information.

Targeted capacity building will raise the level of immediate stakeholders (research subjects) as well as of research partners so that they can participate in the research in a more meaningful way.	This assumption not only strongly holds but also remind the project Team how important the learning process and mutual benefits of joint research are.
Policy makers and planners recognize the opportunity presented by REDD+ as a coordinated strategy for climate change mitigation, rural development, and biodiversity protection.	It seems this assumption has become controversial. As a global instrument addressing climate change, REDD+ calls for coordination. As one instrument involving land-use, REDD+ also calls for coordination at national, sub-national and landscape level. Multi-sectoral approaches obviously call for coordination. But REDD+ itself, as an instrument was not designed – and therefore was a coordinated strategy. The assumption was flawed because REDD+ was focus on forests. Instruments such as NDC looks better on this side.
Policy makers and planners will be ready to exert the vision and courage necessary for transformational change – i.e. shifting the balance of power so that protecting forests gains over forest conversion in land use decisions.	It seems that this assumption no longer holds. Exerting vision and exerting courage are two different skills. They are both necessary. However, the politics cannot be simply put aside and decision-makers at key level have many issues to deal with. They may exert vision. But their capacity to exert courage is linked to their own survival in the political arena. Topics such as oil palm in Indonesia, or logging in DRC, or “anti-green” policies in Brazil indicate this assumption is weak.
Sub-national REDD+ continues to be a viable proposition throughout the period of the grant; that jurisdictional REDD+ can persist in spite of potential destabilization resulting from electoral change; and that corporate players are sufficiently motivated (by ethical goals and by their bottom lines in cases where profit is consistent with protecting forests) to go beyond rhetoric and fulfil their zero deforestation pledge for the long term.	This assumption has become controversial. While some believe REDD+ is still a promising set of strategies and should be sustained and quickly translated into implementation, some believe it has not delivered and consequently has lost its credibility. Subnational REDD+ itself is not always seen as a viable proposition. However, lessons learned in the course of the process, e.g. on land tenure and enabling conditions, on governance, are useful and relevant to a viable proposition.
Risks	
Researchers will gain access for research and engagement to national and subnational REDD+ arenas and communities of practice, sub-national government offices and multi-stakeholder platforms.	Lack of data does not allow to assess this assumption.
Project can contribute significantly to providing clear evidence-based knowledge that supports consensus building about REDD+.	Lack of data does not allow to assess this assumption. More specifically, the MTR team felt the data and information on consensus building about REDD+ was not enough.

That REDD+ will remain a desirable and feasible objective independent of the implementation of any specifically designed policy mechanism to promote green growth and low emissions strategies.	This assumption has become controversial.
National REDD+ policies will be effective in the face of broader political economic forces	It seems that this assumption no longer holds. National REDD+ policies – where they exist – were mainly designed inside a political, legal and institutional framework heavily dependent on external aid and carbon markets. Neither of them has released enough financial means for implementation. Without any convincing scale of implementation, policies addressing medium and long-term benefits are not effective.
Frequent changes in personnel in implementing agencies at national and sub-national levels prevent meaningful, politically sustainable decisions.	Lack of data does not allow to assess this assumption. Some say it is a matter of capacity building and not so a matter of changes in personnel. However, no specific human resource how bad the risk is.

KEQ #3.1 What evidence exists that knowledge co-production is enhancing understanding, use and influence of project knowledge?

In **Peru**, there is abundant evidence on the use and influence related to knowledge. A sample is given hereafter.

“Almost everything has been oriented towards collaboration. Scientific collaboration fundamentally. We would have wanted more participation in the theme of capacity building of young people.”

“I hear stories. Stories about when they did the study in such and such a country and the social networks and I saw that the government gave an opinion on the study...”

“So CIFOR creates a space where you have 6 or 8 organizations and the question is, what do you do, what do we do and how can we make it bigger. And so firstly, before any concrete it is a process of "ready" speaking in terms of REDD. So you get to know what the other organizations are doing.”

In **Brazil**, as in Peru, it was easy to find evidence that co-produced knowledge was useful.

“Yes, of course. There is the question of knowledge too, we get in touch with several researchers, and the internal discussions have a very strong appeal as well. CIFOR is like a university, it has several researchers from different areas. What is interesting about CIFOR, what you do not see much in universities is the issue of cooperation. When you are going to write a paper, several researchers collaborate, even those who may not work directly on the project that you are working on, and this I think is very important to highlight because it generates the production of high level knowledge.”

“Certainly I kept in touch with some of the researchers who were involved in the GCS project and also when I show the approaches to field research results, the research design, we have learned different things in this process, such as seriousness, the rigor which CIFOR applies for its research. This is not so

typical in Brazil, these questions of evaluating public policies, comparing focal groups and grassroots groups, of affected and unaffected ones, was an important learning for Brazil, allowing Brazil to perceive the issue not only as an experiment, but as a mapping of interests, opinions. Social issues are more evaluated in Brazil within the health area for example. It is very difficult to discuss social issues related to environmental issues in Brazil.”

In **Guyana**, such evidence exists too as exemplified from the following quotes.

“I know CIFOR is also part of promoting gender equality and such, so there are avenues where I think we can collaborate, as well as livelihoods and income, especially towards the indigenous community. I think it will be great to have a collaboration with CIFOR, to work in areas of livelihood in the indigenous community in Guyana.”

In **Indonesia**, such evidence used to exist but this has changed. Informants feel that not too many CIFOR REDD+ publication can be referred to. Most of the CIFOR REDD+ publications are based on old data set while we need recent data to make a better scientific publication that can be referred by public and policy maker. CIFOR might need to focus more on study case. The CIFOR existing publications on REDD+ are a generalization of the existing small studies. The different contexts and the failure and achievement of REDD+ implementation in various regions in Indonesia are urgently needed as an information base for conducting REDD+ programs in the future.

“we saw CIFOR was more like far in a distance, and indeed as a think tank it’s hard to write something like a criticism. In the past, I was at the HUMA which is an advocacy agency, campaign. Sometimes we think whose side is CIFOR at? There was a [CIFOR] publication in the past, I forgot who the author was, but we got a bit outrage with a CIFOR publication about KFCP. It used to be that the CIFOR people were like a bunch of smart people who could not be approached, but I just knew that’s not like that. We also studied the limitations of each. “... we will suddenly be visited by MoEF, right, so we can't do this, we want to talk about this, but this can't be released. WRI also has this data, but it can't be released.” I hope that this is not just an academic exercise, but it can help other friends, the vision of Madani is to amplify the work of friends, so maybe later in the dissemination. What is clear is that CIFOR is not being hindered by the government.”

In **Vietnam**, evidence exists but it is not strong.

“From my own understanding CIFOR has not produced any significant works related to REDD+, PES in Lam Dong, however, CIFOR has contributed indirectly into these efforts/successes. For instance: CIFOR has worked with PanNature, JICA and SNV in building the participatory co-management approach in forest management in 2014-2015. One of biggest challenges for many research organizations, including CIFOR is that how to institutionalize key findings from their projects. If not, otherwise, documentations and publications of these research would just stay on office tables. Yet, it is understandable that institutionalization would take lots of time, effort and resources. There are only WINROCK international and SNV have these capacities to do so in Lam Dong case. Score of CIFOR’s work in REDD+: 5/10. Because CIFOR has not had any independent research in REDD+ or PES in Lam Dong province, however, they were in collaboration with other organizations to produce some publications and research. CIFOR research are highly scientific but low in applicability.”



"I occasionally use CIFOR's research as references in writing research proposals. I have gotten to know CIFOR work through network sharing by project partners in Hanoi; or the internet. However, CIFOR's publications are usually long read, and time consuming to understand. It is not easily understood by many provincial level staff, not to mentioned lower level ones."

In **Myanmar**, albeit limited, evidence exists.

"I occasionally use CIFOR's research as references in writing research proposals. I have gotten to know CIFOR work through network sharing by project partners in Hanoi; or the internet. However, CIFOR's publications are usually long read, and time consuming to understand. It is not easily understood by many provincial level staff, not to mentioned lower level ones."

"CIFOR is a global research institute with a lot of weight ... CIFOR is a great ... research wise. ... is very influencing on the Government, especially on the democratic ones."

"CIFOR is very donor driven."

In **Ethiopia**, evidence exist on the knowledge production and its use. However, it indicates the limitation of its intended influence, especially the barrier created by the "bureaucracy" and the "complexity / applicability of science". Another knowledge producer (Farm Africa) is highly recognized because its technical expertise translates directly towards the grassroots.

"The REDD secretariat itself is the focal – the World Bank is also driving and CIFOR, in its most important production, not only produced from here but also [unclear 0:10:20.6] open access. But if you ask me who here really, it is the REDD Secretariat, it is the World Bank, it is Norway, it is CIFOR. CIFOR articulate things really and they produce knowledge. Taking that knowledge and then translating it into something is up to the bureaucracy of course."

"Yes, because it is a good approach. As a research organization, you can't hire everyone you want on a permanent basis."

"All the brains came together to work on one point. For a small amount of money, you got a nice production, a nice report. So that is one benefit. CIFOR is there to really bring out policy issues. In that way, CIFOR is successful."

"Farm Africa. Farm Africa is a very, very good initiative. They are there in the field. Do you know Farm Africa? They are out in the community. They are very, very good really."

In **DRC**, evidence exist too.

"The country has limited resources. Any capacity building activities CIFOR can organize would definitely impact REDD implementation in the DRC. "

"In order for CIFOR to have a significant impact, they should formalize their collaboration with other partners, including the ministry of environment, the sustainable development department, and DIAF. Results would then be more accepted, used and integrated. It is crucial that CIFOR identifies the gap that it should address for efficient results. CIFOR is a good fit for MRV (Monitoring, Reporting, Verification), and such a contribution is really needed in MRV."



“Respect of CIFORs work is high, meaning they can quote and reference their work knowing there is scientific rigour and respect among others – which will not be detrimental to readership in any way. They often quote CIFOR and use data.”

KEQ #3.2 Are there other implicit change theories apparent in how the project is being implemented that should be integrated into the project theory of change?

As it stands, the current project theory of change still makes sense, i.e. it still shows the pathways properly. However, one theory of change for the entire project – given the fact it has activities in eight very different contexts not to mention activities conducted at a global level – cannot fit all patterns of change with an even accuracy. Generally speaking, it is good enough.

The current theory of change is relevant. If one looks at it from a *process* angle, where each module has a certain capacity<sup>5</sup> and where raw data, information, findings, etc. are some kind of input or output, one has to pay a lot of attention to *bottlenecks*. Bottlenecks are those *resources* – a team in a given module for example – with a truly saturated capacity. The bottleneck can sit at the data management level, at the processing stage, at the writing / communication stage, or at the end of the production line, i.e. at the policy-making / decision-making stage. Between the first idea about a relevant research question, and the final product, i.e. an impactful achievement of a group of policymakers for example, the GCS REDD+ is building up inventory. Work in progress and throughput have to be analyzed further<sup>6</sup>. For example, if the project is producing more “science” than one can use, there is surely a bottleneck somewhere, e.g. a capacity problem. Until one addresses the bottleneck, the entire GCS REDD+ will deliver at a slower pace or influence fewer stakeholders than originally expected. A bottleneck can be country-specific.

There is another issue to be addressed, still inspired from the world of management<sup>7</sup>. Is the knowledge production driven by demand or is it smoothly pushed through institutions and other implementers and users? Perhaps both. It is a matter of value proposition. From the review of interviews, emerges a mixed feeling about a global comparative study responding to the demand of a variety of users versus a study responding to the demand of selected users, e.g. donors, while meeting the interests and competences of the knowledge producers. At the end of the day, it is often a matter of trade-offs.

These two aspects of the GCS REDD+, i.e. *process* and *value proposition* should be reviewed and understood because they will help explaining how the pathways truly work.

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<sup>5</sup> The number of field surveys a team can conducted, the number of interview responses a team can processed, the number of workshops, the number of info briefs, etc. that can be delivered in a given period of time.

<sup>6</sup> This analysis refers to the theory of constraints (E. Goldratt).

<sup>7</sup> Push and pull market.

#### 2.3.4 KEQ#4 Is the project monitoring system collecting appropriate information systematically and how can it be improved?

The MEIA system is not in place yet, albeit data is available. Collecting and processing data is a tedious and time-consuming task. The Project Team has focused on the core outputs delivery. However, there is still a need for an operating MEIA.

The MEIA is of high importance to check assumptions with rigor, and to maintain the project efficiency. There is growing need in terms of monitoring and impact assessment in the third phase of the GCS REDD+ Project.

The Project Team has made many endeavors to collect relevant data (including the survey that provide the bulk of information to the mid-term review team) with the help of key informants and a broad range of stakeholders in targeted countries. Their efforts extend to stakeholders involved with REDD+ at a global scale as well. Data has been used in research activities, i.e. producing relevant knowledge.

## Section 3: Conclusions and recommendations

### 3.1 Conclusions

CIFOR has been implementing the GCS REDD+ Program in a very challenging environment. It is not only a complex, multi-stakeholder and multi-level environment but also an environment altered by external factors beyond the realm of CIFOR. Politics in policy-making processes, elections and change in staff and decision-makers in partner countries and the fading of REDD+ agenda have hampered the team's progress.

The Theory of Change prepared at the beginning of the Program still makes sense although several assumptions no longer hold or are flawed to a certain extent.

The body of knowledge produced by CIFOR and their partners is robust, relevant and not far from exhaustive. Science products delivered are of high-quality, reliable and often used as references in the academics and research circles. However, many scientific products and findings suffer from a low applicability.

This weakness is obvious in terms of use by decision-makers, policy-planners, supporters and implementers at national, sub-national and landscape level. Publications are too long and too difficult to absorb. This weakness is less obvious at global level where policy-planners and supporters have not reported it as a major obstacle. However, CIFOR teams have solved this problem by delivering products better tailored to their policy audiences: info briefs and policy briefs - a shorter and simplified version of many publications – are well received.

One has to keep in mind that short written products such as policy briefs and info briefs, which cannot be exhaustive and where bodies of evidences cannot be fully developed, are welcomed and used because readers do know what lies beneath and who is behind. Without the existence of a fully documented research<sup>8</sup>, and without CIFOR's undisputed reputation as a producer of rigorous, peer-reviewed and non-partisan research, would short info / policy briefs be credible? We do not think so. In other words, delivery of a multifarious diversity of policy / info briefs without providing beforehand

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<sup>8</sup> That one can refer to if need be.

or simultaneously the solid – and yes, lengthy – scientific writing to back them up could well result in the loss of trust from readers. A bitter unintended outcome to avoid.

The written form of the body of knowledge is often the most difficult one to absorb. Sometimes there are language barriers, education barriers or cultural barriers<sup>9</sup>. Such barriers are usually higher at sub-national or landscape level in comparison to global or national level. A well-known fact, communication is often much more powerful and convincing in a face-to-face dialogue rather than it is through readings. In this respect, some suggested that the permanent presence of GCS REDD+ staff in each targeted country would make a positive difference.

Actually, they primarily meant regular face-to-face engagement with stakeholders. At least two reasons are found behind such requests. Firstly, talks – and the body language that goes with them – deliver more messages and deliver them quicker than long publications that very few read until the end<sup>10</sup>. Secondly, sensitive issues are much easier to debate and convey in talking. Albeit counter-intuitive, talks are often more transparent than written communication in this arena. Eventually, the GCS REDD+ has to strike a trade-off between informing and influencing. They are not the same thing.

The ownership of knowledge and finding is another issue to closely look at. CIFOR was well aware of it and encouraged the co-production of knowledge. Despite their endeavours, some stakeholders do not regard this co-production as a truly joint effort. However, many did and praise the lasting capacity building co-benefit of it. Obviously, in the diverse working environment of the GCS REDD+ teams, capacity building and joint research efforts can take many directions.

We can say and see that the GCS REDD+ has partly achieved the intermediate outcomes. The GCS REDD+ Program is still on the right track and on target albeit the target is moving, i.e. the changing context calls for continuous adaptation and perhaps a review of the final objective that seems out of reach. This mid-term-review is mainly based on a qualitative survey which cannot be used to provide accurate statistics about the degree of achievement. Broadly speaking, when the Theory of Change is contrasted to the work done by the GCS REDD+, we may say that all five modules have delivered what was expected from them in terms of outputs.

The review of the financial efficiency of the GCS REDD+ Program is not included in the terms of reference. However, from both the financial reports and progress reports, spending keeps pace with the level of delivery. It is certainly not a cause for concern.

Engagement and capacity building efforts have been recognised. The GCS REDD+ team has done a lot but not enough. This gap is simply the reality of a huge demand that CIFOR cannot meet with the resources made available to them in the scope of the GCS REDD+. Since REDD+ has evolved into a broader set of topics, what was seen as an achievable objective has now become mission impossible. However, the direction remains valid, hence a theory of change that remains relevant by large.

If there is no major cause of concern, there are many points of attention, translate into recommendations hereafter. It is a management call to set priorities regarding which recommendations to address first, and which ones to leave out. It is hard to translate the next step into a single wish such as “What shall we do to exert more influence on policy-makers and policy-planners?”. It is hard to do so because this question triggers automatically another question such as “How shall we ... ?” and so on and so forth. It is about people, i.e. engagement, knowledge, i.e.

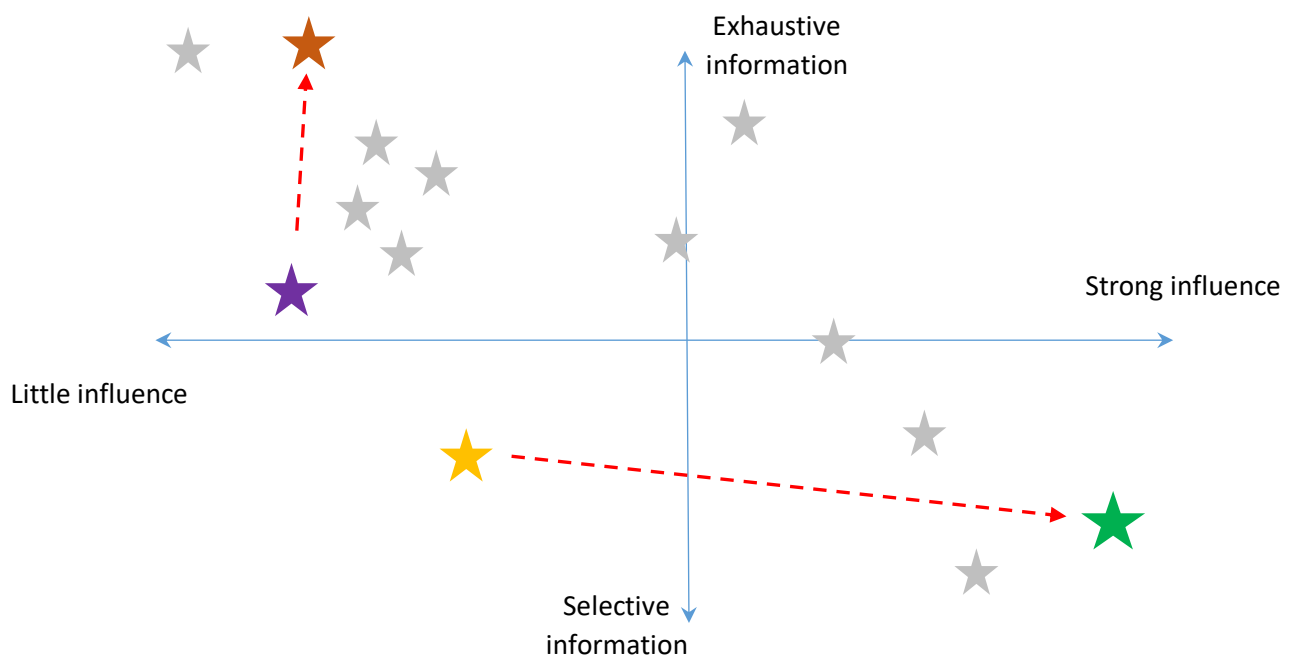
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<sup>9</sup> Ethiopia, DRC.

<sup>10</sup> And even fewer comprehend in full.

information and all in all about – positive - influence. And to track this, a functional MEIA has to be in place.

Obviously, the first step is to set the trade-off between knowledge and influence since resources – time and money for example – are in limited supply.



**Figure 2 – Influence versus Information Map**

The entire pathway to delivering a product (a star) may carry both information and influence weight. The demand varies among stakeholders. Some wish to be informed and some do not want to be saturated with information. Some do not want to be influenced or do not want to appear being influenced. Many issues related to REDD+ are policy issues and many are not. It is diverse, hence dozens of publications and workshops every year. Grey stars represent current positions of existing outputs<sup>11</sup>.

An issue or an opportunity will be translated into a “research question”, and finally a product, here above represented by a star. A BAU approach will result in a position of the product (yellow star) in terms of information and influence. Providing there is an operating MEIA in place, this can be addressed as a segment of the pathways (the red arrow), between research and impact. The MEIA can help to audit the process, through the lenses of the theory of constraints. It first starts with finding the bottleneck, and subsequently, identifying corrective actions and the resources associated to them. Such actions are undertaken in order to achieve a greater influence level. Some stakeholders do not want to be influenced but wish to get a well-rounded picture of the issue. The product designed

<sup>11</sup> Actually, as time goes by, some of them may still evolve.

according to BAU (purple star) would then have to follow another way. In both cases, the MEIA and finding the bottleneck can help.

Following this analysis allows to work with a single Theory of Change for the entire GCS. It is less time consuming to explore the section of specific pathways under the control – or mainly under the control – of CIFOR rather than developing country or case-specific theory of change and their nexus of assumptions.

The bottleneck can be found in many different forms. It can be the type of social media to use. It can be the frequency and intensity of face-to-face dialogues, it can be a vested interest sitting in the way of positive change, it can be a matter of capacity building, etc. Improving this section of the pathway will incur some costs. Will it worth it? A management call here. In line with the theory of constraints, once a bottleneck has been dealt with, another one appears, i.e. the monitoring function of the MEIA has to be used in an iterative way. This approach may help module leads and GCS REDD+ Management to make decisions and set priorities when dealing with recommendations.

## 3.2 Recommendations

### 3.2.1 Specific recommendations

ODI conducted the evaluation of GCS REDD+ phase two. Their evaluation team suggested relevant recommendations. All of them were taken into account and the vast majority of them have been fully or partly addressed (see table 6 below).

**Table 6** – How GCS REDD+ Program has addressed Recommendations made at the End of the previous Phase?

Recommendations from ODI (2015; pp. 30-34)	From “To be done” to “Addressed”	Illustrative evidence(s) and/or remark(s)
Identify REDD+ policy trajectories (International vs. national levels) to maximise the chance of CIFOR’s research outputs influencing policy audiences	Mostly addressed	Proper trajectories, but in some case knowledge product formats carry little influence
Produce a short strategy document outlying what makes for the best ‘match’ between CIFOR and its collaborating organisations (type of partnership being sought)	To be done	No evidences that it was addressed
Provide guidance on how to optimise the trade-offs between the 3E+ criteria under REDD+ schemes	Partly addressed	No formal guide provided to users
Maintain the emphasis on rigorous research	Addressed	CIFOR researches are generally seen as highly scientific, rigorous, globally comparative, comprehensive; and based on long-time scale and comprehensive frameworks
Be realistic with policy objectives	Partly addressed	CIFOR’s policy brief format is generally well appreciated; but their findings not always

		institutionalized mainly because of a lack of policy advocacy
Understand and address the politics of policy processes	Partly addressed depending on the national context	Addressed e.g. in Ethiopia, not yet in Vietnam where the policy process is said by informants to be informal
Identify the most appropriate balance between policy-relevant and more fundamental research	Addressed given the trade-off nature of such a balance	Cf. table 3 summarizing the statistics on outputs
Adopt a Theory of Change approach for all projects and project proposals	/	Being replaced by the recommendations section this current mid-term review
Improve communications and engagement	Properly addressed although there is room for continuous improvement	Cf. table of opportunities for improvement in <b>Annex 6</b> .
Identify the right balance between science and communication in different contexts	Partly addressed depending on the national context	Cf. table of opportunities for improvement in <b>Annex 6</b> .
Improve project management processes	Addressed	No evidence that this hasn't been addressed
Increase emphasis on M&E	Still valid	Data and information available but no formal operating MEIA in place
Develop a generic Theory of Change both to guide the development of a specific Theory of Change for each project and to explain its general approach to donors and other stakeholders	Generic Theory of Change developed and still valid	Specific Theory of Change deemed unnecessary
<i>COR approach-related</i> Ensure that all participants understand the principles of the approach, especially the importance of the consultative processes (co-analysis of the results; co-production of the conclusions and recommendations during workshops)	Addressed as reported by most of the key informants	In some cases, there is an in-depth debate regarding CIFOR's forms of partnership
<i>COR approach-related</i> Make sure there is a sound Theory of Change at the start of the assessment	Addressed	No evidence that this hasn't been addressed
<i>COR approach-related</i> Make as much use as possible of (relevant!) existing information	Body of knowledge seems sufficient; applicability to be improved	Cf. table of opportunities for improvement in <b>Annex 6</b> .
<i>COR approach-related</i> When relevant, ensure effective coordination of the (new) data collection phase – knowledge, skills,	There is a general agreement that this has been addressed	But private sector's and/or local communities' points of view not always fully conveyed in the publications / discourses

time, standardization, start/mid-point/end meetings		
<i>COR approach-related</i> Produce intermediate products in time and in the right format	Partially addressed	“Right format”: addressed “Produced in time”: met on a case by case basis
<i>COR approach-related</i> Allow enough time in the various workshops to synthesise the data and agree the conclusions and recommendations	Addressed	No evidence that this hasn’t been addressed

Recommendations mentioned here above are still valid, except for the recommendation on developing country-specific Theory of Change.

