

# Final Evaluation Report for CIFOR's 'A Global Comparative Study for achieving effective, efficient and equitable REDD+ results'



**Final Evaluation Report**

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## Final Evaluation Draft Report for CIFOR's 'A Global Comparative Study for achieving effective, efficient and equitable REDD+ results'

Prepared for CIFOR

For and on behalf of Efeca Ltd

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## Acronyms

3E	Effective, Efficient and Equitable
AFOLU	Agriculture, Forestry and Other Land-Uses
CIFOR	Center for International Forestry Research
COMIFAC	Central African Forest Commission
DRC	Democratic Republic of Congo
EoP	End-of-Program (referring to the end of the GCS REDD+ program's phase 3)
FREL	Forest Reference Emission Level
GCF	Governor's Climate and Forests Task Force
GCS	Global Comparative Study
GLF	Global Landscape Forum
IFPRI	International Food Policy Research Institute
INDC	Intended nationally determined contributions
LTKL	Lingkar Temu Kabupaten Lestari, Indonesia
KEQ	Key Evaluation Question
M&E	Monitoring and Evaluation
MARD	Ministry for Agriculture and Resource Development (Vietnam)
MELIA	Monitoring, Evaluation, Learning and Impact Assessment
MMRV	Monitoring, Measurement, Reporting and Verification
MTR	Mid Term Review
NICFI	Norway's International Climate and Forest Initiative
NORAD	Norwegian Agency for Development Cooperation
ODI	Overseas Development Institute
PES	Payment for Ecosystem Services
PFES	Payment for Forest Environmental Services
QCA	Qualitative Comparative Analysis
RECOFTC	Regional Community Forestry Training Center for Asia and the Pacific
REDD+	Reducing Emissions from Deforestation and forest Degradation and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries
REL / RL	Reference Emissions Level / Reference Level
RTI	Research to Impact (CIFOR)
SERNANP	Servicio Nacional de Áreas Naturales Protegidas por el Estado (Peruvian Service for Natural Protected Areas)
SIS	Safeguards Information System
SoC	Stories of Change
ToC	Theory of Change
UNFCCC	United Nations Framework Convention on Climate Change
VNFF	Vietnam Forest Protection and Development Fund
VNFOREST	Vietnam Forestry Administration

## Executive Summary

### The objectives & ToR

This final evaluation review covered Phase 3 (2016-2020) of the Norad funded CIFOR led Global Comparative Study for achieving effective, efficient and equitable REDD+ results (GCS REDD+), including priority setting, research design, implementation, and ongoing engagement processes. Phase 3 focused on eight priority countries, each with different focuses. Half of the countries in Phase 3 (DRC, Ethiopia, Guyana and Myanmar) were new to the project.

Solely for the purpose of prioritizing resources for this evaluation, the eight priority countries were divided into tiers as it follows:

- Tier 1: Indonesia, Peru and Vietnam. Higher level of prioritization;
- Tier 2: Brazil and Ethiopia. Medium level of prioritization;
- Tier 3: DRC and Guyana. Lower level of prioritization;
- Tier 4: Myanmar. Minimal level of prioritization.

This evaluation was structured around the following three research questions as per the ToR:

1. Did the project achieve intended outcomes and what lessons were learned about policy engagement?
2. Was the research important, timely and well targeted to the context?
3. Have the recommendations of the GCS REDD+ mid-term evaluation been addressed?

Evidence to answer the above research questions was sought through a survey (57 survey responses in total – 12 from international stakeholders, 8 from Brazil, 7 from DRC, 10 from Ethiopia, 2 from Guyana, 5 from Indonesia, 1 from Myanmar, 6 from Peru, and 6 from Vietnam) and 68 stakeholder interviews (10 with international stakeholders, 8 in Brazil, 6 in DRC, 7 in Ethiopia, 7 in Guyana, 9 in Indonesia, 0 in Myanmar, 12 in Peru, and 9 in Vietnam). The surveys and interviews results were triangulated with a range of project documents and other research outputs.

### Research questions & key findings

#### Did the project achieve intended outcomes and what lessons were learned about policy engagement?

Although with different degrees, this evaluation found all the 12 project outcomes to have been achieved overall. However, as the key indicators were quite general (e.g. number of, but without specifying the number), assessing precisely to what extent those outcomes were achieved was difficult both overall and per country, as there were not different indicators for each country.