Key informants suggested a long list of opportunities to improve influence. It is unnecessary to write them down twice (see unit 2.1). In addition, country-specific recommendations are given as an answer to KEQ #1.2 “What opportunities are there for the project to modify their activities to ensure continuing relevance?”

Opportunities for improvement suggested across the categories of informants were derived from the survey. These are listed in **Annex 6**.

### 3.2.2 Recommendations on the Approach and Theory of Change

The approach chosen by CIFOR in implementing the GCS REDD+ Program is fruitful. Generally speaking, it is wise to carry on activities using the same approach because any radical change could be detrimental given the short remaining period of implementation, i.e. 18 months. There is no silver bullet to improve neither the pace of output delivery nor the influence the Program module leads wish to exert on policy-planning and policy-making. A change in the approach is likely to result in losing benefits from the learning curve developed for the last nine years. Consequently, no major change is recommended here, since adaptive engagement and specific recommendations are compatible with the general approach.

The Theory of Change remains valid and can be used until the end of the Program. Several assumptions need to be closely monitored (see **Annex 5**). The pathways deserve some particular attention. The GCS REDD+ Program aims at achieving outcomes themselves resulting in positive impacts. The MEIA system will allow to systematically record the chain of events. Therefore, the process analysis suggested above and illustrated in **Figure 2** will help tracing the section of the pathway of influence. The combination of a process analysis with the MEIA system could be applied to selected policy trajectory. The module team does not need to explore all knowledge products and all stakeholders involved in every country as well as globally. Instead, the Program could closely monitor up to four selected policy trajectories while implementing all specific recommendations relevant to those cases. So, depth is preferred over width here. We firmly believe that these exercises will return very valuable learning on the Theory of Change and the pivotal role played by key stakeholders along the pathways.



## ANNEXES

### Annex 1 - Detailed GCS Module Outlines

#### Module 1: Towards effective policies and measures at the national level

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Earlier comparative analysis of policy processes at national levels has shown that REDD+ only takes off in countries with a strong national ownership of the process. We have also found that powerful coalitions of State and business actors in favour of business-as-usual activity of deforestation and forest degradation often can hinder transformational change and may explain some of the delays in REDD+ implementation (Brockhaus and Di Gregorio 2014). Identifying the discourses, incentive structures and power relations in national policy arenas is key to understand how to achieve transformational change. Coalitions of public and private actors have designed market-based and/or demand-led policy instruments to influence land use – e.g. certification, zoning, commodity roundtables, moratoria, and payments for environmental services. Those hybrid approaches (Lambin *et al.* 2014) could facilitate recently announced zero-deforestation commitments of the private sector. However, there are questions on how efforts to implement such commitments in developing countries will actually contribute to an effective and equitable REDD+ implementation. Further, we want to investigate the role of the State in enabling this, in combination with other policies and measures, e.g. by removing subsidies and by regulating large-scale land conversions. In addition to contributing to a deeper understanding of drivers and policy responses in terms of costs and benefits, our prior research also indicates the need to inform countries of design options for core elements of their REDD+ architecture: e.g. for finance and benefit sharing mechanisms, safeguard information systems, institutional design of MRV systems. - Module 1 will take a two-pronged approach to provide decision-makers in REDD+ countries with guidance, tools and information:

**a. Undertake new research to understand how other global and national processes and agendas, including green economy, zero deforestation and sustainable supply chains, can support effective REDD+ implementation.** Module 1 will respond to the growing interest in private sector initiatives for building deforestation-free supply chains by integrating new research that addresses how private sector actors have changed deforestation-driving behaviour, and effectively reduced pressure on forests, by moving from rhetoric to measurable voluntary commitments that are carbon effective, and that avoid national and international leakage. We will investigate how actors' motivation, interests and power dynamics influence the discourse around private sector engagement, analyse changes in institutional practices, and assess implications for carbon and non-carbon benefits of these private, public and hybrid initiatives, policies and measures.

**b. Continue to build on and deepen our ongoing comparative analysis of REDD+ related policy processes and assess REDD+ performance and results at national levels over time.** In light of current and anticipated future REDD+ policy dynamics, our information will ensure that governments in REDD+ countries have understood the required transformational change needed to achieve REDD+ outcomes, in and beyond the forestry sector; it will ensure that decision-makers at all levels have clearly defined objectives of domestic benefit- and cost-sharing mechanisms, and understand the trade-offs among effectiveness, efficiency, and equity of different options when designing incentive structures. We will do so by: (1) analysing the institutional context, policy networks and discourses, and updating databases for comparison and longitudinal studies; (2) deepening comparative analysis of REDD+ political economy by using the 4 I's framework (institutions, ideas, interests and information); and (3) expanding research on REDD+ and equity with particular focus on inclusiveness of policy processes, benefit sharing, tenure, indigenous peoples rights, safeguards, and the role of gender in REDD+ in a multi-level governance structure (interviews, focus group discussions, discourse and power analysis).



Module 1 will generate evidence about what works and what does not to support policy making and implementation. We will try to answer questions such as: (a) what are the roles of international actors and coalitions in shaping REDD+ and how these constellations affect national REDD+ policy arenas and financing of incentive structures? (b) What are the most effective policies and measures (PAMs) to ensure efficient implementation and assessment of REDD+ outcomes across levels of government, while also addressing equity implications (gender relations, rights, tenure) of such measures? How do enforcement mechanisms ensure transparency and legality? What are design options for safeguards and benefit sharing mechanisms at country level? And (c) How do global trade and investment patterns and green economy transformations affect discourses and policies for equitable REDD+ outcomes? What are carbon effectiveness, cost efficiency and equity implications of measures undertaken by consumer and producer states, how can this be monitored, and how effective is self-regulation by private sector actors in deforestation-driving commodity chains?

## Module 2: Assessing the performance of sub-national and private corporate initiatives

**Module 2 will continue its impact assessment of REDD+ results on the ground and will thus provide a “reality check” for REDD+ policies and measures.** We will conduct performance assessments at the subnational level to share experiences and improve decision-making in proponent organizations, and to inform processes at higher levels, particularly as they relate to REDD+ policies, measures and safeguards. Conditional payments, initially the core of REDD+, have for the time being been largely replaced by a diversity of intervention strategies. Limited funding, lack of secure tenure, inadequate linkage of local activities to higher level policies, difficulties in monitoring small-scale mosaic deforestation and degradation, and difficulty of assuring social co-benefits due to the heterogeneity of livelihood strategies, all pose significant challenges for REDD+ implementation.

Module 2 will conduct an in-depth survey of proponent organizations to assess attainment of the 3E outcomes in light of the key challenges to subnational REDD+ implementation just listed. There will be strong collaboration with Modules 1 and 4 to take stock of the opportunities and challenges posed by national and subnational policies. The in-depth survey will provide an opportunity to integrate new research analysing the potential synergies between subnational REDD+ and private sector initiatives (zero deforestation pledges, sustainable supply chain intervention, moratoria on forest conversion) where they are conducted in the same landscape. More in-depth analysis of these potential synergies will be conducted at two subnational sites: one in Pará, Brazil focused on beef, and another in Kalimantan, Indonesia focused on oil palm. Module 2 will also continue detailed assessment of attainment of the 3E outcomes at a subset of the 23 initiatives investigated in the period 2009-2015.

**a. Survey of subnational REDD+ proponent organizations.** Module 2 intends to conduct in-depth interviews with representatives of about 20% of the existing 327 proponent organizations (focusing on activities in 8 NICFI priority countries: Brazil, DRC, Ethiopia, Guyana, Indonesia, Myanmar, Peru and Vietnam). This sample will encompass more than 75% of the entire global area of subnational REDD+. The sample will include 30 of the 59 existing jurisdictional scale organizations (51% sample), with priority attention to the 24 member organizations of the Governors’ Climate and Forests Task Force (GCF). The sample will also include 40 of the 268 project-scale organizations (15% sample); stratified half-half between private for-profit and private non-profit organizations.

The survey will provide in-depth information on the challenges of fulfilling the 3E criteria in subnational REDD+ and derive policy and technical lessons for success. The survey results will provide feedback to the policy process for improvement of PAMs and safeguards, and assist decision-making by proponents and policy-makers. The content of the survey will be complementary to concurrent field research by Module 1 on national policies, and by Module 4 on subnational governance context in which proponent organizations operate, and on corporate initiatives. Modules 1, 3, and 4 will be able to incorporate questions of special interest to their thematic areas in this survey. The survey will examine the

challenges of subnational REDD+ implementation in six thematic areas: finances; tenure; scale (multi-level governance); social and environmental safeguards; MRV; and (where applicable) the interaction of the initiatives with corporate zero-deforestation efforts.

- a. **Return to a subset of the 23 subnational initiatives researched in 2009-2015.** In the period 2017-2019 Module 2 intends to return to 8 of the 23 sites researched in 2009-2015 to collect a third round of counter-factual (comparison of REDD+ and non-REDD+) socioeconomic and biophysical data. The sample of 8 sites includes 4 at the jurisdictional scale (Acre, Cotriguaçu, and São Felix in Brazil, TNC Berau in Indonesia) and 4 at the project scale (Madre de Dios in Peru, Transamazon in Brazil, and Katingan and KCCP in Indonesia). Though few in number, these 8 initiatives encompass more than a third of the total current area in subnational REDD+ (because of the inclusion of Acre and São Felix which are country-sized), and therefore promise to give an important dividend of research insights on what has been going right and wrong in REDD+ across a period of ten years (2009-2019).

### Module 3: Forest Monitoring, Measurement, Reporting and Verification (MMRV)

***The objective of this module is to improve procedures and practices for estimating and managing carbon stocks of tropical forest landscapes, and to use the data actively in REL setting, evaluating performance, and identifying hotspots and mitigation actions.*** REDD+ monitoring and related capacities have developed, but MRV continues to be a technical constraint to REDD+ demonstration activities, jurisdictional emissions reductions efforts, and to national REDD+ programmes. Our current research shows that capacity to detect forest area change is reasonably good in many non-Annex 1 countries and has improved over the past ten years in sub-Saharan Africa and Latin America. Forest inventory capacity was already good/very good in Asia and has increased in sub-Saharan Africa and Latin America. Capacities for carbon reporting remain limited or intermediate across most non-Annex 1 countries and there has been little progress over the past 5 years. A further challenge is to actively use the generated data to enable REDD+ implementation: identify drivers and hotspots as a basis for targeted policies, and setting RELs to measure performance and providing financial incentives. - The underlying theme of the research in this new project will be improving data availability and quality to support forest monitoring, broadening GHG measurements and reporting by particularly targeting:

**a. Integrating drivers into RELs and MRV.** We will continue to work on the “stepwise approach” for setting reference emissions levels (RELs) (developed in this project), particularly Steps 2 and 3 for setting RL/RELs at different scales and understand the links between national and sub-national RELs. We will track the improvements and success factors in national forest monitoring capacity for specific country cases (Ethiopia, Guyana, Indonesia, and Peru) and on in all non-Annex 1 countries (based on FAO FRA 2015) and determine how capacity-building can be made more effective. We will conduct a forest change analysis to assess drivers for forest gains and losses for Peru, Vietnam, Myanmar, Indonesia and Brazil on national scales with country partners to develop driver-specific recommendations for an integrated approach to monitoring systems and performance reporting. We will also look at how information provided through measurement and reporting exercises leads to formulation of more effective REDD+ policies, and evaluation of policy results. We will develop concepts and test uptake of new driver information and stepwise improvements of FRELs in Vietnam, Indonesia, Peru and Brazil.

**b. Improved carbon reporting.** We will enhance the partnership of CIFOR with national research organization and establish capacities to measure forest and agriculture-related emission/removal factors to fill key gaps for better national and sub-national land use sector GHG assessments. The work will blend literature reviews and field measurements, and will contribute to building national capacity through the co-production and joint analysis to produce emission factors, expansion factors and other information required for Tier 2 and Tier 3 greenhouse gas inventories. We intend to develop a concept

and implement two case studies on linking REDD+ in landscapes and climate smart agriculture in Vietnam and Brazil. We also plan to assess land use sector emissions and removal hot spots (incl. forests and agriculture) for mitigation planning and target setting in countries as subset of a pan-tropical analysis for Vietnam, Myanmar, Ethiopia, and Brazil.

**c. Increased participation.** We will assess the needs of different REDD+ stakeholders (e.g. private sector, non-governmental organizations, donors, etc.) for independent and transparent monitoring through a comprehensive survey and develop a framework on how different stakeholder can benefit from new data and tools for their REDD+ engagement. This survey will allow stakeholder to revise and come to a consensus with national stakeholders on country specific research needs and the priorities for national capacity building plans that can be integrated into MRV roadmaps to guide and focus dedicated research activities. The work will also contribute to improving emission factors through dedicated research campaigns with national partners (Ethiopia, Guyana, Indonesia, Peru, and Vietnam) in particular for emissions from peat soils, and emissions and removals associated with different drivers of deforestation, forest degradation, and forest conservation. We want to operationalize the linkage between local and national forest monitoring through participatory approaches with multiple stakeholder through case studies in Peru and Ethiopia.

The team will integrate knowledge generated in the different activity areas into comprehensive guidance for dealing with multiple drivers of deforestation, forest degradation, and forest conservation that operate at different temporal and spatial scales. The information generated in this Module will contribute to more effective and efficient implementation of REDD+ and related monitoring. Ultimately, information generated from fully functioning MRV systems that account for different drivers will be the basis for equitable benefit-sharing in national REDD+ initiatives.

#### Module 4: Integrating REDD+ measures with development goals at landscape level

**Module 4 asks how REDD+ activities and outcomes can be embedded in the broader development agenda.** This module looks at policy processes across land-based sectors, how these relate to REDD+ and how the objectives can be aligned. It particularly addresses the challenges of multilevel and multisectoral coordination of REDD+ outcomes. Earlier research has shown that subnational governments face challenges related to sectoral divisions and uncoordinated policymaking at different levels. Their authority is often limited by central government powers over land use. Even when lower level governments do have authority, environment and development decisions are still made in separate offices and often work at cross-purposes.

Module 4 research will address challenges and opportunities of cross-sectoral policy coordination by exploring the potential of “landscape approaches” and look at how broader development policies can limit or help achieve REDD+ outcomes. The research outputs will support international climate regimes focused on involving sub-national governments, enable sub-national governments and networks of actors to better facilitate low-emission development, and explore sub-national governments’ options for productive engagement with the private sector. We will study land use decision making processes in subnational jurisdictions to understand how weighting of policy objectives (e.g. analysis of preferences) encompasses REDD+ priorities, as well as the influence of collective organization and south-south exchanges (particularly GCF Task Force States, which form an important coalition of sub-national actors promoting low-emission development). We will conduct a global analysis of the experiences with multi-stakeholder fora and consultation processes to identify lessons for cross-sectoral coordination and legitimate 3E outcomes. Lessons learned from global, landscape-level analyses will enable sub-national actors to build more effective mechanisms for coordination and consultation; and tools will provide a better understanding of trade-offs, so that subnational policies and initiatives contribute to REDD+ objectives.

**a. Engaging with global and sub-national partners to improve governance - global and targeted analyses of multi-stakeholder platforms.** Desk reviews and targeted interviews will be used to collect data on key variables related to multi-stakeholder platforms. Independent variables will include, for example: the composition of multi-stakeholder spaces in terms of the types of organizations that participate; whether they meet to fulfil a legal requirement or are voluntary; the role of the government in the forum; and the rules that govern these spaces. Outcome variables will include, for example: the number of policies influenced; the number of agreements among actors that these spaces have facilitated; and the extent to which key informants describe them as legitimate and effective. Statistical analyses will be used to explore the drivers of different outcomes in these spaces. We will conduct further in-depth research on multi-stakeholder spaces in three sites by engaging directly with them. Participant observation will be used to collect further ethnographic data, informed by results of the desk review. Topics will include the politics of these spaces, barriers to their effectiveness and issues of power. The aim is understanding what allows these fora to influence policies and support low emissions development. Results and best practices will be disseminated through these fora and more broadly, with a focus on key jurisdictions such as GCF member states.

**b. Politics and scenarios in subnational jurisdictions - *Analysing the politics of sub-national landscape governance*.** Interviews will be conducted alongside Module 2 work with sub-national initiatives to explore deeply how decisions are made around land use in sub-national jurisdictions. We will interview a selection of subnational government planning offices, agricultural offices, mining and other relevant sectoral development offices, elected officials, GCF Taskforce focal points, and thought leaders. Key questions and topics for analysis will include: how do sectoral offices and land use planning processes support low-emissions development? To what extent do potential revenues from different land uses shape land-use decisions? How is cross-sectoral and multilevel coordination perceived? What enables such coordination? What is the role of collective organization and South-South exchanges such as the GCF Taskforce - do sub-national actors believe that they really affect decision-making around land use? What are the barriers to such networks and platforms being more effective and legitimate? How and to what extent are zero deforestation initiatives recognized and supported by sub-national actors?

***Historical and future scenarios of landscape goods and ecosystem services.*** We will analyse how landscape changes have affected multiple stakeholders in the past. We will assess and map the provision of landscape goods and services (e.g. food, carbon, water regulation) and the implications of the changes in goods and services for stakeholders at local, regional and global levels. Scenarios of possible future landscape changes will be developed during workshops with stakeholders and their implications for goods and services will be assessed. We will analyse trade-offs between these scenarios using existing tools such as InVEST (Integrated Valuation of Environmental Services and Tradeoffs), ARIES (Artificial Intelligence for Ecosystem Services) or TESSA (Toolkit for Ecosystem Service Site-Based Assessment). We will also develop an enhanced version of the CarboScan tool for analysing carbon outcomes in different future scenarios of land use at the landscape scale. These tools will be disseminated to key stakeholders through sub-national multi-stakeholder platforms.

**c. Assessment of the implementation of private sector commitments - risks and opportunities.** We will carry out an assessment of private sector engagement in subnational landscapes, including their linkages with public sector interventions. We will analyse their role in multistakeholder forums including emerging platforms (incl. private sector and voluntary consultative fora like roundtables) and policy processes (e.g. FPIC). We will inform with outcomes from our research on approaches to alignment with subnational multistakeholder forums and REDD+ objectives at landscape level.

## Annex 2 – Overview Context and Influence in Targeted Countries

### Peru

#### Context overview

Peru is a country with diverse contexts even within the Amazonian region. It was championed as one of the early starters in REDD+ due to the diversity of REDD+ projects in the country since 2008. More recently it has been struck by a number of high-level corruption cases coming to light and there have been some significant changes in government which have led to administrative changes within the departments overseeing REDD+. A national framework for REDD was defined although there is still work being done on safeguards and other elements which would facilitate REDD+ in Peru.

Currently it is the Environment Ministry (MINAM) who has the mandate to oversee the REDD+ process and this effort is supported by a number of funding streams including UN-REDD and the Joint Declaration of Intention between the Governments of Norway and Germany, FCPF and FIP. Whilst these funds have played a significant role in moving the REDD process forward there are concerns that there is a lack of articulation of funding towards a national REDD+ strategy.

The lack of clarity may also be playing a part in causing confusion over how all of these different projects are integrated into the national programme. These projects and others have been instrumental in strengthening capacities and it is felt that there are well trained and capable people working on REDD+ within government helping to move the process forward. Particularly in the last 5 years of preparation of REDD, the technical capabilities have been strengthened tremendously. This is reflected in the work on monitoring and reporting and the establishment of platforms such as Geobosques which are important for early alerts and monitoring forest cover data.

The technical themes of MRV and diagnostics for deforestation have been taken up by the Programa Bosques, and numerous actors have highlighted that the consolidation of this work with technically solid data has supported the REDD+ process in terms of MRV.

The head of the Climate Change Department, Rosa Morales, is also very familiar with these themes and has participated in the COPs and other civil society spaces, which gives people confidence in her leadership. It is the Climate Change Direction which is the focal point for REDD+ and it had been responsible for implementing the projects such as the Joint Declaration of Intent (DCI).

There have been ongoing problems in relation to mandates and competencies in relation to REDD+ which may still need to be overcome especially as it is the Ministry of Environment who oversees REDD+ and not the National Forest Authority (SERFOR) which is part of the Ministry for Agriculture and Irrigation (MINAGRI). In this regard, it is actually SERFOR who has the authority and has the competencies to take decisions and actions in relation to the forests in Peru. While one of the biggest drivers for deforestation is agriculture and up until recently it was felt that there was insufficient coordination between these different ministries, as well as contestations over funding streams and activities in relation to mandates and competencies. There is concern that without fluid dialogue between the different sectors and ministries the action in terms of implementation of REDD+ on the ground may be affected. MINAM is able to define the policies but the other sectors and regional governments in the end need to be the ones implementing them.

There are also still gaps in terms of technical capacities at a regional level in order for successful implementation. It is hoped that with the new Climate Change law and regulations will provide clarity in terms of sectorial competencies and aid the smooth implementation of activities in relation to REDD.

With regard to inter-sectorial coordination there is optimism in terms of the advances as one actor manifest that “It is still not the level of coordination desired, but it has improved a lot, especially work hand in hand with the Ministry for Agriculture, knowing that two of the major drivers for deforestation are commanded by this sector. One of the drivers is small scale migratory agriculture and the other is large plantations on grand scale, commercial plantations. And so all of these drivers, including the cattle farming which is another driver are under the baton of this sector and so for this reason it is important to work with this sector” (transcript PI04).

Despite steps towards increased participation of diverse sectors and ministries in the work on conservation and REDD, some actors feel that key sectors are still missing from the discussion such as the Ministry for Economy and Finance (MEF) and MIMDES, the Ministry for Women and Social Development). This agency oversees social programmes and it is felt that there should be more alignment between development and conservation objectives.

Under MINAM, the Programa Bosques (Forest Programme) has been implementing a programme of direct conditional transfers. This programme has done a lot of work in terms of zoning in indigenous communities in order to facilitate forest monitoring with the aim of contributing to the international agreement of conserving 54 million hectares of forests.

Recent changes include the development of the National Strategy for Forests and Climate Change which involved participation from civil society and other organizations in the development of this framework. CIFOR also provided input for this document, some of this input was finally included in the final report. The improvements in terms of mechanisms for participation has been considered positive and this has in many ways been facilitated by the REDD+ process underway in the country. More recently MINAM has installed a space called “Dialoguemos” (“let’s talk”) which has allowed for increased participation of different sectors in the decision-making process and addresses topics including DCI, regulations and indigenous communities. There are five macroregional workshops planned with spaces for the private sector, and expert committees to contribute to ongoing processes in the country. It is felt that this initiative will facilitate more aligned and smoother implementation of REDD+.

The concept of REDD+ within Peru has been greatly influenced by many of the early REDD+ projects and this has had an effect on how people in the regions have come to understand REDD, and especially in relation to the direct financial benefits which are now being associated with this. In great part this perception relates to the initial REDD+ projects which were undertaken before there were clear national policies, instruments and tools. There is also skepticism especially at a regional level in terms of the focus of REDD+ with a shift to discussions related to low emissions development and more of a landscape view.

A number of informants mentioned that at a regional level they do not talk about REDD+ at all, so whilst their activities are essentially REDD, they do not use this terminology. There is also a feeling that REDD, as a mechanism has failed to materialize due to the lack of benefits for local stakeholders that were hoped for. For example, one actor mentioned “They don’t understand because maybe it’s because we don’t really talk directly about REDD+ but rather about forest conservation and reducing deforestation but if you talk to them about REDD, then it is not well disseminated. What does this mean and what is implied? It needs to be shared with the people who live in the Amazon. Also, it is perceived as being related to payments and this is the message which was given out” (transcript PI05). There is also concern that the benefits failed to trickle down to the regional level due to the centralized management of the programme from Lima and through management of funds at a national level.



Despite this there have been some interesting advances at a regional level in relation to REDD+ and other low emissions development strategies and it is hoped that the changes to regional governments in January will not have an effect on the gains so far.

Regarding the Climate Change law, it is noteworthy to report that the recent Framework Law for Climate Change was emitted, and this is currently under consultation with a view to the development of regulations and guidelines. This law outlines the responsibilities of regional government in relation to actions for mitigation and adaptation and establishes the Ministry of Environment as the governing body providing the institutional clarity needed for action on climate change. Whilst the central coordination will come from MINAM the sectorial competencies are also considered within this framework and as such climate change is now a cross cutting issue across levels of government.

This context is set to influence REDD+ discussions and implementation plans in Peru with potential for direct engagement with regional government as their roles are more clearly defined. This framework law has made some changes to the organic laws for regional and local governments and there is optimism that the direct participation of these actors in the drafting of the guidelines will facilitate implementation in the regions.

There have been some interesting developments at a regional level and in particular in relation to the Forest and Climate Governor's Taskforce (GCF) as this brings together six regional governments from the Amazon, San Martin, Amazonas, Loreto, Ucayali, Madre de Dios and Huanuco as well as the regional government of Piura. The platform is coordinated by MDA in Peru and the principal axis of their work has been related to rural low emission development, forests and climate change. There is also a push to develop strategies which emphasize the sustainability factor through aligning classic development with productive aspects and the principle of inclusion.

There are efforts to combine protection and production in these strategies. In this regard there has been a shift away from REDD+ as such with more focus on low emissions development strategies at a regional level. There is a feeling that the shift away from a focus on REDD+ is also at an international level with one actor mentioning the "This is reflected also at an international level. We have just finished participating in Oslo in the biannual meeting, which is driven by the Norwegian cooperation which is the most active in these themes and we were surprised to see that they have changed the name of the event.

This event was called Oslo REDD+ before and now it is called Forum for the development of tropical forests. They have changed the name and the thematic seems to be more related to low emissions development than what was understood classically as REDD. The same has happened in the country, we see initiatives that started on the side of the REDD+ projects, which have verified carbon stocks and have started and there about 5 important ones in Peru and then they passed through a phase when they were thinking about jurisdictional REDD+ and started the REDD+ working groups (mesa REDD) principally in San Martin, Madre de Dios and a little more slowly in Ucayali and Loreto" (transcript PS02).

Other interesting changes have been felt at a regional level in relation to the discussion of climate change. There is a feeling on the part of CIFOR scientists working also in the Andean regions that regional policymakers have been working on the development of climate change agendas and resource management plans that integrate both mitigation and adaptation in relation to climate change. And this shift is thought to be more recently, in the last couple of years, where climate change is being integrated into regional development plans. Although it is difficult to make generalizations across regions in Peru due to the very diverse contexts in each one. The context varies depending on the government in charge and the regional priorities and activities that they define. For example, Madre de Dios has been characterized by a focus on gold mining while regions such as San Martin in relation

to agriculture and Loreto has focused on infrastructure development and in particular roads due to its isolation geographically.

The strength of the GCF Taskforce is in constructing visions and approaches together as well as sharing and learning from experiences from other countries. “And this will change a lot the way in which they are going to operate because including themes such as the benefits sharing associated with the contributions that each area/zone has or that each project could have, are going to change. In fact in the GCF platform we have been able to see experiences from the pioneering jurisdictions, such as those in Acre, Brazil, who have an agreement with KFW to reduce emissions in the state but in reality the way in which they are developing the activities internally has little to do with what was considered classical REDD+ strategies. They are developing agricultural activities low in emissions and seeing how they potentiate the bio-business of the forests or sustainable forest management and this highlights how the logic is changing in terms of how this is operating” (Transcript PS02).

This also coincides with a more general change which is being felt in the markets who are increasingly demanding agricultural products from jurisdictions low in deforestation. Regions such as San Martin have promoted public policies and guidelines in relation to reducing deforestation via sustainable investments and promoting sustainable private investment.

Within this regional and national context there are also important voices and positions coming from the indigenous sector who in particular have created their own spaces and have defined their agendas in relation to what is going on at a national level. They have been very active in the participatory processes and spaces in relation to climate change and have also promoted their own ideas such as the Amazon Indigenous REDD+ as a response. This idea takes into consideration their own longer-term vision for the Amazon and includes both territorial and forest security as well as concepts such as living well.

There are also other regional organizations linked to the government such as IIAP, the Institute for Investigation of the Peruvian Amazon, who are working with the objective of preserving the forests and seeking economic alternatives for the forest-based populations. So whilst the mandate comes from MINAM and the department for Climate Change increasingly it seems that at a regional level the strategies being developed are in relation to low carbon development and it is the companies and subnational governments as well as other actors who are pushing this forward.

The NGOs are very active and empowered in Peru and there are a number of spaces which they convene in relation to REDD+. One of the most important is the National REDD+ group which has been going since 2010. This is a group who meets once a month or more often and is composed of civil society organizations and NGOs. There are some private companies who are also part of the group but very few. Due to the age and momentum in the REDD+ group it is felt that this is an important space for discussion and dialogue as well as information sharing and has proved important for providing both technical and other advice on REDD.

Many of the organizations who are part of the group are also working on REDD+ related projects and activities in the regions. MINAM attends the group once a month and this is an important opportunity to hear about updates directly and also to influence activities, plans and documents coming from the Ministry with impact at a knowledge to policy interface. There are side groups which have come out of the REDD+ group in order to address specific topics or areas of work and these have been useful in bringing actors together on themes such as land tenure or MRV. Other government departments have also been invited to participate in these spaces to address the specific needs of the sub groups.

The organizations which have been most active in the group and in general with activities related to climate change in Peru include NGOs such as SPDA, DAR, WWF, CI, IBC and many of these have offices



in the regions and have been following the REDD+ process in Peru over the last few years. The REDD+ group provides stability to many of the REDD+ processes in Peru and acts as an institutional memory on what has gone before in the face of frequent changes in government at both a national and regional level. The close relationship that this group has with government also provides a perfect avenue to directly place knowledge products of relevance and CIFOR has been strategic in its participation in this group, harnessing the momentum and contributing to the agendas being developed. As one informant described “It is where we hope platforms like the REDD+ national group can help with the thinking and planning on how to think about REDD+ as a process and to see what has been happening in the past as well” (interview PS06).

Supporting the alignment of the REDD+ agenda and with the different REDD+ projects has been something that the REDD+ group has been involved in and especially given the fact that there are a number of parallel participatory processes being undertaken in Peru with regards to REDD. There are the consultation processes for the DCI, the UNREDD, and now for the Climate Change Law which, it is thought, could cause confusion at the ground level in actors who are not necessarily familiar with how each of these projects or initiatives fits into the overall MINAM agenda.

International cooperation has been very instrumental in pushing forward the REDD+ agenda in Peru along with funding streams such as the FIP, FCPF. Whilst at the same time it is felt that there has been a lack of alignment between donor agendas and activities which has created some confusion. There are sometimes overlaps in projects which create expectations in communities regarding the outcomes and benefits for them and the requirements of each fund also can make implementation difficult as the Ministries are working according to different requirements and approaches simultaneously while trying to implement.

There is also a worry that there is a need for a longer-term vision rather than being focused on the project timescales to ensure sustainability of actions over time. Important steps have been taken in this direction with the frameworks and guidelines being developed currently by the government such as the Climate Change Law and the National Strategy for Forests and Climate Change.

While scientific information is necessary and useful for designing and implementing some participants expressed that sometimes there was too much information and this “noise” made decision making difficult as it is impossible to keep up with everything produced and feed it all into plans.

“I think that donors also create a little bit of this sound and delays because I also think that they finance local level, regional level, national level and international level projects and so it is hard to coordinate among these levels and not necessarily the local projects have the same aim as the national ones so this is also a little bit of the constraints politically that you should be aware of” (interview PI02).

The Declaration of Intent (DCI) has been interesting as it allowed for the development of key areas needed for REDD+ to work such as advocating for good governance, transparency and participation. As a result, this has moved initiatives such as setting up of the board for the Forestry Service as well as establishing opportunities for increased participation of civil society organizations in decision making.

The development of the safeguards process in Peru has had a lot of funding from the FCPF and this is still a work in progress as a final draft has not as yet been approved.

Illustrations of some promising practices of different research to influence strategies being implemented

Importance of personal relationships to place knowledge directly into the hands of key stakeholders for example the inclusion of CIFOR contributions to the National Strategy for Forests and Climate Change (R03, R05).

Capacity building opportunities for students has resulted in some students taking up important roles in government or other institutions with direct decision- making powers (R05). Also, key to facilitating community relationships (R03).

Some examples of positive CIFOR contributions were:

*"I actually got to know Kristell [Hergoualc'h] from there because when I was working building the emissions factors Kristell was also attending, I had a few meetings to get feedback and this was something very interesting for me to have because I was handling a problem without being able to know how to solve it. So, I saw there was some level of participation in that way and I wasn't directly involved in that, but I also saw that CIFOR was for instance, working with the Programa Bosques" (interview PI02).*

*"All science should be done that way, but I like more practical science. I think CIFOR does a lot of this - like monitoring, assessing ways of monitoring degradation, give the emissions factors for the government to use in future reports or the kinds of research that they have been doing in the MRV at least, that I know. I think that they are very useful and could be used, the data could be used by the government" (interview PI02).*

*"Of course, we reviewed many publications of CIFORs, many, seriously. This we did in house. We worked hard on this, but it never saw light because of the institutional changes and the pressure to advance on these things meant that the work stagnated. We advanced and saw that the DCI, almost all of the actions, have scientific evidence and so we had enough information so that MEF would not be able to oppose many of the themes, such as the topic of titling for example" (interview PI03).*

*"[CIFOR] tries to do this, looking at equity. I think so. It is looking further than the process and I feel that the state gets stuck in the process but finally it is worth remembering that this has effects on people. So, I think that CIFOR has had a number of studies on this as well" (interview PI03).*

*"I think that one of the important things that CIFOR does is these global evaluations which help us to understand, compare, to see examples, of how they do things also in other countries and also it helps to open our eyes to where the actions could be focused/targeted. I think this is of great value which we recognise and we are thankful that you undertake these studies which come out in global reports [....] And so, these global comparative studies help us to understand and focus attention and maybe direct some things" (interview PI04).*

*"In reality, we do not really go to the primary sources because the contribution of CIFOR and others is incorporated in the design, for example in the strategy for forests and climate change or other documents and so we are more practitioners and we use the products which were the inputs from various investigations [...] Well, because what we have to do is ensure that these documents or national proposals are able to reach the field. Convert them into strategies in the regions, in specific subnational plans and so it is for this" (interview PS02).*

Through these quotes we can see evidence to support the theory of change. The implementers are using CIFOR research to develop their thinking about REDD+ and in particular using the comparative data provided to analyze the options available for them. There is also a direct capacity building element

which relates to relationships with implementers and being able to support them in the development of their monitoring frameworks.

The supporters are also drawing on CIFOR's research and using this to feed the work that they are doing with other actors who in some cases are regional governments who are developing regional development strategies. Capacity development has been an important aspect of CIFOR's work in Peru and there have been students who are working with CIFOR and are being trained through this engagement. CIFOR has also worked with communities for data collection in the Amazon and through hiring an assistant from the community were able to also disseminate scientific knowledge through this link.

### Opportunities to improve influence – strategies and alternatives we should consider

Some actors identified that there is still a gap in making that science available at the policy level. They highlighted the importance of the REDD+ national group as a group of civil society organizations and NGOs who provide guiding technical advice and have monthly joint meetings with MINAM. CIFOR could further harness the potential of this platform for advocacy of their research and steps are being taken in this direction but there may be potential for more to be done. This interviewee identified the need to increase channels for communication and advocacy for research which is relevant to policy.

“Yes, I think it is absolutely relevant. I do feel though that there is still a gap between the work of CIFOR and policy change. Because you gather such a valuable information about how things are working on the ground and I feel that that would be extremely helpful for decision-making at the government level, but I do feel that maybe that is not something that is happening as much. But I think it is incredibly relevant to be honest” (interview PS06).

Another observation was in relation to how the CIFOR contributions are being framed. Since there are shifts at a regional level away from a focus on REDD+ in itself there is a suggestion that maybe some of the relevant CIFOR publications are being lost due to being framed in this way. There was a suggestion to reflect changes on the ground through targeting different stakeholders with the publications but addressing some of their needs, which are in relation to REDD+ in its broader sense although they may not consider themselves to be working on REDD+ as such.

Another key area which could be given attention is in terms of drivers and especially the links to agricultural drivers. There is a demand for more information on this and CIFOR would be well placed to develop knowledge products that address this demand based on existing data which is available. This would encourage closer ties with the agricultural sector and would be seen as welcomed as there is a need to include this sector meaningfully in the discussion. Migratory agriculture was identified by some interviewees as particularly problematic and with the knowledge that CIFOR has there may be opportunities to address this topic with recommendations and advice which would be a useful tool for engagement with the Ministry for Agriculture, regional governments and agricultural associations in the regions.

The private sector is another actor which is felt to be missing and strategies for engagement with these actors would add to the valuable information on the REDD+ process. This is especially the case since there are a few REDD+ projects in Peru undertaken by private actors and they are also drawing on CIFORs work to guide their activities. The private sector is also an important actor in terms of action on the ground, some of whom are seeking alternative ways of working and looking more at value chains. Highlighting some of these issues and addressing this demand will increase CIFOR's

opportunities for engagement at a regional level as well in light of the current focus on low emissions development.

There may also be room for focusing on an analysis of the MRV activities that have been underway for a number of years now in order to further support and guide activities for implementation. The work being undertaken by Programa Bosques on direct conditional transfers would provide an opportunity to assess the progress and success of such government led initiatives.

Opportunities may be used to inspire continuing relevance.

The following opportunities may be used to inspire continuing relevance.

- ❖ The national strategy of forests and climate change being the Peru action plan for REDD+, implementation is sometimes challenging. The Project could try to provide technical assistance, i.e. expertise rather than knowledge to help. Helping stakeholders struggling in the course of implementation is a great way to influence positively.
- ❖ Providing more guidance in linking NDC to REDD+, DCI in relation with new theory of change and SERFOR.
- ❖ Provide some practical guidance on building indicators related to land tenure in Peru.
- ❖ Explain research findings in plain language and pay particular attention to practical needs.
- ❖ Increase efforts in addressing cross-sectoral issues, such as agriculture and REDD+.
- ❖ Increase consultation and capacity building when designing methodologies.

### Context overview

Central government (MoEF) is the most influential actor in term of setting REDD+ agenda in Indonesia. Central government has a mandatory obligation to create a better regulation to influence local government to be able to initiate REDD+ related activities in their respective area. So far, central government tend to work alone because they feel all the funding is supposed to be channeled through them. One Central Government informant has heard stories about how funding is accepted by some of local government without involving Central Government, and Central Government felt cheated by that. A better funding regulation, especially on how funding on REDD+ activities can be distributed well from Central Government to Local Government is needed.

There have not been many REDD+ updates since 2015 when the global negotiation processes of REDD+ mechanism were finished. For Arif, if CIFOR wants to continue to lift REDD+ as one of the main research topics, it is important for CIFOR to transform the idea of REDD+ into broader topics. For example, CIFOR might want to consider saying that REDD+ is part of the NDC and that is one way to achieve NDC targets, or link it to SDG points. Considering that NDC and SDG are new trends that are referenced by environmental policies in Indonesia. Arif mentioned that the last and only international event that using the terms of REDD+ clearly was Tropical Forest Exchange 2018 in Oslo. The other science communities' events were no longer specifically mention REDD+ in their agenda. They prefer to call it sustainable livelihoods, land use governance, etc.

CIFOR needs a host country officer who connects CIFOR with the Indonesian government, considering that CIFOR is an international institution that works in a country so that it needs intense communication with the country's government. The host country officer is responsible for providing information updates about CIFOR's work to the Indonesian government. CIFOR has been doing a lot of work at the research level, but has little engagement, although it is understandable given CIFOR's role as a research institution.

The MoEF merger process and the cessation of BP REDD+ (REDD+ Supervisory) activities then the acquisition of REDD+ by the Director General of PPI (Climate Change Control) is an important event in the politic map of REDD+ in Indonesia in the last 2 years since Jokowi (The President) taking over the regime. The MoEF merger has resulted in a change of officials in respective government institutions, which resulted in a paradigm shift. At the moment the government's focus is to increase foreign exchange and the commodities with the potential to increase foreign exchange is palm oil, so that the current government's focus is more on oil palm management. Climate change including REDD+ is no longer the main focus. Only MoEF still uses the REDD+ term, even though the international community, even donors, have developed the idea of REDD+ to broader topics such as jurisdictional approach, landscape approach, low emissions development, e.g. Bapenas (National Development Planning Agency) uses the term of Low Emission Development. So, there is no common agenda between the two government agencies that play a role in regulating REDD+ agenda in Indonesia.

At present there is an impression that REDD+ is only owned by one directorate general, which is Dirjen PPI and is part of the MoEF. When the BP REDD (REDD Supervisory Agency) was still standing, consultations on REDD+ policy direction in Indonesia were widely opened to the public (NGOs, research centers, CSOs, etc), but after BP REDD was closed, consultations were taken directly by the minister and directorate general to think tank representatives. At present the government prefers to consult with experts from existing think tanks for more specific issues, for example CPI for climate

finance, PPILH, BLU REDD+, partnerships for stakeholder engagement, Mr. Rizal Boer from Center For Climate Change, and Pak Daniel Murdiyarso for carbon calculations. The reduced budget for stakeholder engagement is felt to be influential enough to change this behavior. REDD+ in Indonesia seems to be getting more and more closed because people who understand are getting fewer and fewer. In addition, the lack of direct communication lines to MoEF also further closed the flow of information on REDD+ in Indonesia.

### Illustrations of some promising practices of different research to influence strategies being implemented

CIFOR has supported the Indonesian Peatland Restoration Agency (BRG) in setting reference levels for peatland restoration in Indonesia.

### Opportunities to improve influence – strategies and alternatives we should consider

Engage in regular face-to-face meetings with key stakeholders in the Government of Indonesia.

### Opportunities may be used to inspire continuing relevance.

The following opportunities may be used to inspire continuing relevance.

- ❖ Put more emphasis on human factor, social facets of REDD+ and not so much on biophysics and environment. It looks easier to market the good things we do for the people through implementation rather than the good things we do for the forests and the climate. In short, put people first.
- ❖ Provide more practical guidance and capacity building on MRV.
- ❖ Sometimes strategies are developed in the course of implementation. Therefore, designing adaptive strategies, and explaining them in plain language since they will often be implemented by non-scientific / not technical people.
- ❖ Clarify the way funds channeled through REDD+ can be channeled from the top to the bottom.
- ❖ Shorten time between a base line and an action where payment for emissions avoided is due otherwise the whole tedious and costly baseline exercise has to be done again.
- ❖ Assist in bringing more discipline on topics discussed on social media. It means stick to the point to ensure progress without digression.
- ❖ Explain research findings in plain language: if need be, produce two versions of a research paper. A “sophisticated one” and a “useful one”. It could be, for example: publications and blogs.
- ❖ Make more efforts to close the gap between researchers and local initiatives on the ground. It means favor synergies.
- ❖ Provide assistance on mapping peat land (area and depth).
- ❖ Assist stakeholders in meeting deadline when it comes to funding proposal.
- ❖ Address economy issues directly or indirectly related to REDD+ because that what matters at the decision-making level.
- ❖ Get closer to the ground and more often in touch with the grassroots to better understand the gaps. How to bridge the gaps between National and sub-national / landscape level when

concepts are complex and practical guidance so badly needed and bearing in mind the local capacity and lack of financial means.

- ❖ Make more explicit reference to the national context, i.e. politics as well.
- ❖ Science based evidences are important and must remain at the core business of research. Equally important is specific and practical findings, hence research conducted in close consultation with stakeholders involved in local initiatives.
- ❖ Improve coordination and integrate joint research among national and international research institutions. It means conducting joint research to solve problems or address issue beyond the prestige of a single institution. It means to go beyond the competition prevailing in the research / science /development industry.
- ❖ Try to identify the true decision-makers and engage with them.
- ❖ Rural poverty is greater than urban, and business as usual contributions to the local economy are still land-based. It will take hard work in designing and implementing alternative activities, able to create at least as much value. This is an area to explore.
- ❖ REDD+ sometimes sound obsolete, and a new trend emerges, centered on emissions and NDC. However, lessons learned under REDD+ are still valid, so adapting and transferring them will still exert positive influence.
- ❖ CIFOR should not only share findings but also increase data sharing with other stakeholders.
- ❖ Provide expertise on MRV and financial mechanisms.



### Context overview

Ethiopia is characterized by huge natural contrasts, from extremely harsh growing conditions to quite fertile and woody areas (West of the country). Those contrasts induce an interesting diversity in natural flora and fauna.

Small-scale farmers and enterprises are the main providers of agricultural products. 80% of the of the 100 million inhabitants (in 2008, ca. 16% of the population in Ethiopia are living on less than 1 dollar per day) rely on agriculture but cannot fulfill their needs. Indeed, the agricultural sector performs poorly, as frequent droughts depress production. Deforestation is a major issue for the country, grazing and old farming practices being the main drivers. Threats to livelihoods and national stability are expected if deforestation continues. There was no forestry department for 20 years – the interests in the sector were subsumed by agriculture. In this context, agriculture and forest resources can no more be managed separately. The landscape approach is very relevant while REDD+ only address forest issues. The country is experienced in REDD+, especially at subnational level (see e.g. the Oromia Forest Landscape Program which benefited from World Bank REDD+ start-up funding). Policy frameworks were established through the readiness process. Among others Ethiopia has been developing a national MRV system, with offices at the federal and regional levels. Ethiopia's Forest Reference Emission Level was submitted to the UNFCCC. Forestry is one of the four pillars of Ethiopia's Climate Resilient Green Economy strategy set up in 2011. REDD+ plays a pivotal role in financing this strategy.

"In REDD+ and the forestry sector, 2018 marked several large changes. The issuance of the 2018 Forest Proclamation, which amends the 2007 proclamation; and – shortly after - the change from Ministry of Environment, Forest and Climate Change (MEFCC) into a Commission (EFCCC). The new forest proclamation introduces forest management rights to community and associations that were not recognized before. It gave local communities greater tenure security. Regulations to clarify the procedures are still being developed. The move from Ministry to Commission has introduced uncertainties in how the forestry sector and climate change issues are governed across levels and across regions." (extract from the 2018 progress report).

Participatory forest management is seen as a vehicle of REDD+ implementation. REDD+ is described as an opportunity for Ethiopia to coordinate multisectoral initiatives implemented at the landscape level. Today, there are big expectations for the forest sector to deliver emissions reductions as part of NCD – planned to provide 50% of targets. Implementation support is largely structured by strategies and guidelines developed in Oslo and designed to align and complement national development policies. One of the challenges in applying REDD+ remains the bureaucratic process.

The frameworks and guidelines determining how REDD+ will be designed, implemented and assessed have been set by international processes or central offices of large bi-lateral donors. Any knowledge-based influence on these standards would have needed to be channeled through these systems during readiness stages. This validates the global influence pathway in the Theory of Change.

The majority of the technical support and influence on these practices were from multi-lateral funds channeled through multilateral development partners (eg FAO).

Local arms of multi-lateral agencies largely draw in consultancies or internally produced applied analytics – there would be opportunities to engage these groups more as knowledge intermediaries.

There are a number of forums, round tables and associations that play policy advocacy and knowledge sharing functions that could be better engaged.



There are gaps in understanding between these national/jurisdictional frameworks and on ground implementation – there is work being done by gov to develop practice guidelines and these are drawing on best practice examples and research (including CIFOR's).

#### Illustrations of some promising practices of different research to influence strategies being implemented

CIFOR country coordinator Habtemariam Kassa's personal role as an advisor and technical expert was universal recognized and valued.

#### Opportunities to improve influence – strategies and alternatives we should consider

There is room for further improvement in translating knowledge to applied guidance notes.

More action research on the ground to engage implementers locally is needed. In this respect PLA (Participatory Learning and Action) would be worth trying.

There is a need for more deliberate identification of key partners and regular information sharing.

It seems necessary to focus on sharing international lessons about effective approaches. There is some demand for this kind of experience sharing.

Studying implementation and reporting on successes/informing improvements remains a central issue. It also relates to MEIA.

Partnering with local institutes to ensure methods and skills transfer and to help retain expertise deserve more attention.

Recent political changes have resulted in optimism for the future. Albeit it is too soon to tell, this provides an opportunity to carry on activities with some enhanced engagement and a particular focus on implementation.

#### Opportunities may be used to inspire continuing relevance.

The following opportunities may be used to inspire continuing relevance.

- ❖ Put more emphasis on generating a knowledge based on traditional / cultural knowledge of the community in sustaining and benefiting from forests. Using ITK (indigenous technical knowledge) will help to bridge the gap between policy-planners and local implementers.
- ❖ Try to be more practical, i.e. at the end of the process, research has to be translated into field activities.
- ❖ Write shorter documents or provide a summary since 100+ page documents are very difficult to absorb.
- ❖ Bearing in mind that the easiest way to convince stakeholders is to bring money in, research should address these topics in plain terms, simple language.
- ❖ Address how to combine the objective and implementation on the conservation of existing natural forests and the objective and implementation of activities to increase forest cover from the climate and environmental perspective while lifting the economies of some of these communities.

- ❖ Enhance coordination among stakeholders because of the multi-sectoral and multi-stakeholder nature of the process. Improving coordination should result in enhanced influence.
- ❖ Strengthen the capacity of the Government without taking away competent human resources.
- ❖ Find a balance to deliver research that meet the needs of local implementers and decision-makers while still motivating researchers.
- ❖ Grazing being a huge challenge, research work focusing on this issue will attract attention and practical recommendations on this area will get traction.
- ❖ Provide guidance on how to scale-up efficiently, for example practical guidance on how to implement an integrated landscape management scheme at woreda level.
- ❖ Identify key stakeholders and closely work with them on a daily basis.

### Context overview

The Brazilian context is slightly complicated by the fact that the spotlight has been on the Amazon due to its forest cover and biodiversity whilst at the same time it has had high rates of deforestation and a very strong agricultural sector. These assets mean that it attracts resources but there are also increased tensions between conflicting agendas. There is a national climate policy and national policy for native vegetation recovery (PROVEG) as well as economic instruments such as the Amazon Fund and the Climate Fund, the World Bank, IBD and the United Nations.

There is a strong agricultural lobby with pressure from agribusiness sector which comes at odds with actions to reduce deforestation, degradation and illegal occupation of land. Although there have been recent shifts in the private sector indicating that some agribusiness such as large soy companies, grain producers and cattle ranchers seeking agreements to combat deforestation or reduce pressure on natural resources. There is a need for further engagement with the Ministry of Agriculture (MAPA) and the Ministry of Finance to make the economic case for the economic value of environmental services and sustainable production chains.

Private sector initiatives for REDD+ have been slow due to a lack of structures for emissions markets and frameworks for the national policy for payments for environmental services. There are ongoing discussions on a regulation to the Forestry Code (article 41) which could create a compensation system to reduce deforestation, encourage conservation and sustainable agricultural production (interview BI02). The most important government actors include the Ministry of the Environment along with the Ministry of Science, Technology and Innovation.

Brazil has a federal government which is in charge and also controls the budget. The states have room to make their own decisions if there is political will to do so but the problem is that control of the finances by the federal government can make these difficult to implement. There is a national REDD+ commission which has the aim of bringing different actors together for dialogue, although there has been some criticism due to the how the seats are assigned out of 13 seats there is only one seat for society and two for the federal states. The criticism is that this is not enough to have full participation of all actors in decision making. They are working on the safeguards system and trying to bring together a national framework for REDD+. The Amazon Fund with Norway has now been extended until 2021.

In contrast at a state level there have been a number of interesting initiatives to develop REDD activities in the states of Acre and Mato Grosso. The Environmental Forum of the Legal Amazon has been important in bringing forward these initiatives. There is a push for decentralization in order for the states to be able to develop and benefit from these initiatives which are being developed at the local level. There have been moves to include low emissions development strategies within the REDD+ agenda while it is felt that REDD+ itself has lost momentum due to the lack of clarity with regard to REDD+ at a national level. Importantly, as expressed by one informant:

“I think it is important to understand here that REDD did not “arrive” as expected, but the movement of linking forests to climate maintenance of non-emissions, the concept enabled the development of many public policies, mainly in the Amazon region. For example, the Amazon Fund is the largest fund in Brazil and it has its foundation tied to the REDD strategy. But in practice, many communities or projects that use the resources of the Amazon Fund do not develop REDD projects, but the background concept, yes, it is REDD. In other words, as the more conceptual and pure form of REDD is not working, but on the other hand, the concept of using forests for climate maintenance has gone forward” (interview BI01).

It is felt that there is a lack of political will and limited openness to participation which would be necessary to enable the REDD+ agenda to move forward (interviews BI02, BI03). There is a feeling that REDD+ has disappeared from the main discussion agenda and has migrated to other topics such as forest restoration, degradation and other issues more relevant within the context of the Forest Code.

“Since the creation of a REDD governance structure in Brazil, the level of debate that was happening (even among the society) has also diminished. Until 2015 I would even follow the issue on the news, but now there is no more talk about REDD” (transcript BKC01).

There are a number of key players in Brazil including at an international level, the Norwegian Government, and NORAD who support the Amazon through projects, there is also the German Government and GIZ, USAID, the Green Climate Fund. At a national level there is the Forest Code, PPCDAM, PPCerrado, PROVEG, the Forest Development Fund, IPAM, IDESAM, and NGOs such as EDF. Some universities have also been involved in research and teaching and have participated in discussions such as UFRRJ and Sero da Mota.

A number of key institutions are producing information on deforestation and degradation such as INPE. IMAZON has been involved in mapping this process, as well as ISA who is looking at indigenous issues. MMA and SFB (Brazilian Forest Service) also have improved databases and are the official government source for information. Information platforms such as Clima Info are useful for information in Brazil about context in terms of actions and decisions being made by government and the private sector. Other sources include SEEG and the Climate Observatory, as well as the Climate Policy Initiative.

Local NGOs often end up having a significant impact due to their work at a local level such as IPAM, Earth Innovation Institute and others such as ICV and TNC in Mato Grosso and Acre. The government in Acre, the GCF Taskforce and other state governments are increasingly strong. CIFOR has been identified as an important actor in relation to the work being done with Earth Innovation Institute in terms of feeding the discussion through the information produced and the analysis, although it is felt that they do not have a direct presence in discussions themselves (interview BKC02).

A number of organizations are using publications produced by CIFOR to formulate ideas, proposals and arguments. IDESAM has played an important role as coordinator of the GCF Taskforce and IPAM, EDF and Forest Trends have made important contributions to support dialogue.

There are some interesting private REDD initiatives who are developing REDD+ projects in the Amazon such as Biofilica. Although they feel that there are still a number of obstacles to overcome for them to see the success that they hoped for, including conservative conservation views, and the agricultural sector, as well as bureaucratic hurdles due to centralization in the federal sphere. The main problem being that the federal government oversees the countrywide agenda, but it is felt that a deeper understanding is lacking at the state level (BI04).

*“The fact that Brazil has not fulfilled the reduction of deforestation as a requirement for raising funds for the Amazon Fund has created a negative feeling for Brazil. There is also concern for the environment in light of the run up to elections”* (transcript BKC01).

#### Illustrations of some promising practices of different research to influence strategies being implemented

Not applicable in this country during the period 2016-2018.

#### Opportunities to improve influence – strategies and alternatives we should consider

One topic which was highlighted by a number of informants relates to presence in federal level discussions as it was felt that CIFOR would have a lot to offer in terms of being able to guide decision making and federal level policies. More recently, the federal governments have taken some interesting steps towards establishing REDD+ agendas such as in Mato Grosso. It would be an opportune moment to join these efforts possibly through working with the GCF Taskforce.

The other area which was highlighted related to diversifying the knowledge products available either in terms of more availability of knowledge products in Portuguese or in terms of new formats such as videos or magazines, in order to appeal to the wider public. Particularly in Brazil informants have mentioned the presence of disinformation at a society level and the need for more targeted engagement with society in order to influence change from the bottom up. Some examples of comments are as follows:

*“CIFOR could have a more direct and pragmatic action alongside public policies and sectoral policies. A more integrated agenda of studies and analyses more customized for the Ministry of Agriculture, with the MMA CIFOR is already very close, however, the Ministry of Finance, to understand their perspective, understand what is happening, what is the economic return of forest conservation in Brazil, how ecosystem services can guarantee the agricultural production. It has to interact with who is generating the problem to try to reach a consensus. Participate and promote information on agribusiness, participate in discussions with these actors that promote a pressure on natural resources, to be closer to the private sector. Bringing information more generally, CIFOR does well and this is important, but in relation to issues that are not yet converted, accepted, CIFOR needs some different focus” (interview transcript BI01).*

*“Nevertheless, not only indigenous people or traditional communities must be empowered, but the society in general, urban, rural private areas, we need the involvement of all. [...] I will not just talk to CIFOR but as I would speak to any organization involved with research. I think what we still lack is that we do not translate to society what is reflected in scientific articles” (transcript BI02).*

*“Amazonian states advanced much in the matter, the state plans, Acre was an inspiration for several states, and today it is worth mentioning the effort of the Forest Brazil Coalition, Agriculture and Climate. I think for the first time we have a very diverse network with good representation, including the productive sector, which is not concerned with a consensus but rather with creating a common path. There is a very strong debate and the political weight of this network is being crucial to keeping some guidelines alive within the federal government. Today, we have a discussion with MAPA about Article 41 that we have never had before. Networks such as this involving the productive sector are very important, because as difficult as it may be to dialogue, it can be a new path” (transcript BI02).*

Along with the unsettled feelings regarding the possible political course after the elections one informant highlighted a role for CIFOR in providing decision support tools stating, *“I think it may have, if it is the worst-case scenario at all, I think the material that CIFOR has (but I have not read any study), anyway, I think it might be a dialogue tool with the new government, showing the results, but of course focusing on what interests the government, showing that it brings opportunities for resources, reduces conflicts, etc, and bringing practical results to dialogues to show the importance of the continuity of these initiatives” (transcript BKC03).*

#### Opportunities may be used to inspire continuing relevance.

The following opportunities may be used to inspire continuing relevance.

- ❖ The Project should think in how to better communicate to reach more people, and it is even more important because of this problem of fake news nowadays, especially on social media.
- ❖ Try to be more specific and more selective – and concise – when delivering information otherwise it loses its power, it is less impactful.
- ❖ Look for strategic partnership to communicate knowledge and research findings about the environment.
- ❖ Since it is a big challenge to bring together research with a practical intervention, creative communication channels and strategies have to be explored.
- ❖ Try to identify the key stakeholders in each institution.
- ❖ Since it is difficult to speak of the context as a whole because each state has a different context, strategies (research design, implementation, transfer and communication) tailored to the sub-national contexts have to be explored.
- ❖ Include the Ministry of Agriculture and the Ministry of Finance in the dialogues, especially when opportunity costs are incurred or wherever value creation derived from forestry activities is not obvious.
- ❖ Pay more attention to the national language and not using English only.
- ❖ Contribute to change the mentality of seeing the forests as an obstacle and convince them that it is instead an opportunity.

### Context overview

Guyana is categorized as a high forest, low deforestation (HFLD) country due to the relatively stable and low rates of deforestation recorded. The country's main driver of deforestation relates to the gold mining sector. The main economic activities in terms of greatest contributors to GDP are gold and bauxite, along with agricultural projects such as sugar. Sugar and rice are their main exports as well as timber. Despite this agriculture is not considered a significant driver for deforestation.

Within Guyana, the main state department which oversees forest management, low emissions development and climate change is the Guyana Forestry Commission (GFC). There are two main ministries involved in setting the climate change agenda in the country: The Ministry of Natural Resources and the Ministry of the Presidency, with the President essentially being the Minister of Environment. There is also a Department of Environment. GFC is part of the Ministry of Natural Resources. These are the authorities who oversee policies and frameworks for climate change and forestry.

Guyana signed a bilateral agreement with Norway in 2009 and as a result REDD+ has been a high priority area of work. The first REDD+ initiative was called the Low Carbon Development Strategy but as of 2015, and due to a change in government they have recently drafted a Green State Development Strategy with the aim of pushing forward and expanding the agenda. This significant document is currently under a process of consultation and it is hoped that the final version will be agreed by December 2019. Guyana is also working with the Forest Carbon Partnership Facility and has had a lot of support from outside agencies such as the UNDP, Winrock International, Conservation International and World Wildlife Fund and others in guiding their thinking on REDD+. There are also national organizations such as Iwokrama who have been instrumental in working on REDD+ in collaboration with the Guyana Forestry Commission.

The Guyana Forestry Commission is responsible for the management of Guyana's forests. There are 5 divisions including the division for planning and development, the forest monitoring division, resources management division, and the two non-technical divisions of human resources and finances. The Planning and Development division oversees MRV coordination including community MRV and safeguards. Low emissions development is embodied in the work undertaken by the GFC as is the participation and involvement of community-based stakeholders and indigenous peoples which is essential for the community level MRV work (Interview, GI01).

There is a community forestry programme. GFC works closely with the Protected Areas Commission and also NGOs in order to carry out their work. The Division of planning and development also coordinates the REDD Secretariat to the GFC. All divisions report to the Commissioner of Forests, who is the Chief Executive Officer of the GFC. Interviewees identified cross network coordination as being one of the most significant factors for being able to undertake their role in terms of MRV and REDD+, as there needs to be efficient links in order to draw together work across sectors including mining, agriculture, forest harvesting, protected areas and infrastructure development.

GFC leads efforts on MRV along with counterparts at World Wildlife Fund, Conservation International and Iwokrama. The close links have allowed the GFC to outsource work on the ground to the counterparts who have more sustained presence in the field especially in terms of the community MRV efforts. From the government level they have coordinated the MRV and the counterparts have been key to implementation. As one interviewee stated "I make that point to note that what we've tried to do in Guyana is that where we think the skills are better placed, and that more strategic partners are aligned in terms of having a physical presence, or in terms of being more capable, having the kind of ground network that at government sometimes we don't have. We cooperate to have that aspect of the program implemented by our NGO partners. So, over the last seven years, GFC has never taken



the lead on CMRV; instead, we've relied on our partners at the ground level, which are largely NGO partners, to do that for us. But what we've tried to pay keen attention to is to ensure there is synergy, so that we don't have parallel tracks of implementation; we actually have the work being able to seamlessly fit into the national MRV" (transcript GI01).

A key actor in work on the ground has been Iwokrama, which is the International Centre for Forest Conservation and Development. This organization is involved in working on conservation, working with communities and indigenous people as well as contributing information to inform policy making at the government level, as well as awareness raising and capacity building for institutions that have a responsibility in relation to REDD+ or forest conservation.

Within the GFC there are technical teams who are involved in developing methodologies in accordance with the IPCC guidelines and good practices. These teams are working on establishing carbon numbers and emissions factors for Guyana which is then compared to the activity data drawn from satellite imagery in order to develop reports on various emissions according to different drivers of deforestation and degradation (interview transcript GKC02). The technical annex is also currently working on Guyana's first biannual update report (BUR), which it is hoped will be submitted to the UNFCCC at the end of 2019. They plan to include a technical annex with information pertaining to the forestry sector as well. There are also plans to put together a unit containing all of the information, like a data hub which could be accessed by all staff.

The government is taking the lead with regards to low emission development REDD+, guided through the framework documents such as the Green State Development Strategy and the green agenda, while implementation is coordinated through the Guyana Forestry Commission. In addition, there has been an update to the National Forests Policy and Forests Plan. Since 2009 a multi-stakeholder steering committee was formed for the REDD+ initiative. This is chaired by the President of the country and consists of members from various parts of society including ministries and organizations. This committee is instrumental in setting agendas and objectives and allows for fair discussion and participation of all stakeholders, including indigenous peoples, youth groups, NGOs and international NGOs and government agencies, including Guyana Geology and Mines Commission, the Ministry of Agriculture and Guyana Lands and Survey Commission. As well as the agreement with Norway, there is also the Guyana REDD Investment Fund which means the country is also self-financing a lot of work based on the funding it received from the agreement with Norway.

"There are a lot of consultations going on with regards to that, there's a lot of consultations, as well, because the process of revising and improving our forest laws has also been going on. So, there's continuous and continual consultation, nationally and locally. So, you know, the whole process and the whole interest of, you know, the stakeholders, with regards to REDD+, has remained" (transcript GKC02).

Given this context of progress in the country with respect to REDD+, CIFOR has also played an important role in contributing to the initiative. CIFOR has been working with the Guyana Forestry Commission in two significant ways, firstly in terms of improving access to up-to-date information through publications, and the website. They have also been involved in supporting the MRV work and have maintained close personal relationships with actors in the GFC to support their ongoing work on emissions factors. Some of this work on MRV has been done in collaboration with Wageningen University and there have been field trips for capacity development of technical teams from the GFC on data collection techniques (interview transcripts GKC02, GKC03).

"For a country like mine, one of the key constraints is access to information, and access to information that is sound, access to information that is being generated – you know, not old. One of our challenges over time has been – we were just locked in old information that had not been reviewed, revised and so on. One of the greatest influences I know for persons who have been involved in the projects that we've done with CIFOR, has been this access to information, on their website, in the journal articles and so on. I think that's one of the greatest strengths of CIFOR" (interview transcript GI01).



“They have provided a lot of technical support to us with regards to drafting, guiding us to our MRV process and how, basically, through the inception phase, how to go about doing a national MRV, with regards to accessing funding and so on. They actually helped us a lot through that process” (interview transcript GKC03).

CIFOR has an MoU with the GFC and this has facilitated much of the work which has been done. Current constraints in terms of moving the REDD+ agenda forward as identified by interviewees include progress on safeguards and land titling. With regard to land titling they are currently undertaking revisions to Amerindian Act which will strengthen some of the provisions for titling including finances and the participation of indigenous peoples in decision making. While some advances have been made on both there is still more work to be done and in particular with regard to safeguards monitoring. CIFOR’s has addressed the gaps in terms of safeguards reporting by providing support in the form of workshops on the topic of safeguards earlier this year and their involvement has been seen as opportune and important.

“Guyana is one of the pilot countries, and CIFOR has really helped us to bring synergy to the areas of REDD+ that are implemented by a multiplicity of agencies in Guyana, and actually bring that under one umbrella. So, I think CIFOR can be instrumental in helping in the coordination effort, in bringing together aspects of REDD+ implementation that have been unfolding. But I think CIFOR can also be instrumental in helping to do various technical aspects of assessments. For example, we have recently had CIFOR support to help advance our work on REDD+ safeguards. This has been the first main effort that Guyana has undertaken on advancing safeguards implementation for REDD+. So, I think in terms of coordination and bringing international experience, and helping to bring synergy in activities, CIFOR can definitely be instrumental and has been effective” (Interview transcript, GI01).

There is a willingness on the part of the government to put forward an additional two million hectares of forest as protected areas across the country in ten administrative regions. The Paris Agreement has also been instrumental in pushing forward the low emissions development and REDD agenda. While the discovery of significant commercially viable oil reserves in the country has been welcomed some are concerned that this should not affect the progress made so far towards low emissions development.

#### Illustrations of some promising practices of different research to influence strategies being implemented

Working directly with the government department for forestry, Guyana Forestry Commission through an MoU has facilitated close work relationships which have resulted in CIFOR supporting the government in areas which need increased attention such as safeguards and MRV reporting. This engagement has also involved training workshops and the co-production of knowledge products such as the policy brief which is in development.

Simultaneously supporting the work of the organization Iwokrama in the field of implementation of REDD+ has meant that CIFOR has been able to make a considerable contribution to the design and implementation of REDD+ in Guyana.

#### Opportunities to improve influence – strategies and alternatives we should consider

There may be opportunities to capitalize on links to national universities such as the Guyana University in order to promote capacity building opportunities for students and others. In particular the GFC hopes to make some of the data available for masters or PhD students and there may be a role for CIFOR in these endeavors.

### Illustrations of some promising practices of different research to influence strategies being implemented

Working directly with the government department for forestry, Guyana Forestry Commission through an MoU has facilitated close work relationships which have resulted in CIFOR supporting the government in areas which need increased attention such as safeguards and MRV reporting. This engagement has also involved training workshops and the co-production of knowledge products such as the policy brief which is in development.

Simultaneously supporting the work of the organization Iwokrama in the field of implementation of REDD+ has meant that CIFOR has been able to make a considerable contribution to the design and implementation of REDD+ in Guyana.

### Opportunities to improve influence – strategies and alternatives we should consider

There may be opportunities to capitalize on links to national universities such as the Guyana University in order to promote capacity building opportunities for students and others. In particular the GFC hopes to make some of the data available for masters or PhD students and there may be a role for CIFOR in these endeavors.

### Opportunities may be used to inspire continuing relevance.

The following opportunities may be used to inspire continuing relevance.

- ❖ Contribute to make access to updated and relevant information easier.
- ❖ Put more emphasis on the country-specific river of deforestation.
- ❖ Contribute to build capacity.
- ❖ Help them in developing international partnerships and access to funds.
- ❖ Explore alternatives to mining as it is conducted today.
- ❖ Put adequate emphasis on primary data albeit it is more expensive, i.e. keep the research robust and credible using primary data in the field.

Context overview

CIFOR works and CIFOR's Vietnam expert Pham Thu Thuy's contribution to REDD+/PEFS/LED in Vietnam are well appreciated by all key informants. She got an award by Vietnam Ministry Forest in 2018 for her outstanding partnership. Most comments they had for CIFOR's work focusing on: benefit sharing mechanisms, V-PES (Vietnam PEFS), landscape approach and land use. CIFOR's research is regarded as highly scientific and rigorous; globally comparative, comprehensive and has a long-time scale. These studies are also produced based on good frameworks, with comprehensive and critical research methods. Their findings play important roles in providing inputs for central government officers make proposal for changing policies. It is stressed here that central government officers are different from "real decision makers" as the decision-making processes in Vietnam are very informal.

However, CIFOR's research is more suitable with researchers; academia, but not policy makers. The reasons given are: these research's language is highly scientific which is not suitable with what "real policy makers" looking for (stories). There is also a gap in perspectives between researchers/research organization and government.

While CIFOR has done lots of useful policy-oriented research, yet, their ability to influence policy makers in changing policies is not well recognized. In other words, their level of influences to institutionalize research findings is considerably weak comparing to WINROCK or SNV. The reasons could be that CIFOR has not paid much attention on policy advocacy; and CIFOR's capacity in reading underlying implication of each policy/decision is less likely competitive compared to other organizations such as Forest Trend. CIFOR's funding resource could be not enough for such costly processes of policy advocacies.

REDD+ as other international initiative/mechanisms are more than often set up by international/multilateral organizations which are less widely understood by national (only few experts) or sub-national staff. For example, safeguard principles are less likely to be understood or considered necessary or result-based performance is critically challenging for developing poor countries without any up-front financial support.

The 3E principle was not mentioned at all by any informants when it comes to the questions of "what are their core values or principles". Different informants interpret their core values in different ways. For instance: VNFOREST considers 3 main principles: (1) inter-sectoral matter; (2) benefit balances between different sectors and affected stakeholders; (3) accountability, transparency and applicability. Or Pannature (CSO) considers co-management and good governance.

CIFOR has MoUs with many organizations (high-level government; international NGO; local NGOs, research institutes). The nature of these partnerships is not pro-active from both parties. Rather that if CIFOR have any need to conduct research, CIFOR will contact these organizations and process kind of "an order". There are two ways of collaborations (1) high-level government organizations discuss with CIFOR about their topics of interests for policy inputs then CIFOR process to conduct the research; (2) CIFOR contact research organizations then that organization will process the research. Recently, the second method is changing in a more collaborative way that both parties conduct research together which was reported by one research institute (VAFS). VNFF (Vietnam forestry protection and development fund) raised the issue that CIFOR normally conducts research by themselves without much cooperation between two parties. Therefore, there is little chance that VNFF's staff capacity

could be improved or could be able to replicate the similar type of research in other locations or even fully understand to further explain for their managers/or policy makers. Sub-national informant also shared the same concern regarding to benefit sharing research. They would like a more collaborative manner in conducting research between two parties to help these organizations to improve their capacity. Another issue is MoUs have never updated or reviewed. It is suggested by all key informants that it would be useful that if CIFOR and each partner have annual review of the MoU to review what have been done in order to understand each other's focus and possibility for upcoming collaborations.

CIFOR is strong at communication and dissemination research findings. Reporting is very good. Policy brief is good way of communicating. Conversely, occasional paper is considered to be too long for a majority of key informants.

VNFF of course also recognize that there is no silver bullet for any matter, and it is understandable that CIFOR is a research organization so their reports need to be long to cover the issues in multiple dimensions. However, there is suggestion that CIFOR Vietnam should use more social communicating channels such as Twitter.

CIFOR is currently working with VTV2 – a national TV channel for "Science and Education". However, as this is national channel which is strictly monitored by government therefore there is less likely that the content of these programs producing with CIFOR could be allowed to convey different perspectives of different stakeholders rather just only one rhetoric language/ propaganda. It could be the case that these activities could be part of a wide range reasons leading to the fact that REDD+ has created too much expectation for forest owners that REDD+ is a promising source of cash, which is problematic in Vietnam.

#### Illustrations of some promising practices of different research to influence strategies being implemented

Good work with MRV with sub-national pilot projects is recognized. The work on comprehensive indicators for MRV is acknowledged too. However, the same set of indicators proposed by CIFOR is less likely to be applicable in practice by sub-national staff because they are too detailed and too scientific that sub-national doesn't have capacity and resource to conduct at the provincial-wide scale. Therefore, a simpler set of indicators for MRV has been finalized.

#### Opportunities to improve influence – strategies and alternatives we should consider

There is a need for updating the map of actors - government and non-government - to create a stronger pool of voices in policy advocacy and enhance its influence on policy changes.

It is necessary to work towards some more meaningful/real collaborations in conducting research with national and sub-national partners to increase their knowledge ownership, transfer skills and build capacity up.

More endeavors are required to support works on communication, including reporting skills for NGO, government staff at both national and sub-national levels.

GCS REDD+ Program should increase its focus on private sector engagement and in-depth, global comparative research in carbon rights and benefits sharing, especially for large carbon emitters which are targets for new policies/regulations that are going to be proposed to force these sectors to contribute to carbon payments.

The Program should support government in conducting researches which help to shape the future of sustainable forest management in Vietnam. This is because of many national policies and programs in

Vietnam are periodic (2016-2020; or 2011-2020), and 2020 is approaching. There is a lot of work to be done in terms of new planning to 2025 and visioning to 2030.

The GCS REDD+ Program should initiate annually reviews of MoU between CIFOR and its partners to review, update each other priorities/demand for upcoming and meaningful collaborations.

Diversification of communication channels such as Twitter, Viber, etc. should be encouraged.

A strong support in MRV is still relevant since MRV is a critical need to ensure 3E principles and that it is the most challenging facet of weak forest management in Vietnam.

Opportunities may be used to inspire continuing relevance.

The following opportunities may be used to inspire continuing relevance.

- ❖ Explore ways to implement and achieve REDD+ in implementing in the context of REDD+ uncertainty and its limited financial contribution. Providing guidance on REDD+ implementation also mean providing guidance on ways to access funds.
- ❖ Increase / facilitate access to domestic and international information about REDD+, including scientific research methodology.
- ❖ Make the ways through informal policy-making processes.
- ❖ Contribute to improve coordination and information exchange across various institutions involved with REDD+. In this respect joint research is a valid approach to sustain and strengthen.
- ❖ Take into account the language barrier sometimes preventing access to information.
- ❖ Provide assistance and guidance on how to involve the private sector and other domestic investors in REDD+ implementation, or low emissions schemes.
- ❖ Explore and communicate on the strategies and practical schemes that address needs of a growing population, i.e. the need for more cultivated land versus the needs and opportunities to conserve forests.
- ❖ Make more work on annual emission monitoring systems since they are a cornerstone of result-based payment.
- ❖ Focus research on implementation, in a coordinated manner to avoid duplication of efforts. A particular emphasis has to be placed on financing REDD+ implementation.
- ❖ Make proposals to make research replicable at a lower cost since the cost of research led by CIFOR could not be borne by domestic institutions.
- ❖ Continue working on MRV, governance and institutions since MRV it is very challenging aspect of PES and REDD+.

### Context overview

Myanmar has had a democratic system in place since 2010 which replaced the previous military government. There is still a lot of internal conflict and instability which may limit the possibilities to accomplish the ambitious targets set out in the NDCs to assign 30% of the country for conservation either as forestry reserve (30%) or state protected area (10%). Within the NDCs there are number of activities which relate to REDD+ and the forestry sector is the main sector related to mitigation activities. In addition, the Ministry of Energy and other local government departments are engaged in climate change adaptation and mitigation activities. The REDD+ agenda is currently led by the Ministry of Natural Resources and Environmental Conservation and the Department of Forestry.

Reliable information is limited and one good source for information on REDD is the portal for UN-REDD Myanmar. There are also a number of other NGOs or organizations involved in working on REDD+ in Myanmar including the Korean Forest Service and ICIMOD, which is an international organization working in the Himalayan region. The University of Forestry has a number of academics working on REDD+ and they have weekly seminars and workshops to share their knowledge on REDD+. There are links between this university and the local forest department office which provides opportunities for training.

There is limited research and databases available although the Ministry of Natural Resources and Environmental Conservation is considered to have reliable data on forest monitoring and remote sensing data on land use and forest areas (interview: MCKC01). There is hope that a public portal with information will be developed in the near future although there are still a number of technical difficulties and limitations to overcome.

It was felt that there is some political will to move the REDD+ agenda forward in the country although not all informants were optimistic about this (see also MS01). In particular it is felt that the NDC commitments may be ambitious given the political context in which many of the country's forests are found. Much of the forest cover is in the mountainous regions of the country which in turn are the areas that are currently experiencing a lot of civil unrest with contestation over the ownership and use of the lands and resources. For a number of years now there has been a restoration and reforestation programme which is being implemented by the government and there has been a forestry policy in place since 1995.

There are some organizations who are pushing for an update of this policy given that this was developed before the transition to democracy and so it is felt that there are important changes which should be considered in order for meaningful steps to be taken towards reducing deforestation (MS01). These actors would like a thorough analysis of deforestation and drivers in Myanmar and for the policy to be based on actual up to date data.

One current issue is that the indigenous Naga people are in conflict with the government over forested areas. The state is trying to implement community forestry initiatives in these areas and is promoting REDD+ but there is some resistance due to lack of clarity over resource and land rights in these areas which have been traditionally used by these peoples. In particular the conflict is also related to the traditional systems of land use which involve shifting agriculture. Along with other NGOs, MERN is currently undertaking research activities and advocacy work in order to highlight the traditional land and resource management systems in these areas and their sustainability with the aim of better informing policies in relation to these indigenous peoples and including a rights perspective.

There are some community forest monitoring initiatives which involve awareness raising and have proved important in halting some illegal deforestation in the region bordering China. This area has problems with deforestation with the entrance of loggers from China.

#### Illustrations of some promising practices of different research to influence strategies being implemented

Not yet applicable at this stage. The development of the SIS in Myanmar should be closely monitored.

#### Opportunities to improve influence – strategies and alternatives we should consider

Even with this limited data set some opportunities were identified and these include possibly formalizing a relationship with the university to enable capacity building and knowledge sharing based on the limited data available within Myanmar. The opportunity to provide training on REDD+ and monitoring would be welcomed by those both within the University and in government or communities.

#### Opportunities may be used to inspire continuing relevance.

The following opportunities may be used to inspire continuing relevance.

- ❖ Facilitate data acquisition and also data reliability. The Project should support the development of reliable databases. Provide support to alleviate technical difficulties in data retrieval and management systems.

### Context overview

DRC is a large country facing a number of different contexts internally with a centralized governing structure. This diversity affects the deforestation as each region has different drivers, some include slash and burn farming, fuelwood and logging activities. There is also some mining activity in some regions. At the administrative level, the DRC went from having 13 provinces to 26 provinces. The newly created provinces do not yet have a strong basis meaning that the implementation of REDD+ in those provinces would not be the same as in older provinces already equipped with trained staff. DRC is also a post-conflict country meaning that there is a context of fragile governance for REDD+ implementation.

On a technical level, the Ministry of Environment and Sustainable Development is in charge of REDD+ in the DRC. This Ministry is also overseeing forests and climate issues. DIAF (Direction des Inventaires et Aménagements Forestiers) is a government organization among the 19 services of the Ministry of Environment and Sustainable Development. It has an advisory role to the Ministry and is responsible for compiling inventories for the DRC and to ensure forest management. The two pillars are satellite land monitoring systems and national forest inventory, which constitute two of the three pillars of MRV (Measure, Reporting, Verification). DIAF is in charge of satellite land monitoring systems through a website where all the analyses pertaining to the forest cover changes are compiled.

There is a REDD national coordination committee (CONREDD) which includes many other agencies working on REDD+, but the government leads the process. The Ministry of Finance leads the steering committee on REDD and do this work in collaboration with the Ministry of Environment and Sustainable Development. This body is responsible for setting the agenda in terms of thinking and practice about REDD+ and LED. It is assisted at the provincial level by focal points and by FAO who works closely with them in Kinshasa.

A technical consultation forum (PTC) was set up in order to harmonize results and feed the national forest monitoring system in terms of MRV data and reference levels for forest emissions. The forum was created by the Ministry of Environment and Sustainable Development. Periodic meetings with all REDD actors are held through this in order to review and discuss REDD+ issues in the DRC. OSFAC is a member of PTC and contributes a lot in terms of information and statistical data on forest monitoring and they sometimes do commissioned evaluations for the government.

There are a number of REDD+ projects being undertaken including an integrated REDD+ project which is looking at forest management and sustainable agriculture simultaneously. There is also a national coordination office which uses scientific information routinely in their work. Funding for the REDD+ process in the DRC is provided by the international community and the REDD+ funds are being managed by UNDP through the FONAREDD (REDD+ national funds).

In terms of a legal framework for REDD+ in DRC the National REDD+ Framework strategy and investment plan have been developed. And there have been advances in terms of safeguards with instruments for socio-economic safeguards and REDD+ available. The DRC is currently implementing the second phase of the REDD process and are now investing in pilot projects at provincial and sectorial levels and CIFOR has been accompanying this process.

There were 2 billion USD set aside for implementation but so far only USD 200 million has been mobilized through the CAFI funds' contribution. Some actors feel that this is not sufficient in order to address all the aspects identified in the REDD+ framework strategy. There is also the NDC (contribution



at a national level), with activities to be implemented. Each country has determined the percentage of emissions they would reduce. The DRC has set it to 17% in the forest, agriculture and energy sector.

There is momentum for the civil society to be more actively participating as demonstrated by the GTCR, a working group on Climate REDD.

One common theme which came from the interviews was that more resources are needed in order to be able to develop REDD+ related activities in the country due to the number of provinces which need to be included having risen to 26. This has raised doubts as to the effectiveness of REDD in achieving its aims. Some actors also mentioned the need for more coordination across donor funds in order to ensure that resources are assigned, and activities developed without overlaps or gaps. There are also some donors who implement activities directly in the field.

Some of the donors who are working in DRC are Concerted Organization of Ecologists and Friends and Nature (OCEAN), REDD, DAIF, CTB, then there is the Ministry of Environment and the civil society organizations. The National Coordination of the Forest Investment Programme (FIP) works within the Sustainable Development Department under the supervision of the Ministry of Environment and Sustainable Development of the DRC. It is overseeing that the Forest Investment Plan is being implemented according to the agreements. The programme covers the Mbuji-Mayi / Kananga and Kisangani basins, and is supported by the African Development Bank (AfDB) and the Kinshasa basin programme, the World Bank as well as the additional funding from FONAREDD under the PIREDD in Mai Ndombe. OSFAC has worked together with the Central African Regional Programme for the Environment (CARPE) funded by USAID. NASA, the University of Maryland and OSFAC are members of a consortium who are involved in monitoring of the forest cover in central Africa (DRC, Cameroun, Gabon and Equatorial Guinea). KFW has also funded work on carbon quantification and biomass related projects in partnership with WWF and UCLA. There is also some Japanese cooperation, German cooperation, FAO and the World Bank. Alongside these there is a joint initiative for the Congo basin, the Amazon basin, and the Mekong basin, with Indonesia, Nepal, Colombia, Mexico, Peru, Guyana and the DRC participating. There are periodic meetings to share experiences from each country and in order to share lessons learned in the implementation of projects in those three forest basins.

The number of different funds and projects being implemented has led some interviewees to suggest that the government should attempt to coordinate better with donors in order to avoid overlaps and complications during implementation. It is also felt that while there is knowledge about REDD at the national level this is not always so at a provincial level where there is less access to information. There is a website hosted by the Ministry of Environment, but some actors felt that this was not updated enough. The press has coordination for reporting on green issues through the Green Journalists Network which is supported by the environmental press. Through this medium awareness raising is done on issues related to REDD.

One interviewee pointed to the problem that REDD+ processes are only visible in the communities and provinces where there are specific REDD projects, such as the Mai Ndombe project. This project undertakes activities across the province and is funded by multi-lateral, private and international agencies. There is the aim to support sustainable development objectives at a provincial level with compensation mechanisms and other kinds of support. There are other areas which are seen to be in need of improvement and there is a call for more support in capacity building and results-based monitoring and management. Participation and consultation also came up as something which would need improving considering the number of different stakeholders and the necessity for more coordination amongst actors.

CIFOR has a lot of experience in forest conservation, climate change and low-carbon impact development in the DRC and has conducted research, engaged in capacity building at the university

level and undertaken other projects related to fuelwood. DRC has also been involved in the GCS REDD+ project.

### Illustrations of some promising practices of different research to influence strategies being implemented

It is premature to comment any further on the promising practices related to MRV. However, including land tenure in the REDD+ agenda in DRC is definitely a relevant practice.

### Opportunities to improve influence – strategies and alternatives we should consider

It has been suggested that CIFOR should consider undertaking more work at the provincial level and to target strategic stakeholders including government departments. Another interviewee suggested to consider hosting a Global Landscapes Forum (GLF) in the Congo in order to bring attention to the region and raise the profile of CIFOR's work in the region. One of the most important strategies which CIFOR is using in this country is the production and dissemination of information. There is evidence to suggest that this information is being used by different stakeholders. Some quotes with suggestions for further opportunities include:

*"I use the CIFOR website, its newsletters and some research and training results in the fields of forestry and the environment in Tshopo. They have had a positive impact for the sustainable management of the forest and environment, I think. However, research must also focus on developing and supporting state services involved in REDD+ implementation and bringing together results from other REDD+ projects and initiatives from stakeholders"* (interview DRCI01).

*"I think it is very important for CIFOR to take into account the National REDD+ Framework Strategy and the National Policy for Sustainable Forest Management by effectively involving all stakeholders in the implementation of its projects. It should also integrate more social and economic aspects into its research and training to ensure local capacity to continue REDD+ project achievements over time"* (interview DRCI01).

Additionally, there was a suggestion to *"Increase collaboration with stakeholders in the country, taking advantage of the data collection ability of local partners in the field in order to fully understand the political and economic dynamics of the country and the drivers of deforestation. There needs to be a review of results periodically against country context and global shifting REDD priorities, also maybe collaborate with other universities (in Kinshasa), in addition to the University of Kisangani"* (interview DRCI02).

The need for special attention and analysis of the drivers of deforestation has been mentioned by a number of interviewees. One actor also suggested the possibility of developing local fellowships and studentships to support capacity development in the country. There was also a suggestion that it may be opportune to formalize the collaboration with the Ministry for Environment and Sustainable Development as this would allow direct engagement and links to address gaps in knowledge and undertake collaborative research to support the development and implementation of the REDD+ activities in the country.

### Opportunities may be used to inspire continuing relevance.

The following opportunities may be used to inspire continuing relevance.

- ❖ Contribute to build the capacity.
- ❖ Explore how to bridge the gap between the level of financial means required and the financial means made available.
- ❖ Package research findings into a format that makes sense to grassroots because at present research findings can only be used in scientific circles.
- ❖ Make sure the research finding remain objective since international organizations do not wish to be criticized, the World Bank in this case leading all donor agencies. It means that research recommendations have to be integrated into conception and implementation regardless of the sensitivity of the donor.
- ❖ Address the sustainability of impacts beyond the support from the donor. How the country can sustain positive impacts with their own means and capacity.
- ❖ The project can contribute to coordination between ministries since REDD+ is multisectoral. And coordination and synergies are badly needed if efficiency has to be achieved.
- ❖ The government is well informed on REDD and is interested in implementing it. The problem lies in funding and in competition between ministries for fund management, while a lack of coordination synergy from donors also creates inefficiencies. Therefore, improving coordination, and supporting a more transparent process will allow to exert stronger influence.
- ❖ Research should explore how policies at central level can be applied at provincial level.
- ❖ Explore more how REDD+ funds could reach the local communities.
- ❖ Transaction costs of projects is very high, it means a small share of money if going to reach the communities. Research should reveal that and explore how to change that.

Opportunities to improve influence – strategies and alternatives that GCS REDD+ should consider

***Knowledge Co-Producers***

- There are some opportunities to strengthen relationships with partners for greater impact.
- Lose and gain and opportunity cost of REDD+ implementation should be carefully taken into account from governmental agency and policy maker's point of view.
- Faster return of results and feedback to participants would be appreciated. Participant fatigue due to interviewing as main strategy for data collection.
- New strategies for dissemination of data and non-academic formats and other languages e.g. magazines. Budget allocation and time for this effort have to be prepared.
- Closer connections to local government and clarity of relationships are necessary.
- Common agreements between related stakeholders in the forest management to ensure fairness and equitability between these actors are needed.
- Help to provide reliable and updated baseline forest databases is welcome.
- When necessary e.g., to conduct particular research, involve a third party/partner/organization.
- Conduct research with partner(s) through annually reviewed and flexible MoUs.
- Collaborate with partner(s) in the long term through 2 to 5-year strategic plans/views.
- Let policy advising organizations participate closely from the first step of research projects so that they later better prepare policy proposal to submit to policy makers.
- Physical presence in the country in order to participate more fully in workshops, meetings and to build relationships with civil society organizations and NGOs are encouraged.
- Support more opportunities for capacity building at local level e.g. MSc or PhD opportunities, increase collaborative research and capacity building with more universities and increase staff presence in the country.
- Sustain / develop relationships with government agencies through individual resource-persons.
- Set research agenda around economic development issues – job creation, value creation - because that the language policy makers understand and keep it aligned with what is going on the ground. Translate knowledge into products relevant and specific to the implementation stage.
- Sustain transferring and sharing knowledge, good practices, lessons learned from successful cases to countries where it can be used for improvement / up-scaling purpose.
- Get more technical and practical while remaining scientific
- Get ready to meet demand of information and styles from a broad range of audiences, i.e. larger than scientists/researchers.
- Focus on large carbon emitters which are the new targets of upcoming policies in mobilizing domestic financial resources for forest protection and carbon emission reduction.

***Supporters***

- Implement alternative communication strategies and exert more focus on communication and dissemination using networks. Communication has to be more effective to a wide range of

stakeholders, including private sector, i.e. communication matters as much as science, it even matters more at implementation level.

- Support and encourage better connection to existing platforms to place knowledge at local level.
- Support the access to processes at local/microlevel to inform research.
- Engage more aggressively with private sector, explore and support payment for performance issues and solutions.
- Pay a particular attention to language barriers e.g. Spanish or Portuguese have to be used in publications and presentations.
- Work more closely with the local government – not only research institutions - and engage them in participatory research and action research.
- REDD+ implementation has to be supported with scientific evidence – through action research and community engagement - across the process, with a particular focus on local level.
- Knowledge management, including translating knowledge base into practice matters as much as knowledge production, especially with the focus on REDD+ implementation; develop country specific solutions relevant to implementation.
- Make the research scope / findings more practical and deliver clear messages easy to understand by all stakeholders, including policy makers and decision-makers at various levels.
- Deliver/provide short and clear messages suitable for distribution and communication purposes (e.g., policy & info briefs, weekly bulletins, email updates, max. 5-minute tv programs on weekly basis, adapted to public audiences, etc.).
- Provide training courses for journalist and chief editors at both national and sub national levels.

## Implementers

- More attention should be paid to research on private sector links, including agribusinesses and international carbon markets.
- Explore how to better inform and reach key decision-makers and wider audiences at a jurisdictional level.
- Perform more research on financing aspects of REDD+ implementation. Document possible domestic financing mechanisms, etc. and strengthen capacities in applying to funding calls.
- Attention to language barriers and technical language and more availability of documents in Spanish, Portuguese or local languages, especially for work with local level.
- Attention to generalizations and methodologies which may make application difficult, e.g., rather than being national-wide, research should follow a case study approach – where relevant - with certain level of in-depth to ensure its practicability.
- Increased links to universities should be encouraged.
- Address agriculture and migrant agriculture as this is biggest driver and alternative options.
- Stakeholders wish to get technical support, more practical support down to earth in relation with implementation, e.g. MRV capacity building.
- Strengthen/work on emission and forestry resource monitoring systems.
- Strengthen linkages with implementing institutions, incl. government administrations, follow-up and feedback; identify partners and work closely with them, identify the specific gaps stakeholders face in the country.
- Strengthen capacity in communication to improve awareness of government staff and local communities in REDD+ implementation.

- There is a need to be more specific in terms of integrated landscape approach (case by case information related to implementation) while remaining multisectoral and multi-faceted incl. agriculture, livestock, land tenure and conversion, financing, etc.
- Perform less “scientific” (time consuming to read and understand) but more practical/accessible research, test applicability, relevance and practicality of results.
- Adapt research and dissemination strategies to new trends from REDD+ to low carbon strategies / climate resilient landscapes and real local issues, sluggish carbon markets, ..., and avoid duplicated research.
- Move from research for findings to expertise relevant to practical cases in order to achieve a balance between theory and implementation.
- Engage with private sector and/or minorities where many opportunities and issues reveal the true daily challenges of implementation.
- Engage closely with provincial - sub national - agencies and other projects operating at that scale/level in order to better institutionalize research findings and/or make provincial staff efficient research partners (not only supporters/informants).
- Collaborate more with NGOs and other civil society organizations to (i) gain better understanding about local situations (culture, context, etc.) and (ii) create significant collective voices for policy and practice changes.
- Keep providing macro pictures which are comparative between countries
- Allow regular, e.g. on yearly basis meetings between partners as a way to better disseminate research findings.

## Researchers

- Need for increased internal communication and coordination/cooperation between projects in the same country e.g. opportunities for joint publications.
- Alleviate the lack of critical mass of quality human resources to access local and national events, meetings and increase visibility of CIFOR in key discussions
- More work on creating complementarity among various local and national stakeholders and knowledge sharing opportunities is needed.
- Encourage and support more opportunities for capacity building and overcoming language barriers e.g. other partnerships with academic institutions or scholarships.
- Keep paying attention to agriculture and deforestation drivers.
- Improve the Theories of Change.
- Assess ethical aspects of methodologies such as randomized studies in the field.
- More attention is needed at local and jurisdictional levels.
- More communications needed in Spanish to reach local stakeholders.
- Suggest a tracking system for citations in non-academic literature.

## Annex 3 - Interview Guides and Summary Results

### Researchers

Principal Questions	Purpose of question prompts
1. Have there been changes in the last 12-18 months that have influenced how REDD+ is being designed and implemented in (insert country)?	This question seeks to gain information on changes in context. This will be contextual background for an assessment and help address Qu 1 and also seeks to assess the relevance of CIFOR's research to the changing context
2. Who is setting the agenda in terms of thinking and practice in relation to LED-REDD+? a. Given who is setting the agenda do you feel that this project is engaging with the right networks to contribute to the outcomes we are aiming for? b. Are we missing significant players or actors in our current work in order to contribute to transformational change and a departure from business as usual practices? c. Are we asking the right questions and are we seeking to influence the right networks?	This question will help us validate the impact pathway in the theory of change and establish (Qu 2.4 and Qu3): <ul style="list-style-type: none"> <li>• Whether CIFOR is engaging with the most significant actors</li> <li>• Who is advising the significant players?</li> <li>• What are the knowledge networks that are supporting their decision-making processes?</li> </ul>
3. What strategies and approaches are you using to motivate the stakeholders you are engaging with to integrate evidence and knowledge in their work? a. In answering this question you may want to consider strategies such as technical capacity building, awareness raising, peer pressure, harnessing community momentum, etc?	This question seeks to validate the theory of change and probe the various strategies being used by researchers in their work
4. What strategies are you employing to motivate your partners and targeted stakeholders to internalize a commitment to 3E REDD+?	Again we are seeking to probe the theory of change and with the additional focus on "internalization". By internalization, we are referring to whether partners: take on the values, believe them and that they form part of their world view about how REDD+ should be designed, implemented and assessed.
5. Are there other strategies that CIFOR should be considering in its research and engagement?	This question is looking for information on how CIFOR can strengthen and improve its work (Qu2.4). We are specifically interested in whether there are additional impact pathways or theories of change we should be considering (Qu 3.2).  By strategies we mean:

	<ul style="list-style-type: none"> <li>• Ways of working that would enhance the usefulness and utilization of CIFOR's research</li> <li>• Techniques or approaches that would be helpful in enhancing engagement and use of knowledge produced</li> </ul>
<i>Co-production</i>	
6. Have you observed any changes in your knowledge co-production partners that you would attribute to their collaboration with CIFOR?	<p>Remind them of their coproduction partners and ask them to think about the types of engagement that they are having with them.</p> <p>We are looking to see whether they identify elements of what we would define as genuine 'knowledge co-production'. In this question we are seeking specific examples that can be categorized as one of the following three types of knowledge co-production:</p> <ol style="list-style-type: none"> <li>1. Knowledge that is generated in partnership with intended users or boundary partners for the purpose of a) increasing the understanding of the research team of the problem context and b) the ownership of the knowledge by the users or boundary partners. It implies consultation with users of boundary partners across the research cycle from priority setting, data collection (not necessarily fieldwork), interpretation and recommendations</li> <li>2. Knowledge that was co-generated through peer-to-peer research partnerships that involves mutual benefit in terms of thought partnership and methods development, or</li> <li>3. Knowledge that was co-generated through mentored or supervised research partnerships (PhDs, lower capacity National Research Institutes etc) that have a capacity development objective</li> </ol>
7. Are there mutual benefits arising from your interaction with your knowledge co-production partners? <ol style="list-style-type: none"> <li>a. Has this collaboration changed things for your partner and if so how?</li> <li>b. Could you provide an example?</li> <li>c. What do you think brought that about?</li> <li>d. Have you observed any changes in CIFOR as a result of the collaboration and if so what?</li> <li>e. Could you provide an example?</li> </ol>	<p>This question seeks evidence in relation to knowledge co-production outcomes (Qu2.2). We are seeking specific information not only of the benefit but also information about what it was in their interaction with CIFOR that resulted in that benefit.</p> <p>NB knowledge coproduction outcomes include benefits to CIFOR as well as our partners.</p>



<p>f. What do you think brought that about?</p>	<p>Some intended benefits for partners to probe for include:</p> <ul style="list-style-type: none"> <li>• Knowledge and capacity to apply new tools, methods, approaches</li> <li>• Improved understanding of the evidence base</li> <li>• Ownership and understanding of findings and recommendations</li> <li>• Appreciation of how research can be applied in policy or practice</li> </ul> <p>Some intended benefits for CIFOR to probe for include:</p> <ul style="list-style-type: none"> <li>• Greater knowledge of local complexity</li> <li>• Improved ability to shape research agenda to the problem context</li> <li>• Engagement with new networks</li> <li>• Stronger coalition and reach through pooled resources and collective voice</li> </ul>
<p>8. In your experience is the co-generation of knowledge an effective strategy to improve engagement with, understanding and use of scientific information by policy makers and practitioners?</p>	<p>By co-generation of knowledge we mean:</p> <ul style="list-style-type: none"> <li>• Knowledge that is generated in partnership with intended users or boundary partners for the purpose of a) increasing the understanding of the research team of the problem context and b) the ownership of the knowledge by the users or boundary partners</li> <li>• It implies consultation (but not necessarily active contributions) with users of boundary partners across the research cycle from priority setting, data collection, interpretation and recommendations</li> </ul>
<p>9. On balance, of the strategies that CIFOR is employing in the GCS REDD+ project, how significant do you see knowledge co-production?</p> <p>a. Are you employing that strategy in your work and if so how significant has it been in achieving intended results?</p>	
<p><i>Implementers/supporters</i></p>	
<p>10. Have you observed any changes in your targeted implementers or supporters that you would attribute in part to their direct or indirect interactions with CIFOR research process, findings or dissemination activities?</p> <p>a. For the examples you have provided how you would explain CIFOR's contribution to the observed change?</p>	<p>(remind them of their partners list)</p> <p>Changes may include: Behaviors, attitudes, adoption of language, use of concepts in presentations, types of information seeking from you, types of advice that they are asking for, etc.</p>

(what did you do that contributed to this result?)	
11. Are the interactions that supporters and implementers have with CIFOR knowledge primarily producer supply driven or user demand driven?	This question would like to establish whether CIFOR is creating an appetite for the target information or responding to other external drivers, their process, their needs etc.
12. What are the key challenges for your partners or targeted stakeholders to take up and use CIFOR's findings and tools? a. Are these challenges primarily individual technical skills and capacity, institutional systems and processes, funding constraints, unrealistic timelines, international or national political contexts, competing interests from private sector, etc? b. How significant a threat are these challenges to the realization of the projects intended outcomes?	Seeking information on the relevance of CIFOR's research to the stakeholder's problem context – i.e. does CIFOR's work align with/help to address the identified challenges  Looking for impact pathways that may have been over looked – by focusing on supporters and enablers are we overlooking addressing constraining factors/actors
13. Have there been any unintended negative or positive outcomes as a result of CIFOR's work?	This question seeks to balance our investigation into benefits and outcomes by looking also for challenges and negative outcomes (Qu2.3) Prompt for examples of these, if any.
14. How successfully is the communications module supporting the achievement of outcomes and what opportunities exist to modify and improve this?	
15. What is your opinion of the methods and tools that the GCS REDD+ project is using to monitor progress and report on results? a. Do you have systems in place to track information about outcomes and store outcomes related data? b. How could these be improved?	Are the tools what you are using sufficient and user friendly? Are they adaptable? Are there other methods or tools which you think you would aid your work?
16. Are there opportunities to enhance how CIFOR's work is supporting the way in which REDD+ is designed, implemented and assessed in an equitable, efficient and effective manner? a. Are there things on the horizon which we should take into consideration in the next phase of our work?	This question seeks users input on how to improve the theory of change and become more nuanced in how CIFOR is working This question seeks information on changes in context. This will be contextual background for an assessment and help address Qu 1
17. Is there anything else which you would like to add that we didn't get a chance to discuss?	

## Supporters

Questions	Purpose of question/Prompts
<p>1. What is your/your organization's role in terms of forest conservation, climate change, Low Emissions Development (LED)/REDD+ and what do you do in your organization?</p> <ol style="list-style-type: none"> <li>What is your/your organizations role in supporting the design and implementation of REDD+, at a global or jurisdictional scale?</li> <li>Who are the principal stakeholders you are supporting to design and implement REDD+?</li> </ol>	<p>In addition to establishing rapport and gaining understanding of the informant's position, this question will also help us understand:</p> <ul style="list-style-type: none"> <li>What they or their organization would be known for and what is the mandate of the organization</li> <li>What the role and responsibilities are of the person or their organization in terms of LED/REDD+ work</li> <li>Who the person/organization is working with to achieve their goals</li> </ul> <p>This will provide context to interpret results at the foundational level of the theory of change</p>
<p>2. When providing that support what are the key principles that you are seeking to promote with the stakeholders you are engaging with?</p> <ol style="list-style-type: none"> <li>Are there particular values or cross cutting things that you would hope to see consistently integrated?</li> <li>Are there quality standards and consistent practices that you would like to see put in place?</li> <li>Are there targeting and prioritization processes that you think should be promoted?</li> </ol>	<p>This question seeks to gain information about the extent to which the organization is aware of and using 3E in their work. We are seeking to unpack 3E as a framework and how important this is considered to be. This relates to the extent to which contributions to the intended outcome are observable (Qu 2.1)</p>
<p>3. What strategies are you using to motivate the stakeholders you are engaging with to integrate those key principals in their practice?</p> <ol style="list-style-type: none"> <li>Do you apply particular incentives or disincentives to achieve your goals?</li> <li>In answering this question, you may want to consider strategies such as technical capacity building, awareness raising, peer pressure, harnessing community momentum, etc?</li> </ol>	<p>This question relates to the theory of change and the confidence we have about the relationship between supporters and implementers (Qu 3 and 3.2)</p>
<p>4. In order for stakeholders to work in ways consistent with those key principles what are the main knowledge gaps and how are you working to address them?</p>	<p>This question seeks to find out about the key knowledge gaps and the relevance of CIFOR's work to targeting high priority knowledge gaps (Qu 1 and Qu 2.4)</p> <p>When thinking about this question you may want to consider:</p> <ul style="list-style-type: none"> <li>Connecting them to networks, tools and resources, producing knowledge products, synthesizing</li> </ul>

	science information, facilitating peer learning forums, knowledge sharing events, etc.
5. Have there been developments in the last 12-18 months that have influenced how REDD+ is being designed and implemented in (insert country)?	This question seeks to gain information on changes in context. This will be contextual background for an assessment and help address Qu 1
6. Who is setting or driving the REDD+ agenda in terms of thinking and practice in (insert country)? <ul style="list-style-type: none"> <li>a. How do you keep up with developments in REDD+?</li> <li>b. What types of information do you access, how and from who?</li> <li>c. What formats do you find most accessible and useful in your work?</li> <li>d. Whose advice do you value and why do you value their opinion?</li> </ul>	This question is seeking to understand what kind of information is being produced and consumed by who and how. This will inform our understanding of: <ul style="list-style-type: none"> <li>• the relative contribution of CIFOR to the observed outcome (Qu2.2)</li> <li>• how we can better tailor our knowledge for use by intended users (Qu2.4)</li> <li>• the relationships of trust and legitimacy in dissemination of knowledge</li> </ul>
7. Do you or your organization use scientific information in your work related to REDD+? <ul style="list-style-type: none"> <li>a. How has it influenced or contributed to your work?</li> <li>b. Where did you get that information? (Any specific events, publication, meetings, etc.)</li> <li>c. Are there any barriers to using scientific information in this process?</li> </ul>	This question aims to establish the relative contribution of CIFOR as compared to all other available sources. It also addresses the process barriers and capacity to implement (Qu 2.1)
8. What do you know about the work CIFOR has done on REDD+? <ul style="list-style-type: none"> <li>a. How did you become aware of the work?</li> <li>b. What specific topics or areas of work are you aware of?</li> <li>c. How did you become aware of that work?</li> </ul>	This question seeks to analyze CIFOR's strategies for engagement and dissemination and their effectiveness. It will also address how CIFOR may be able to improve their potential influence (Qu 2.4)
9. How do you perceive CIFOR scientific research in relation to REDD+? <ul style="list-style-type: none"> <li>a. Is it relevant to the key challenges you see in the implementation?</li> <li>b. Does it reflect the values and priorities of the diverse beneficiaries affected?</li> <li>c. Would you consider it high quality science?</li> <li>d. Do you think people will use it to design, implement and monitor LED/REDD+ initiatives?</li> </ul>	This question seeks to gain some user feedback on the quality of research with reference to the quality of research for development framework – credibility, relevance, legitimacy, effectiveness (Qu 1, Qu 2.2, Qu 3)

<p>10. In your work supporting the implementation of REDD+ have you drawn on CIFOR's scientific research?</p> <ol style="list-style-type: none"> <li>If so, which work have you used and how has this been applied?</li> <li>Could you provide us with some specific details about that example?</li> <li>Reflecting on the main stakeholders you engage with, have you made use of any CIFOR generated knowledge in your engagement with these actors?</li> </ol>	<p>This question explicitly seeks to establish whether and how the informant has used CIFOR's work. This relates to influence towards intended outcomes (Qu 2.2).</p> <p>You may consider prompting for the stakeholders which we identified in Question 4, and we would like them to refer to implementers and/or beneficiaries</p>
<p>11. Are there opportunities to enhance how CIFOR's work is supporting the way in which REDD+ is designed, implemented and assessed in an equitable, efficient and effective manner?</p> <ol style="list-style-type: none"> <li>In order to do so, what are some of the strategies that CIFOR should be considering in its research and engagement?</li> <li>In your experience, is co-generation of knowledge an effective way to improve the engagement with, understanding and use of scientific information by policy makers and practitioners?</li> </ol>	<p>This question seeks users input on how to improve the theory of change and become more nuanced in how CIFOR is working</p> <p>By strategies we mean:</p> <ul style="list-style-type: none"> <li>Ways of working that would enhance the usefulness and utilization of CIFOR's research</li> <li>Techniques or approaches that would be helpful in enhancing engagement and use of knowledge produced</li> </ul> <p>By co-generation of knowledge we mean:</p> <ul style="list-style-type: none"> <li>Knowledge that is generated in partnership with intended users or boundary partners for the purpose of a) increasing the understanding of the research team of the problem context and b) the ownership of the knowledge by the users or boundary partners</li> <li>It implies consultation (but not necessarily active contributions) with users of boundary partners across the research cycle from priority setting, data collection, interpretation and recommendations</li> </ul>
<p>12. Is there anything else which you would like to add that we didn't get a chance to discuss?</p>	

## Knowledge Co-producers

Principle Questions	Purpose of question
<i>Context</i>	
<p>1. What is your/your organization's role in terms of forest conservation, climate change, Low Emissions Development (LED)/REDD+? What do you do in your organization?</p> <p>a. Would you describe your/your organizations role as primarily related to research or other activities?</p> <p>b. In your role, what proportion of your time is devoted to knowledge production/research versus other activities?</p> <p>c. In your work, how significant is LED/REDD+ as a topic?</p>	<p>In addition to establishing rapport and gaining understanding of the informant's position, this question will also help us understand:</p> <ul style="list-style-type: none"> <li>• What the co-producer/ their organization would be known for</li> <li>• What other responsibilities is the person balancing with their interest/role in LED/REDD+ work</li> <li>• Relative importance of REDD+ in their overall objectives</li> </ul> <p>This will provide context to interpret results at the foundational level of the theory of change</p>
<p>2. Who is setting the agenda in terms of <b>thinking</b> and <b>practice</b> in relation to LED/REDD+ in (insert country)?</p> <p>a. Who do the people setting the agenda in terms of LED/REDD+ practice receive advice and guidance from? (i.e. from within government, from think tanks, civil society, international agencies etc)</p> <p>b. Who do you think the significant thought leaders in LED/REDD+ are engaging with most? Can you provide any examples?</p>	<p>This question will help us validate the impact pathway in the theory of change and establish (Qu 2.4 and Qu3):</p> <ul style="list-style-type: none"> <li>• Whether CIFOR is engaging with the most significant actors</li> <li>• Who is advising the significant players</li> <li>• What are the knowledge networks that are supporting their decision-making processes</li> </ul>
<p>3. How do you keep up with developments in REDD+?</p> <p>a. What types of information do you access, how and from who?</p> <p>b. Whose advice do you value and why do you value their opinion?</p> <p>c. What formats do you find most accessible and useful in your work?</p> <p>d. What information platforms do you access?</p>	<p>This question is seeking to understand what kind of information is being produced and consumed by who and how. This will inform our understanding of:</p> <ul style="list-style-type: none"> <li>• the relative contribution of CIFOR to the observed outcome (Qu2.2)</li> <li>• how we can better tailor our knowledge for use by intended users (Qu2.4)</li> <li>• the relationships of trust and legitimacy in dissemination of knowledge</li> </ul>
<p>4. Have there been changes in the last 12-18 months that have influenced how REDD+ is being designed and implemented in (insert country)?</p> <p>a. Have there been changes in national or sub-national political arenas?</p> <p>b. Have there been changes in international agreements or aid and investment flows?</p> <p>c. Have there been significant events locally that have increased the focus on these issues?</p>	<p>This question seeks to gain information on changes in context. This will be contextual background for an assessment and help address Qu 1</p>

<i>Achievement of outcomes</i>	
<p>5. How would you describe the interaction you/your organization has had with CIFOR in the context of the GCS REDD+ (LED) project?</p> <ol style="list-style-type: none"> <li>What was the purpose/nature of the interaction?</li> <li>What joint activities and products have you contributed to?</li> <li>How collaborative was your involvement in these activities and products? You may want to probe for: <ol style="list-style-type: none"> <li>When you first engaged with CIFOR was the purpose of the study already set or did you have a say in the design of the methods or how this was incorporated?</li> <li>Did CIFOR modify what they wanted to investigate based on complementary experience from our partners?</li> <li>What level of ownership did you have over the process and the products?</li> </ol> </li> </ol>	<p>This question is seeking the partners' interpretation of their relationship with CIFOR. We are looking to see whether they identify elements of what we would define as genuine 'knowledge co-production'. In this question we are seeking specific examples that can be categorized as one of the following three types of knowledge co-production:</p> <ol style="list-style-type: none"> <li>Knowledge that is generated in partnership with intended users or boundary partners for the purpose of a) increasing the understanding of the research team of the problem context and b) the ownership of the knowledge by the users or boundary partners. It implies consultation with users of boundary partners across the research cycle from priority setting, data collection (not necessarily fieldwork), interpretation and recommendations</li> <li>Knowledge that was co-generated through peer-to-peer research partnerships that involves mutual benefit in terms of thought partnership and methods development, or</li> <li>Knowledge that was co-generated through mentored or supervised research partnerships (PhDs, lower capacity National Research Institutes etc) that have a capacity development objective</li> </ol>
<p>6. Are there mutual benefits arising from your organizations interaction with CIFOR?</p> <ol style="list-style-type: none"> <li>If so, in what way have <b>you benefited</b> from this interaction?</li> <li>Could you provide an example?</li> <li>What was it about the nature of the interaction with CIFOR that facilitated this?</li> <li>Have you observed any <b>benefits to CIFOR</b> as a result of the collaboration?</li> <li>Could you provide an example?</li> <li>What do you think brought that about?</li> </ol>	<p>This question seeks evidence in relation to knowledge co-production outcomes (Qu2.2). We are seeking specific information not only of the benefit but also information about what it was in their interaction with CIFOR that resulted in that benefit.</p> <p>NB knowledge coproduction outcomes include benefits to CIFOR as well as our partners.</p> <p>Some intended benefits for partners to probe for include:</p> <ul style="list-style-type: none"> <li>Knowledge and capacity to apply new tools, methods, approaches</li> <li>Improved understanding of the evidence base</li> <li>Ownership and understanding of findings and recommendations</li> </ul>



	<ul style="list-style-type: none"> <li>• Appreciation of how research can be applied in policy or practice</li> </ul> <p>Some intended benefits for CIFOR to probe for include:</p> <ul style="list-style-type: none"> <li>• Greater knowledge of local complexity</li> <li>• Improved ability to shape research agenda to the problem context</li> <li>• Engagement with new networks</li> <li>• Stronger coalition and reach through pooled resources and collective voice</li> </ul>
7. Of the benefits you have identified, have these made a difference to how you do your work (thinking beyond your collaboration with CIFOR)?	<p>This question seeks to validate the theory of change – i.e. that knowledge co-production outcomes will influence how these actors work and therefore influence those actors and activities within their sphere of influence and control (Qu3.1)</p> <p>You may consider use of tools or methods – how they value/use scientific evidence and their knowledge of information sources to draw on</p>
<p>8. Has the interaction between CIFOR and your organization resulted in any influence on any of the external stakeholders or partners you engage with?</p> <ol style="list-style-type: none"> <li>Can you provide some specific examples?</li> <li>How did the collaboration facilitate this influence?</li> <li>What were the contextual factors at the time that enabled this influence?</li> </ol>	<p>This question is looking for evidence that the co-production of knowledge is leading to influence in implementers and supporters (Qu 2.2 and 3.1).</p> <p>When answering this question consider the possible influence of joint activities, products and tools, and any new networks and connections facilitated through the collaboration.</p>
9. Have there been any unexpected negative consequences or challenges arising from your collaboration with CIFOR?	<p>This question seeks to balance our investigation into benefits and outcomes by looking also for challenges and negative outcomes (Qu2.3)</p>
<i>Improvements</i>	
<p>10. How might we be able to enhance the collaboration between CIFOR and your organization in the future?</p> <ol style="list-style-type: none"> <li>What opportunities are there that we could build on?</li> <li>If we were to work together in the future how could we improve how we work together?</li> </ol>	<p>This question is looking for information on how we can strengthen and improve our work (Qu2.4).</p>
<i>Relevance/outreach/spread of influence</i>	
11. What further opportunities are there for CIFOR to support the design, implementation and assessment of REDD+ in an equitable, efficient and effective manner?	<p>This question is looking for information on how CIFOR can strengthen and improve its work (Qu2.4). We are specifically interested in whether there are additional</p>



<p>a. What strategies should CIFOR be considering in its research and engagement?</p>	<p>impact pathways or theories of change we should be considering (Qu 3.2).</p> <p>By strategies we mean:</p> <ul style="list-style-type: none"> <li>• Ways of working that would enhance the usefulness and utilization of CIFOR's research</li> <li>• Techniques or approaches that would be helpful in enhancing engagement and use of knowledge produced</li> </ul>
<p>12. Are there developments CIFOR should take into consideration in the next phase of their work?</p> <p>a. Will these developments have an influence on how relevant CIFOR's research is for key decision makers?</p>	<p>This question seeks to gain information on changes in context. This will be contextual background for an assessment and help address Qu 1</p>
<p>13. Is there anything else which you would like to add that we didn't get a chance to discuss?</p>	<p>Conclusion and open-ended question</p>

## Implementers

Questions and sub-questions	Purpose of question
<i>Context</i>	
<p>13. What is your/your organization's role in terms of forest conservation, climate change, Low Emissions Development (LED)/REDD+ and what do you do in your organization?</p> <p>b. What is your/your organizations role in the design, monitoring and implementation of REDD+, at a global or jurisdictional scale?</p>	<p>In addition to establishing rapport and gaining understanding of the informant's position, this question will also help us understand:</p> <ul style="list-style-type: none"> <li>• What they or their organization would be known for and what is the mandate of the organization</li> <li>• What the role and responsibilities are of the person or their organization in terms of LED/REDD+ work</li> <li>• Who the person/organization is working with to achieve their goals</li> </ul> <p>This will provide context to interpret results at the foundational level of the theory of change</p>
<i>Evidence of intended outcomes</i>	
<p>2. I would like to understand your perception of the REDD+ agenda. In order to understand this I have three simple questions to ask you, please provide a direct response to each and then provide further explanation of these responses at the end.</p> <p>a. Do you think REDD+ will make a significant contribution to the equitable achievement of low emissions development, forest conservation or other climate related objectives?</p> <p>b. On a scale of 1 – 10, where 1 is not very and 10 is extremely, how strongly held is your position on the contribution that REDD+ will make to these issues?</p> <p>c. On a scale of 1 – 10, where 1 is not very and 10 is extremely, how important is REDD+ to the work you do day to day?</p> <p>3. What are the most influential factors affecting your perception of the significance and relevance of REDD+?</p>	<p>These questions serve to establish a proxy for the will to implement (Qu 2.1). In this case 'will' is assessed as the combination of three factors - <i>opinion</i> about a particular issue plus <i>intensity</i> of that opinion plus the degree of <i>salience</i>, or importance, of an issue.<sup>12</sup></p> <p>This is an assessment of 'will' to implement independent of CIFOR's contribution to this. The theory of change expects to see both a direct and indirect influence on the will of implementers to implement 3E REDD+, both as the result of the enabling environment provided by supporters and direct relationships with CIFOR where relevant.</p> <p>CIFOR's relationship to the will to implement will be established through responses to Qu 3, inferences drawn from Qu 11 as well as any references made to supporters CIFOR has influenced.</p>
<p>4. What factors are enabling you to effectively undertake your work in relation to the design, monitoring and implementation of LED/REDD+?</p>	<ul style="list-style-type: none"> <li>• Establishing the extent to which the implementers feel equipped to fulfill their role in LED/REDD+ (Qu 2.1).</li> </ul>

<sup>12</sup> Julia Coffman and Ehren Reed. *Unique Methods in Advocacy Evaluation* (Harvard Family Research Project, 2009).

<sup>2</sup> Craig Charney. *Political Will: What is it? How is it Measured?* (Charney Research, 2009).

<http://www.charneyresearch.com/resources/political-will-what-is-it-how-is-it-measured/>

<ol style="list-style-type: none"> <li>a. While answering this question you might think of policy or country context, international aid and investment flows, leadership/champions, momentum/critical mass, significant agreements or events.</li> <li>b. Who is contributing to creating the enabling environments that you have described and how are they doing this?</li> <li>c. What types of actors are these - donor organizations, think tanks, government agencies, private sector?</li> </ol>	<ul style="list-style-type: none"> <li>• Exploring alternative explanations for the extent to which they feel equipped –i.e. what factors/actors contributed to this other than CIFOR.</li> <li>• Establishing whether we have identified and engaged with the ‘supporters’ that implementers perceive to be creating enabling environments.</li> <li>• Probing for factors that are commonly explored as contributing factors in policy change evaluations (see ODI RAPID and ROMA frameworks)</li> </ul>
<ol style="list-style-type: none"> <li>5. Is enough being done to support the creation of an enabling environment and if not, who could be doing more and how?               <ol style="list-style-type: none"> <li>a. Are there ways that CIFOR could be supporting that effort?</li> </ol> </li> </ol>	<p>This question is looking for information on alternative strategies and improvements in how CIFOR is working (Qu 2.4)</p>
<ol style="list-style-type: none"> <li>6. What factors constrain your ability to design, implement and assess LED-REDD+?               <ol style="list-style-type: none"> <li>a. Are there technical, policy, resources, skills or capacity gaps?</li> <li>b. Are there political, commercial or other vested interests that are complicating this?</li> <li>c. Who are the actors that are constraining your ability to design and implement and how?</li> </ol> </li> </ol>	<ul style="list-style-type: none"> <li>• Seeking information on the relevance of CIFOR’s research to the implementers problem context – i.e. does CIFOR’s work align with/help to address the identified constraints</li> <li>• Looking for impact pathways that may have been over looked – by focusing on supporters and enablers are we overlooking addressing constraining factors/actors</li> </ul>
<ol style="list-style-type: none"> <li>7. Is enough being done to overcome the constraining factors? If not, who could be doing more and how?               <ol style="list-style-type: none"> <li>a. Are there ways that CIFOR could be supporting that effort?</li> </ol> </li> </ol>	<p>This question is looking for information on alternative strategies and improvements in how CIFOR is working (Qu 2.4)</p>
<p><i>Knowledge utilization and implementer perceptions and use of CIFOR’s work</i></p>	
<ol style="list-style-type: none"> <li>8. Do you or your organization use scientific information in your work related to REDD+?               <ol style="list-style-type: none"> <li>a. How has it influenced or contributed to your work?</li> <li>b. How and from who do you get this information? (Any specific people, networks, events, publication, meetings, etc.)</li> <li>c. Are there any barriers to using scientific information in this process?</li> </ol> </li> </ol>	<p>This question aims to establish the relative contribution of CIFOR as compared to all other available sources. It also addresses the process barriers and capacity to implement (Qu 2.1)</p>

<p>9. What do you know about the work CIFOR has done on REDD+?</p> <ol style="list-style-type: none"> <li>How did you become aware of the work?</li> <li>What specific topics or areas of work are you aware of?</li> <li>How did you become aware of that work?</li> </ol>	<p>This question seeks to analyze CIFOR's strategies for engagement and dissemination and their effectiveness. It will also address how CIFOR may be able to improve their potential influence (Qu 2.4)</p>
<p>10. How do you perceive CIFOR scientific research in relation to REDD+?</p> <ol style="list-style-type: none"> <li>Is it relevant to the key challenges you see in the design, implementation and monitoring of REDD+?</li> <li>Does it reflect the values and priorities of the diverse beneficiaries affected?</li> <li>Would you consider it high quality science?</li> <li>Do you see it as useful and applicable to the challenge of designing, implementing and monitoring LED REDD+ initiatives?</li> </ol>	<p>This question seeks to gain some user feedback on the quality of research with reference to the quality of research for development framework – credibility, relevance, legitimacy, effectiveness (Qu 1, Qu 2.2, Qu 3)</p>
<p>11. In your work implementing REDD+ have you drawn on CIFOR's scientific research?</p> <ol style="list-style-type: none"> <li>If so, which work have you used and how has this been applied?</li> <li>Have you experienced any challenges or difficulties in using CIFOR's work on REDD+?</li> </ol>	<p>This question explicitly seeks to establish whether and how the informant has used CIFOR's work. This relates to influence towards intended outcomes (Qu 2.2).</p>
<p><i>Comments on the REDD+ theory of change</i></p>	
<p>12. Are there opportunities to enhance how CIFOR's work is supporting the way in which REDD+ is designed, implemented and assessed in an equitable, efficient and effective manner?</p> <ol style="list-style-type: none"> <li>In order to do so, what are some of the strategies that CIFOR should be considering in its research and engagement?</li> <li>In your experience, is co-generation of knowledge an effective way to improve the engagement with, understanding and use of scientific information by policy makers and practitioners?</li> <li>In your opinion, is CIFOR using knowledge co-production in their work on LED/REDD+? If so, are you able to</li> </ol>	<p>This question seeks users input on how to improve the theory of change and become more nuanced in how CIFOR is working</p> <p>By strategies we mean:</p> <ul style="list-style-type: none"> <li>Ways of working that would enhance the usefulness and utilization of CIFOR's research</li> <li>Techniques or approaches that would be helpful in enhancing engagement and use of knowledge produced</li> </ul> <p>By co-generation of knowledge we mean:</p> <ul style="list-style-type: none"> <li>Knowledge that is generated in partnership with intended users or boundary partners for the purpose</li> </ul>

comment on the effectiveness of this approach in engaging intended research users?	<p>of a) increasing the understanding of the research team of the problem context and b) the ownership of the knowledge by the users or boundary partners</p> <ul style="list-style-type: none"> <li>• It implies consultation (but not necessarily active contributions) with users or boundary partners across the research cycle from priority setting, data collection, interpretation and recommendations</li> </ul>
13. Are there recent developments or upcoming changes in the LED/REDD+ arena nationally or internationally that you think CIFOR should take into consideration in the next phase of their work?	This question seeks information on changes in context. This will be contextual background for an assessment and help address Qu 1
14. Is there anything else which you would like to add that we didn't get a chance to discuss?	Conclusion and open-ended question

## Annex 4 - Addressing Review Questions and performance indicators

### Data collection tools

The review made use of the following methods and data collection and assessment tools.

#### Existing tools

- narrative donor reports
- partnership agreements
- event feedback forms
- influence logs
- trip reports

#### New tools

- Semi-structured interviews with knowledge co-producers
- Semi-structured interviews with research staff
- Semi-structured interviews with engaged supporters
- Semi-structured interviews with engaged implementers

#### Qualitative data assessment tools

- Knowledge co-production rubric
- Intended outcome assessment rubric (actor and module specific)

When planning the review, the following analysis of information needs was used.

Table 3: Details of information needed to address review questions and indicators

Theory of change level	Intended outcomes	Midterm results framework indicators	Information needed	Information sources
1. Knowledge co-production and co-learning 2. Access to knowledge	Relevant groupings of actors are engaged across the research cycle	n/a	<p>Evidence across the modules that knowledge co-production is an intentional design strategy to enhance the influence of knowledge generated</p> <p>To what extent identified knowledge co-producers engaged at different stages of the research cycle, including:</p> <ol style="list-style-type: none"> <li>Research design</li> <li>Data collection</li> <li>Knowledge synthesis and conclusions</li> <li>Developing recommendations and actions</li> </ol> <p>Knowledge co-producers' perceptions of the value of this engagement and the influence this has on their engagement with the knowledge produced</p>	<ul style="list-style-type: none"> <li>• Document reviews (narrative reports, partnership agreements, event, trip reports and workshop invitations)</li> <li>• Influence logs</li> <li>• Semi-structured interviews with knowledge co-producers</li> <li>• Semi-structured interviews with research staff</li> </ul>
1. Knowledge co-	Engaged actors:	50% of the actors engaged	What activities were undertaken to enhance	<ul style="list-style-type: none"> <li>• Activity plans and reports</li> </ul>

<p>production and co-learning</p> <p>2. Access to knowledge</p>	<ol style="list-style-type: none"> <li>1. Learn skills, methods and tools</li> <li>2. Internalize the value of 3E</li> <li>3. Understand how evidence can support 3E decision making</li> </ol>	<p>in project activities reporting co-production outcomes (skills, values and understanding)</p>	<p>knowledge co-producer's skills and knowledge of methods and tools? (data disaggregated for Cap Dev indicator)</p> <p>What activities were undertaken to share 3E knowledge with co-producers? How successful were these events in achieving their objectives and why?</p> <p>Knowledge co-producers articulated understanding of 3E in REDD+ and how to use evidence to support decision making aligned to this</p> <p>Knowledge co-producer's assessment of the extent to which their engagement with the project has resulted in:</p> <ol style="list-style-type: none"> <li>1. enhanced skills and knowledge of methods and tools</li> <li>2. perceptions of the value of 3E REDD+</li> <li>3. enhanced ability to utilize evidence to support 3E decision making</li> </ol> <p>(NB this assessment will be based on the actor specific objectives identified during review planning)</p> <p>What other factors, beyond their engagement with CIFOR, have contributed to the development of 1-3 above?</p> <p>Knowledge co-producers and research staff opinions on how CIFOR could be more effective in promoting intended outcomes</p> <p>Were there any positive or negative unexpected outcomes for knowledge co-producers as a result of</p>	<ul style="list-style-type: none"> <li>• Event feedback forms</li> <li>• Influence logs</li> <li>• Semi-structured interviews with knowledge co-producers</li> <li>• Most significant change interviews with long term knowledge co-producers</li> <li>• Semi-structured interviews with research staff</li> </ul>
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			their engagement with the project?	
Access to knowledge  Change in aspirations	Informed <i>implementers</i> in target countries have the will, knowledge, capacity and support to implement 3E REDD+	50% of targeted implementers influenced by CIFOR engagement show capacity to implement	<p>What project activities were undertaken to share knowledge with implementers? How successful were these activities in reaching implementers and why?</p> <p>Retrospective baseline and mid-point self-assessment of the relevant features of the will, knowledge, capacity and support to implement 3E REDD+</p> <p>Retrospective baseline and mid-point researcher assessment of the relevant features of the will, knowledge, capacity and support to implement 3E REDD+ in targeted implementers</p> <p>Implementers feedback on where they are getting their information on REDD+ implementation</p> <p>The extent to which targeted implementers are</p> <p>Evidence that knowledge co-producers are sharing knowledge or influencing implementers/ implementation</p> <p>Were targeted implementers who were also engaged in the research cycle more likely to</p>	<ul style="list-style-type: none"> <li>• Activity reports</li> <li>• Event evaluations</li> <li>• Semi-structured interviews with research staff</li> <li>• Semi-structured interviews with engaged implementers</li> </ul>
Access to knowledge  Change in aspirations	Informed <i>supporters</i> promote, motivate and enable 3E REDD+ implementation	50% of targeted supporters influenced by CIFOR reinforcing use of 3E principles	<p>What activities were undertaken to share knowledge with supporters? How successful were these activities in reaching implementers and why?</p> <p>Retrospective baseline and mid-point self-assessment of the relevant features of</p>	<ul style="list-style-type: none"> <li>• Activity reports</li> <li>• Event evaluations</li> <li>• Semi-structured interviews with research staff</li> <li>• Semi-structured interviews with engaged supporters</li> </ul>



			<p>the will, knowledge, capacity and support to implement 3E REDD+</p> <p>Retrospective baseline and mid-point researcher assessment of evidence of promotion and enabling of 3E REDD+ in targeted supporters</p> <p>Implementers feedback on where they are getting their information on REDD+ implementation</p>	
Change in behaviour	<p><i>Implementers:</i></p> <ol style="list-style-type: none"> <li>1. Create enabling conditions for...</li> <li>2. Design and implement ...</li> <li>3. Assess carbon and non-carbon performance of...</li> <li>4. Use 3E's to inform and influence their decision making on... ...REDD+ and sustainable private sector initiatives.</li> </ol>	<p>4 of 8 target countries assessed as having established enabling conditions for 3E REDD+ and sustainable private sector initiatives</p> <p>CIFOR can demonstrate a knowledge-based contribution to 3 out of the 4 countries with enabling conditions</p> <p>25% of targeted implementers design and implement 3E REDD+ and sustainable private sector initiatives</p> <p>50% of targeted national implementers include drivers and key emission sources in their MMRV efforts</p>	<p>The review team would focus on demonstrating a knowledge-based contribution to these results through data collected from targeted users as above</p> <p>Assessment of current design and implementation practices of target implementers against 3E principles as defined in M1 outputs from Phase 2.</p>	<ul style="list-style-type: none"> <li>• Activity reports</li> <li>• Event evaluations</li> <li>• Semi-structured interviews with research staff</li> <li>• M1 generated report on target country enabling conditions</li> <li>• M3 generated report whether target countries include drivers and key emission sources in their MMRV efforts</li> </ul>

KEQ #2.1 To what extent are the intended outcomes for targeted actor's observable?
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Analysis returned the following results.

## Implementers

2. I would like to understand your perception of the REDD+ agenda. In order to understand this, I have three simple questions to ask you, please provide a direct response to each and then provide further explanation of these responses at the end. [These questions serve to establish a proxy for the will to implement (Qu 2.1). In this case 'will' is assessed as the combination of three factors - *opinion* about a particular issue plus *intensity* of that opinion plus the degree of *salience*, or importance, of an issue]
  - a. Do you think REDD+ will make a significant contribution to the equitable achievement of low emissions development, forest conservation or other climate related objectives?
  - [P] REDD+ projects have fed early warning systems for monitoring deforestation which is a significant contribution and it was felt that REDD+ finance pushed government to develop a robust monitoring system
  - b. On a scale of 1 – 10, where 1 is not very and 10 is extremely, how strongly held is your position on the contribution that REDD+ will make to these issues?
  - c. On a scale of 1 – 10, where 1 is not very and 10 is extremely, how important is REDD+ to the work you do day to day?
4. What factors are enabling you to effectively undertake your work in relation to the design, monitoring and implementation of LED/REDD+? [Establishing the extent to which the implementers feel equipped to fulfill their role in LED/REDD+]
  - a. While answering this question you might think of policy or country context, international aid and investment flows, leadership/champions, momentum/critical mass, significant agreements or events.
  - [BR] In 2015 – establishment of national strategy and decree and advisory board – safeguards systems. Pillar for framework to integrate already existent public policy to bring under umbrella of REDD+. GIZ – REDD – 2<sup>nd</sup> phase of early movers. Mato Grosso – state law being developed like Acre is doing. Development of local projects not recognized under the umbrella. GCF – developments. Amazon Fund extended with Norway until 2021. Had been cut in resources so it influenced these processes in Brazil. One of the bases for REDD finance in the country. National budgets for REDD+ - climate fund based on Green Climate Fund
  - [BR] Previous government has cut 80% of budget for Ministry of Environment – this may change. Expansion of agriculture and depends on global economy
  - [DRC] At the administrative level, the DRC went from having 13 provinces to 26 provinces. The newly created provinces do not yet have a strong basis meaning that the implementation of REDD+ in those provinces would not be the same as in older provinces already equipped with trained staff
  - [DRC] DRC is a post-conflict country meaning that there is a context of fragile governance for REDD+ implementation

- [DRC] The DRC is currently implementing the second phase of the REDD+ process and are now investing in pilot projects at provincial and sectorial levels
- [ET] Experience from implementation is an important factor informing practice
- [ET] REDD+ learning network
  - Manuals and guidelines are being produced by working groups in the REDD+ learning network based
  - PFM more REDD+ compliant – a study is being conducted through the learning network on how lessons from PFM can be incorporated into REDD+
  - Advocacy to Minister level decision makers – trying to encourage evidence-based decision making in MEFCC, Agriculture
  - CIFOR influence on regional forest strategies?
  - Working through a federal system as a National Gov Ministry, the REDD+ secretariat is present
- [ET] Existing experience
- [ET] Policy frameworks established through the readiness process
- [ET] Donor investment and momentum from international
- [ET] There was no forestry department for 20 years – the interest in the sector were subsumed by agriculture
- [ET] Threats to livelihoods and national stability if deforestation continues
- [ET] The frameworks developed in Phase 1 – safeguards, MRV and gender, etc.
- [ET] Networking opportunities between donors and other actors
- [G] The first REDD+ initiative called Low Carbon Development Strategy
- [G] As of 2015, Guyana drafted a Green State Development Strategy with the aim of pushing forward and expanding the REDD+ agenda
- [G] Guyana is working with the Forest Carbon Partnership Facility
- [G] Interviewees identified cross network coordination (various sectors including mining, agriculture, forest harvesting, protected areas and infrastructure development) as being one of the most significant factors for being able to undertake their role in terms of MRV and REDD+
- [G] Since 2009 a multi-stakeholder steering committee was formed for the REDD+ initiative
- [G] There is the Guyana REDD+ Investment Fund which means the country is also self-financing a lot of work based on the funding it received from the agreement with Norway
- [G] Current constraints in terms of moving the REDD+ agenda forward as identified by interviewees include progress on safeguards and land titling
- [G] The Paris Agreement has been instrumental in pushing forward the low emissions development and REDD+ agenda
- [I] The global negotiation processes of REDD+ mechanism were finished in 2015
- [I] The recent merger of the Ministry of Environment and Forestry (MoEF) resulted in individual think tank to influence REDD+ in Indonesia
- [M] There is still a lot of internal conflict and instability in Myanmar which may limit the possibilities to effectively undertake work related to LED/REDD+ in the country
- [M] Much of the forest cover is in the mountainous regions of the country which in turn are the areas that are currently experiencing a lot of civil unrest with contestation over the ownership and use of the lands and resources
- [M] There has been a restoration and reforestation programme which is being implemented by the government and there has been a forestry policy in place since 1995 (need for update)

- [M] There are some community forest monitoring initiatives which involve awareness raising and have proved important in halting some illegal deforestation in the region bordering China (area of illegal logging)
- [P] Peru was championed as one of the early starters in REDD+ due to the diversity of REDD+ projects in the country since 2008
- [P] A national framework for REDD+ was defined although there is still work being done on safeguards and other elements which would facilitate REDD+ in Peru
- [P] Some projects have been instrumental in strengthening capacities and it is felt that there are well trained and capable people working on REDD+ within government helping to move the process forward
- [P] The technical themes of MRV and diagnostics for deforestation have been taken up by the “Programa Bosques” (under Environment Ministry – MINAM)
- [P] the new Climate Change law and regulations will provide clarity in terms of sectorial competencies and aid the smooth implementation of activities in relation to REDD+
- [P] A space called “Dialoguemos” (“let’s talk”) was set up under the umbrella of MINAM which has allowed for increased participation of different sectors in the decision-making process and addresses topics including DCI, regulations and indigenous communities
- [P] There are five macroregional workshops planned with spaces for the private sector, and expert committees to contribute to ongoing REDD+ processes in the country
- [P] the Framework Law for Climate Change was emitted, with some changes to the organic laws for regional and local governments (this is set to influence REDD discussions and implementation plans in Peru with potential for direct engagement with regional government as their roles are more clearly defined)
- [P] The platform Forest and Climate Governor’s Taskforce (GCF) was set. This brings together six regional governments (very diverse contexts and goals!) as well as a regional government. The principal axis of their work has been related to rural low emission development, forests and climate change
- [P] Indigenous people have defined the Amazon Indigenous REDD+
- [P] Peru, Norway and Germany have reaffirmed Joint Declaration of Intent (DCI) for Green Growth, which allowed for the development of key areas needed for REDD+ to work such as advocating for good governance, transparency and participation among others of civil society organizations in decision making

b. Who is contributing to creating the enabling environments that you have described and how are they doing this?

- [ET] There are big expectations for the forest sector to deliver emissions reductions as part of NCD – planned to provide 50% of targets
- [ET] Implementation support is largely structured by strategies and guidelines developed in Oslo and designed to align and complement national development policies

c. What types of actors are these - donor organizations, think tanks, government agencies, private sector?

- [DRC] There is a REDD+ national coordination committee (CONREDD) which includes many other agencies working on REDD+, but the government leads the process. The Ministry of Finance leads the steering committee on REDD+ and do this work in collaboration with the Ministry of Environment and Sustainable Development

- [DRC] A technical consultation forum (PTC) was set up in order to harmonize results and feed the national forest monitoring system in terms of MRV data and reference levels for forest emissions
  - [DRC] The African Development Bank (supporting the implementation of the Forest Investment Plan), World Bank, FAO, USAID, KFW, WWF, Japanese cooperation, German cooperation, NASA, the University of Maryland, etc., with a necessity for more coordination amongst all those actors
  - [DRC] OSFAC (“Observatoire Satellital des Forêts d’Afrique Centrale”) is a member of PTC and contributes a lot in terms of information and statistical data on forest monitoring and they sometimes do commissioned evaluations for the government
  - [DRC] UNDP, managing REDD+ funds through the FONAREDD (REDD national funds)
  - [ET] Donors, ministers, CSOs
  - [ET] Significant knowledge actors are AAU climate center (looking at risk factors) and WGC who is doing good work building MRV at the national level
  - [ET] CGRE provides a road map for green growth
  - [ET] Other northern European donors – Danes, Swedes,
  - [ET] WRI interesting work on food and land use
  - [ET] GGGI was important in integrating CGRE and GTP – this will give greater continuity to green growth plans and targets
  - [ET] MEFC (major actor)
  - [ET] Forest Society as a forum for debate, discussion and advocacy
  - [M] Some NGOs are involved in working on REDD+ in Myanmar, including the Korean Forest Service and the International Centre for Integrated Mountain Development, the University of Forestry has also a number of academics involved
  - [P] Regional organizations linked to the government, indigenous people organizations, ministries, NGOs (e.g. the National REDD group, SPDA, DAR, WWF, CI, IBC), civil society organizations
8. Do you or your organization use scientific information in your work related to REDD+? [It addresses the process barriers and capacity to implement]
- a. How has it influenced or contributed to your work?
  - b. How and from who do you get this information? (Any specific people, networks, events, publication, meetings, etc.)
- [ET] Produce publications themselves – commissioned from consultants. Generally done in partnership between local and international consultants to transfer knowledge from international to national
  - [ET] Teams and programs invest in developing guidance notes, tools and protocols to translate guidelines into practice
  - [ET] WB use of knowledge draws a lot of internally produced applied analytics
  - [ET] Internal information is a primary reference source on developments
- c. Are there any barriers to using scientific information in this process?
- [BR] Barriers include English. Policy briefs should be published in the language of the country that they work in. Social media e.g. videos work well
  - [ET] The challenge is largely the bureaucratic process, it is hard to make progress
  - [ET] No time to read science

- [P] Sometimes there was too much scientific information and this “noise” made decision making difficult as it is impossible to keep up with everything produced and feed it all into plans
- [VN] CIFOR’s research findings are not suitable for policy makers neither at subnational levels because those findings are too scientific. There are also gaps in perspectives between research organization and governmental agencies
- [VN] CIFOR have had many useful works before but not much recently in Vietnam fast changing context
- [VN] Because of a lack of policy advocacy and funds to perform that activity properly, CIFOR’s levels of influencing on institutionalizing processes are considerably weak
- [VN] In its partnership with the national channel VTV2 (strictly monitored by government), it is less likely that CIFOR program content could be able to convey different perspectives of different involved stakeholders

### Supporters

14. When providing that support what are the key principles that you are seeking to promote with the stakeholders you are engaging with? [This question seeks to gain information about the extent to which the organization is aware of and using 3E in their work. We are seeking to unpack 3E as a framework and how important this is considered to be. This relates to the extent to which contributions to the intended outcome are observable (Qu 2.1)]
  - a. Are there particular values or cross cutting things that you would hope to see consistently integrated?
  - b. Are there quality standards and consistent practices that you would like to see put in place?
  - c. Are there targeting and prioritization processes that you think should be promoted?
  
7. Do you or your organization use scientific information in your work related to REDD+? [This question aims to establish the relative contribution of CIFOR as compared to all other available sources. It also addresses the process barriers and capacity to implement (Qu 2.1)]
  - a. How has it influenced or contributed to your work?
  - b. Where did you get that information? (Any specific events, publication, meetings, etc.)
  - c. Are there any barriers to using scientific information in this process?

KEQ #2.2 To what extent and in what ways has the project contributed to observed outcomes?

### Implementers

9. (and 10) How do you perceive CIFOR scientific research in relation to REDD+? [This question seeks to gain some user feedback on the quality of research with reference to the quality of research for development framework – credibility, relevance, legitimacy, effectiveness (Qu 1, Qu 2.2, Qu 3)]
  - a. Is it relevant to the key challenges you see in the implementation?

- [DRC] CIFOR has been accompanying DRC in the process of implementing the second phase of the REDD+ process
- [DRC] CIFOR has a lot of experience in forest conservation, climate change and low-carbon impact development in the DRC and has conducted research, engaged in capacity building at the university level and undertaken other projects related to fuelwood
- [DRC] CIFOR has been making scientific information available to key stakeholders
- [DRC] CIFOR has played a role in bringing actors together through their participation in the meetings to support the Congo Basin Forests Partnership
- [DRC] CIFOR organized MRV training during which some actors had the opportunity to share their learnings with other colleagues. This information has then been used by various actors in their activities at the provincial level
- [DRC] CIFOR has been engaged in capacity building sessions and information sharing on REDD+, including sessions specifically dedicated to journalists
- [ET] Jurisdictional coordination and leadership by government
- [I] Together with WRI, CIFOR established the country profile for Indonesia. The goal is to list REDD+ initiatives as well as provide updates on the current conditions in Indonesia regarding REDD+ activities
- [I] Together with WRI and a local NGO, CIFOR is communicating (chapter writing) about geo-spatial analysis of Indonesia forests, the level of deforestation, and drivers of deforestation in Indonesia
- [P] CIFOR has opportunities to undertake longitudinal studies, extensive fieldwork and use credible methods which adds to the value of their work
- [P] There has been a lot of research undertaken on peatlands for GCS REDD+ project
- [P] To bring the government into the peatlands topic conversations, CIFOR invited Peru to join the International Tropical Peat Research Centre (hosted by CIFOR)
- [P] One of the important things that CIFOR does is these global evaluations which help us to understand, compare, to see examples, of how they do things also in other countries and also it helps to open our eyes to where the actions could be focused/targeted
  - b. Does it reflect the values and priorities of the diverse beneficiaries affected?
- [DRC] CIFOR engaged with the government in order to share information which has subsequently been used to contribute to decision making
- [G] CIFOR has significantly been working with the Guyana Forestry Commission in improving access to up-to-date information through publications, and the website
- [G] CIFOR has addressed the gaps in terms of safeguards reporting by providing support in the form of workshops on the topic of safeguards earlier this year and their involvement has been seen as opportune and important
- [G] CIFOR and GFC signed a MoU, CIFOR is thus well placed to address the needs of the GFC and also respond to requests
- [G] CIFOR has also been working closely with Iwokrama through training and providing networking opportunities
- [I] Most of the CIFOR REDD+ publications are based on old data set while recent data are needed to publish scientific findings that can be referred by public and policy makers
- [P] CIFOR has supported capacity building through work undertaken with Silvacarbon on community forest monitoring
- [P] Regarding capacity development, there have been students who are working with CIFOR and are being trained through this engagement
- [VN] CIFOR's works focus on MRV, BDS of Vietnam PES; REDD+ (drivers and institutions); research methods; communications



- [VN] As a matter of partnership policy (with some exceptions), CIFOR actively approaches their partners if CIFOR has any research needs to be conducted, which means the nature of these partnership is not that pro-active from and meaningful for both parties
- [VN] MoUs between CIFOR and Vietnamese partners have never been updated or reviewed
  - c. Would you consider it high quality science?
- [P] CIFORs research is made of good science and important
- [P] The peer review process also adds credibility to the information produced
- [VN] CIFOR researches are highly scientific, rigorous, globally comparative; comprehensive; and based on long-time scale, comprehensive frameworks
  - d. Do you think people will use it to design, implement and monitor LED/REDD+ initiatives?
- [ET] Informal use of science
- [ET] CIFOR has a role in strengthening the agency – Habte provided TA, identifying priority issues, member of REDD strategy task force
- [ET] CIFOR provides technical review of documents
- [ET] Brought in context of REDD
- [ET] Research
- [G] CIFOR has been involved in supporting the MRV work and has maintained close personal relationships with actors in the GFC to support their ongoing work on emissions factors
- [G] The knowledge provided by CIFOR is being used to guide work with other actors such as indigenous communities and is used to guide implementation practices on the ground
- [P] CIFOR has been strategic in its participation in the National REDD group, harnessing the momentum and contributing to the agendas being developed
- [P] CIFOR's global perspective is appreciated as this provides opportunities to learn from experiences in other places
- [P] CIFOR made some contributions to the National Strategy for Forests and Climate Change
- [P] CIFOR has done some work directly to support the technical aspects of MRV. This has had significant role in improving capacities for monitoring and use of spatial data which feeds other government agencies such as DEVIDA and department for territorial organization ("ordenamiento territorial")
- [P] CIFOR does a lot of more practical science - like monitoring, assessing ways of monitoring degradation, give the emissions factors for the government to use in future reports or the kinds of research that they have been doing in the MRV (useful for the government)
- [P] The implementers are using CIFOR research to develop their thinking about REDD+ and in particular using the comparative data provided to analyze the options available for them
- [VN] CIFOR is strong at reporting and communicating their research findings, their policy brief is well appreciated

15. In your work implementing REDD+ have you drawn on CIFOR's scientific research? [This question explicitly seeks to establish whether and how the informant has used CIFOR's work. This relates to influence towards intended outcomes (Qu 2.2)]

- a. If so, which work have you used and how has this been applied?
  - [ET] Read much of CIFORs work, keeps materials as reference
  - [P] The supporters are also drawing on CIFOR's research and using this to feed the work that they are doing with other actors who in some cases are regional governments who are developing regional development strategies
- b. Have you experienced any challenges or difficulties in using CIFOR's work on REDD+?



## Supporters

6. Who is setting or driving the REDD+ agenda in terms of thinking and practice in (insert country)? [This question is seeking to understand what kind of information is being produced and consumed by who and how. This will inform our understanding of the relative contribution of CIFOR to the observed outcome (Qu 2.2)]
- How do you keep up with developments in REDD+?
  - What types of information do you access, how and from who?
  - What formats do you find most accessible and useful in your work?
  - Whose advice do you value and why do you value their opinion?
- [BR] Government sets agenda – ministry of environment and ministry of technology, science and innovation and indigenous people. National commission on REDD+ for more interaction between civil society, indigenous organizations and NGOs to collect inputs from these actors. Channels don't work well. Commission – 13 seats (1 for civil society and 2 for federal states) – makes difficult for decision making. NGOs play big role – climate observatory and REDD\_observatory. GCF taskforce. First approached REDD+ by federal states rather than government. Later government started moving itself towards REDD+. National NGOs – WWF and Imaflora, Imada (engaged in REDD+). Private sector – Biofelipa (REDD projects). Research institutions IPA, IMAZON. Focused on the amazon and REDD+.
  - [BR] Information access: from papers, email lists, networks (friends), Imaflora, government, WWF, LinkedIn, NGOs and civil society. In particular government websites are good and have specific portals on REDD+. Official research and documents from government and peer-reviewed papers
  - [DRC] The Ministry of Environment and Sustainable Development is in charge of REDD+ as well as forests and climate issues
  - [DRC] DIAF (“Direction des Inventaires et Aménagements Forestiers”) is a part of the Ministry of Environment and Sustainable Development responsible for compiling inventories for the DRC and to ensure forest management (MRV)
  - [ET] Donors are driving REDD+ in Ethiopia, ministers as well
  - [ET] CSOs are driving innovative practice in implementation – they are preparing guidance notes that profiles best practice from their experience
  - [G] The Ministry of Natural Resources (mainly through its Guyana Forestry Commission - GFC) and the Ministry of the Presidency (the President essentially being the Minister of Environment) are involved in setting the climate change agenda. These authorities oversee policies and frameworks for climate change and forestry
  - [G] Guyana has had a lot of support from outside agencies such as the UNDP, Winrock International, Conservation International, World Wildlife Fund and others (including Iwokrama International Centre for Rainforest Conservation and Development) in guiding their thinking on REDD+
  - [I] Central government (MoEF) is the most influential actor in term of setting REDD+ agenda
  - [M] The REDD+ agenda is currently led by the Ministry of Natural Resources and Environmental Conservation and the Department of Forestry
  - [P] Environment Ministry (MINAM) has the mandate to oversee the REDD+ process and this effort is supported by a number of funding streams including UN-REDD and the Joint Declaration of Intention between the Governments of Norway and Germany, FCPF and FIP
  - [P] platforms such as Geobosques (early alerts and monitoring forest cover data)
  - [P] It is the Climate Change Direction which is the focal point for REDD+

- [P] National Forest Authority (SERFOR), which is part of the Ministry for Agriculture and irrigation (MINAGRI), has the authority and competencies to take decisions and actions in relation to the forests
- [VN] REDD+ as other international initiatives/mechanisms are more than often set up by International, multilateral organizations which are less likely to be widely understood by national (only few experts) or sub-national staff

10. In your work supporting the implementation of REDD+ have you drawn on CIFOR's scientific research? [This question explicitly seeks to establish whether and how the informant has used CIFOR's work. This relates to influence towards intended outcomes (Qu 2.2)]
- a. If so, which work have you used and how has this been applied?
  - b. Could you provide us with some specific details about that example?
  - c. Reflecting on the main stakeholders you engage with, have you made use of any CIFOR generated knowledge in your engagement with these actors?

See above implementers sections 9, 10 and 11

### Knowledge Co-producers

3. How do you keep up with developments in REDD+? [This question is seeking to understand what kind of information is being produced and consumed by who and how. This will inform our understanding of the relative contribution of CIFOR to the observed outcome (Qu 2.2)]
- a. What types of information do you access, how and from who?
- [ET] Largely internally commissioned analytics – done by a consortium on national and international consultants
    - b. Whose advice do you value and why do you value their opinion?
    - c. What formats do you find most accessible and useful in your work?
    - d. What information platforms do you access?
  - [BR] workshops, international conferences
  - [ET] Forums workshops
  - [I] Internet (social media, WhatsApp group, website of top tier media), meetings
  - [M] UN-REDD Myanmar portal
  - [M] Seminar and workshops of the University of Forestry, though there is limited research and databases available
14. Are there mutual benefits arising from your organization's interaction with CIFOR? [This question seeks evidence in relation to knowledge co-production outcomes (Qu 2.2). We are seeking specific information not only of the benefit but also information about what it was in their interaction with CIFOR that resulted in that benefit]
- g. If so, in what way have **you benefited** from this interaction?
    - [BR] Benefits: Workshops at local level that brought people together, research/data collection and report writing, international conference in Hamburg to present data, CIFOR's reputation
    - [ET] The rigor of the methodology and how it was applied was a lesson in scientific process – some thinking about this has carried over into other consulting work but mostly there is no opportunity to apply this in consulting work
    - [ET] Engages with CIFOR work that he is consulted on or has been engaged in producing

- [ET] Emphasized importance of CIFOR bringing international comparative work and lessons from other regions
  - [ET] CIFOR has provided training and demonstration of how to be more outcome oriented and policy relevant in their research practice. Through participatory action research training and policy brief training
  - [VN] Knowledge co-producers highly recognize benefits from collaborating with CIFOR in terms of learning new methods, rigorous research practices, idea exchanges and network improvement
- h. Could you provide an example?
  - i. What was it about the nature of the interaction with CIFOR that facilitated this?
  - j. Have you observed any **benefits to CIFOR** as a result of the collaboration?
  - k. Could you provide an example?
  - l. What do you think brought that about?
8. Has the interaction between CIFOR and your organization resulted in any influence on any of the external stakeholders or partners you engage with? [This question is looking for evidence that the co-production of knowledge is leading to influence in implementers and supporters (Qu 2.2 and 3.1)]
- a. Can you provide some specific examples?
    - [ET] Advocacy and engagement through multi-stakeholder groups – eg Forest Society
    - [ET] Knowledge translation – production of practice packages for adoption and use by small holders/farmers
    - [ET] Demonstration logic – show effectiveness of practices in the regions and lobby for uptake
    - [ET] Engagement with policy makers and practitioners throughout the research cycle – validating areas of focus, presenting progress, validating findings annually
  - b. How did the collaboration facilitate this influence?
  - c. What were the contextual factors at the time that enabled this influence?

## Annex 5 – Assessment of Assumptions: Evidence from Interviews

Assumptions	Evidence from interviews to validate/dispute assumptions
Frequent dialogue with policy-makers and other stakeholders will foster a collaborative spirit.	<p><b>Validate :</b> It seems that his assumption strongly holds. ETKC03; ETx01; ETx03; IDI01; IDI02; DRCS01; BRS01; DRCS04; DRCKC04; PEKC01; PEKC02; PES02 ; PES05 ; VII01.</p> <p><b>Dispute :</b></p>
Political will needs to be present at all levels to advance on policies and activities that reduce emissions from the land use sector.	<p><b>Validate :</b> This assumption holds. ETI01; ETI02; IDI01; IDI03 ; IDI04 ; IDKC02 ; IDS02 ; DRCKC04 ; BRS01 ; BRKC01 ; GUKC01 ; GUKC03; GUI01; PES05; VIS02.</p> <p><b>Dispute :</b></p>
Frequent dialogue with pilot developers will ensure that the project meets their information needs.	<p><b>Validate :</b> This assumption holds. ETI01; DRCKC04; ETKC03 ; DRCI01 ; IDI03 ; IDI04 ; BRKC01 ; PES02.</p> <p><b>Dispute :</b></p>
The knowledge we produce on REDD will provide alternative applications for countries that are actively pursuing low emissions development pathways.	<p><b>Validate :</b> This assumption arouses some controversy. ETI01; ETx02 ; IDI01 ; IDI03 ; IDKC01 ; GUKC01 ; PES05.</p> <p><b>Dispute :</b> ETKC01 ; ETX02 ;</p>
Making the forces against transparent processes explicit, will mean that mechanisms to counter them become part and parcel of the policy development process.	<p><b>Validate :</b> This assumption still holds. ETx01; BRKC03; BRS01; PEKC02; VIKC01.</p> <p><b>Dispute :</b> ETx03.</p>
Key stakeholders are capable of using technical information that will result from this research.	<p><b>Validate :</b> It seems this assumption has become controversial. ETI02; ETx01; PEKC02</p> <p><b>Dispute :</b> IDI04 ; IDKC02 ; DRCS01 ; BRKC01 ;</p>
Targeted capacity building will raise the level of immediate stakeholders (research subjects) as well as of research partners so that they can participate in the research in a more meaningful way.	<p><b>Validate :</b> this assumption strongly holds. ETI01; ETKC01; ETKC03; DRCKC05 ; DRCI04 ; DRCS01; ETx01; IDI02; PES05 ; VII01 ; VIS02.</p> <p><b>Dispute :</b></p>
Policymakers and planners recognize the opportunity presented by REDD+ as a coordinated strategy for climate change mitigation,	<p><b>Validate :</b> It seems this assumption has become controversial. ETx01; IDKC01; DRCKC04; GUI01. VII01.</p> <p><b>Dispute :</b> IDI04; IDS02; BRKC02; BRKC03;</p>

rural development, and biodiversity protection.	
Policy-makers and planners will be ready to exert the vision and courage necessary for transformational change – i.e. shifting the balance of power so that protecting forests gains over forest conversion in land use decisions.	<p><b>Validate</b> : It seems that this assumption no longer hold. PES05.</p> <p><b>Dispute</b> : DRCKC05; IDI02; IDI04; IDS02;</p>
Subnational REDD+ continues to be a viable proposition throughout the period of the grant; that jurisdictional REDD+ can persist in spite of potential destabilization resulting from electoral change; and that corporate players are sufficiently motivated (by ethical goals and by their bottom lines in cases where profit is consistent with protecting forests) to go beyond rhetoric and fulfil their zero deforestation pledge for the long term.	<p><b>Validate</b> : This assumption has become controversial. ETI01; IDI01; IDI04</p> <p><b>Dispute</b> : IDKC02 ; BRKC02 ;</p>
<b>Risks</b>	
Researchers will gain access for research and engagement to national and subnational REDD+ arenas and communities of practice, sub-national government offices and multi-stakeholder platforms.	<p><b>Validate</b> : Lack of data does not allow to assess this assumption. ETKC04; IDI02;</p> <p><b>Dispute</b> :</p>
Project can contribute significantly to providing clear evidence-based knowledge that supports consensus building about REDD+.	<p><b>Validate</b> : Lack of data does not allow to assess this assumption. MYKC01</p> <p><b>Dispute</b> :</p>
That REDD+ will remain a desirable and feasible objective independent of the implementation of any specifically designed policy mechanism to promote green growth and low emissions strategies.	<p><b>Validate</b> : This assumption has become controversial. ETKC04; ETx03; IDI04 ;</p> <p><b>Dispute</b> : IDI03 ; DRCKC02</p>

National REDD+ policies will be effective in the face of broader political economic forces	<p><b>Validate</b> : It seems that this assumption no longer holds.</p> <p><b>Dispute</b> : ETx03; DRCKC02; BRKC02;</p>
Frequent changes in personnel in implementing agencies at national and sub-national levels prevent meaningful, politically sustainable decisions.	<p><b>Validate</b> : Lack of data does not allow to assess this assumption. GUKC03; VII01.</p> <p><b>Dispute</b> :</p>

## Annex 6 - Opportunities for improvement suggested by key Informants

Common topics	Interview No.
<b>Knowledge Co-Producers</b>	
Opportunities to strengthen relationships with partners for greater impact	BKC04, IDKC02, IDKC03
Lose and gain and opportunity cost of REDD+ implementation should be carefully taken into account from governmental agency and policy maker's point of view	VNKC01
Faster return of results and feedback to participants. Participant fatigue due to interviewing as main strategy for data collection	BKC01, BKC05
New strategies for dissemination of data and non-academic formats and other languages e.g. magazines. Budget allocation and time for this	BKC02, DRCKC04, IDKC01, IDKC02
Closer connections to local government and clarity of relationships	BKC02, BKC05, DRCKC04, BKC01
Common agreement between related stakeholders in the forest management to ensure fairness and equitability between these actors	VNKC01
(Help to) provide reliable and updated baseline forest databases	VNKC01
When necessary (e.g., to conduct particular research), imply a third party/partner/organization	VNKC01
Conduct research with partner(s) through annually reviewed and flexible MoUs	VNKC01, VNKC03 (also VNI05, VNI06)
Collaborate with partner(s) in the long term through 2 to 5-year strategic plans/views	VNKC03
Let policy advising organizations participate closely from the first step of research projects so that they later better prepare policy proposal to submit to policy makers	VNKC03
Physical presence in the country in order to participate more fully in workshops, meetings and to build relationships with civil society organizations and NGOs	BKC02, BKC05, DRCKC03, BKC01
More opportunities for capacity building at local level e.g. MSc or PhD opportunities, increase collaborative research and capacity building with more universities and increase staff presence	PKC02, ETKC04
Sustain / develop relationships with government agencies through individual resource-persons	ETKC01,
Set research agenda around economic development issues – job creation, value creation - because that the language policy makers understand and keep it aligned with what is going on the ground. Translate knowledge into products relevant and specific to the implementation stage	ETKC03, IDKC01, IDKC03, VNKC01
Sustain transferring and sharing knowledge, good practices, lessons learned from successful cases to countries where it can be used for improvement / up-scaling purpose	ETKC03
Get more technical while remaining scientific	IDKC01, IDKC02, IDKC03
Get ready to meet demand of information and styles from wider range of audiences (than scientists/researchers)	VNKC03

Focus on large C emitters which are the new targets of upcoming policies in mobilizing domestic financial resources for forest protection and C emission reduction	VNKC01
<b>Supporters</b>	
Alternative communication strategies and more focus on communication and dissemination using networks. Communication has to be more effective to a wide range of stakeholders (including private sector), i.e. communication matters as much as science, even it matters more at implementation level	BS01x, DRCS03, PKC01, PS01, PS03, PS04, IDS01, IDS02, IDS03, VNS01
Better connection to existing platforms to place knowledge at local level	BS01, MS01, PKC01, PS02, PS06, ETS03, IDS02
Presence/access to processes at local/microlevel to inform research	DRCS01x, PS01, PS02, PS03, IDS02
More engagement with private sector, explore and support payment for performance issues and solutions	MS01, IDS03
Attention to language barriers e.g. Spanish or Portuguese	PKC01
Work more closely with the local government – not only research institutions - and engage them in participatory research and action research	ETS03, IDS01, VNS01
REDD+ implementation has to be supported with scientific evidences – trough action research and community engagement - across the process, with a particular focus on local level	ETS01
Knowledge management matters as much as knowledge production, especially with the focus on REDD+ implementation; develop country specific solutions relevant to implementation; knowledge management: translating knowledge base into practice	ETS01, ETS02, VNS01
Make the research scope / findings more pragmatic and deliver clear messages easy to understand by all stakeholders, including policy makers	IDS02, VNS01
Deliver/provide short and clear messages suitable for distribution and communication purposes (e.g., policy brief, weekly bulletin email updates, max. 5-minute tv programs on weekly basis, adapted to public audiences, etc.)	VNS02
Provide training courses for journalist and chief editors at both national and sub national levels	VNS02
<b>Implementers</b>	
More attention/research on private sector links, including agribusiness, and international carbon markets	BI01, BI04, PI03, IDI04, VNI02
Explore how to better inform and reach key decision makers and wider audiences at jurisdictional level	BI01, BI02, BI03, BI04, DRCI01, DRCI02, PI03, PI05, IDI01, IDI02, IDI03, IDI06, VNI02, VNI05
Perform more research on financing aspects of REDD+ implementation (document possible domestic financing mechanisms, etc.) and straighten capacities in applying to funding calls	VNI04, VNI05, VNI06
Attention to language barriers and technical language and more availability of documents in Spanish, Portuguese or local languages (especially for work with local level)	BI01, DRCI02, IDI05, IDI06, VNI06



Attention to generalizations and methodologies which may make application difficult (e.g., rather than being national-wide, research should follow a case study approach with certain level of in-depth to ensure its practicability)	BI02, PI03, IDI03, IDI06, VNI01, VNI06
Increased links to universities	DRCI02, MCK01x
Attention to agriculture and migrant agriculture as this is biggest driver and alternative options	PI03, PI04, PI05, PS03, BI02, BKC01, BKC05, DRCI01, VNI02
Stakeholders wish to get technical support, more pragmatic support down to earth in relation with implementation, e.g. MRV capacity building	ETI01, IDI03, IDI04, VNI02, VNI05
Strengthen/work on emission and forestry resource monitoring systems	VNI02
Strengthen linkages with implementing institutions, incl. government administrations, follow-up and feedback; identify partners and work closely with them, identify the specific gaps stakeholders face in the country	ETI02, IDI01, IDI05, VNI06
Strengthen capacity in communication to improve awareness of government staff and local communities in REDD+ implementation	VNI06
Need to be more specific in terms of integrated landscape approach (case by case information related to implementation) while remaining multisectoral and multi-faceted incl. agriculture, livestock, land tenure and conversion, financing, etc.	ETI02, VNI02
Perform less “scientific” (time consuming to read and understand) but more practical/accessible research, test applicability, relevance and practicality of results	VNI02, VNI05
Adapt research and dissemination strategies to new trends (from REDD+ to low carbon strategies / climate resilient landscapes and real local issues, sluggish carbon markets, ...), avoid duplicated research	IDI03, VNI02
Move from research for findings to knowledge as expertise relevant to practical cases in order to achieve a balance	IDI03
Engage with private sector and/or minorities where many opportunities and issues reveal the true daily challenges of implementation	IDI04, VNI03
Engage closely with provincial (sub national) agencies and other project operating at that scale/level in order to better institutionalize research findings and/or make provincial staff efficient research partners (not only supporters/informants)	VNI02, VNI05, VNI06
Collaborate more with NGOs and other civil society organizations to (i) gain better understanding about local situations (culture, context, etc.) and (ii) create significant collective voices for policy and practice changes	VNI03
Provide macro pictures which are comparative between countries	VNI04
Allow regular (yearly based) meetings between partners as a way to better disseminate research findings	VNI05
<b>Researchers</b>	
Need for increased internal communication and coordination/cooperation between projects in the same country e.g. opportunities for joint publications.	R01

Lack of critical mass of quality human resources to access local and national events, meetings and increase visibility of CIFOR in key discussions	R01, R05
More work on creating complementarity among various local and national stakeholders and knowledge sharing opportunities	R01, R02
More opportunities for capacity building and overcoming language barriers e.g. other partnerships with academic institutions or scholarships	R01
Attention to agriculture and deforestation drivers	R01
Improve Theory of Change	R01
Assess ethical aspects of methodologies such as randomized studies in the field	R02
More attention needed at local and jurisdictional level	R02, R05
More communications needed in Spanish to reach local stakeholders	R05, R03
Tracking system for citations in non-academic literature	R05