Whether these outcomes led to the expected ToC Stage 4 ‘Change in implementer behavior that is assessed by looking at the resulting changed policy and practice’ by the end of the program is

much more difficult to assess. In order to be able to more clearly assess the attainment of the later stages of the ToC it is recommended that SoC are continued and expanded to encompass international impacts and that the previously recommended influence logs are introduced into the MELIA system.

It was noted that, building on previous monitoring and evaluation experiences (e.g. annual reports to NORAD showing progress towards each outcome), the existing MELIA system was developed as per the 2018 MTR recommendation, but only introduced in 2020, and some of the planned/introduced tools have either not been implemented (influence logs) or have not been used long enough (SoCs) to feed into the learning element of the system. Consequently, it is suggested that a fully implemented MELIA is used from the outset of Phase 4.

*To what extent were project outcomes realized and is there evidence of project activities contributing to policy or practice change?*

Some evidence of project activities contributing to policy or practice change (at various levels) by informing and, to a certain extent, influencing policy and decision makers was identified in all the priority countries. This showed that the flexibility of the GCS framework allowed project activities to be targeted at different levels in different countries (e.g. national level in Indonesia, sub-national level in Brazil, both national and sub-national levels in Peru, etc.), also depending on the local context and the current political circumstances in different countries.

For instance, GCS project activities on REDD+ design and transformational change were extremely impactful in Vietnam, where, in 2017, the Vietnamese government awarded two recognition prizes to CIFOR due to contributions to forestry development and forest conservation, one to CIFOR as an institution and the other one individually to a CIFOR senior scientist in Vietnam.

*Were there any positive or negative unexpected outcomes?*

Due to the flexibility of the project, and the general confusion of the stakeholders consulted on specific GCS project activities, unexpected outcomes could not be clearly identified. Although it was noted that the 2019 Annual Progress Report highlighted some unplanned activities, such as the participation at events that were not previously included among GCS project activities. It was also acknowledged that several outputs published in 2020 / early 2021 may have not been included in this evaluation as information collected from stakeholders could not be triangulated with evidence from the 2020 Annual Progress Report (which is due by the end of June 2021). It was recommended to track unplanned activities as well as unexpected outcomes from the beginning of the next phase, potentially in a separate section of future annual progress reports, to capture any unexpected outcomes that go beyond those outlined in the project framework.

*How and under what conditions were decision makers equipped by the project's knowledge processes and products?*

In several countries (e.g. Ethiopia, Indonesia, Vietnam), local stakeholders interviewed highlighted how CIFOR's mode of engagement with policy and/or decision makers in the co-production of knowledge was fruitful. A couple of success factors identified were initial engagement to agree the aims of the research, thus developing a sense of ownership, but also, if appropriate, acknowledgement of the collaboration at the publication stage (e.g. Indonesian local government teams acknowledged as co-authors of the publications), aiming to build confidence and trust, and consolidate the relationship with local decision makers.



*What lessons have been learned about engaging decision makers in specific country contexts?*

It was pointed out that time spent by the CIFOR GCS team in co-developing and/or presenting research outputs with local policy/decision makers paid off in terms of uptake of the research findings. However, stakeholders interviewed also highlighted that policy/decision makers may lack the time for engagement and/or long, technical publications. Therefore, short, not too technical briefs (preferably in the local language) were suggested to maximise the potential of GCS research uptake by local policy/decision makers.

In countries where CIFOR did not have an office (e.g. Brazil, DRC, Guyana), this was seen as a major limitation in engaging with policy/decision makers. In addition, the way in which research outputs are shared with policy/decision makers, and to a certain extent by 'who', can make a difference. For instance, in Indonesia, it was suggested to engage more closely with Indonesian researchers as they may be more familiar with the local political and cultural context, as well as speaking the local language, and therefore may be better equipped to effectively engage with local policy/decision makers.

**Was the research important, timely and well targeted to the context?**

In general, the research can be considered to have been important, timely and well targeted. Factors that contributed to the relevance of the research to the priority country included flexibility of approach, effective researcher contacts and relationships, the use of a participatory approach.

The evaluation survey provided further evidence on this conclusion as at the global level, the vast majority of the survey respondents thought that the GCS research was either 'definitely' or 'somewhat' important, timely and well targeted. Negative responses of 'not really' varied between 2% and 9% for these three metrics and zero respondents gave an answer of 'definitely not' important, timely or well targeted.

The high-quality of CIFOR's research and publications was acknowledged in all the priority countries, as well as at the international level. Nevertheless, publishing high-quality, peer reviewed research requires time and, as a result, stakeholders' engagement on the ground may fade over time. In some cases, a knowledge co-production process over two years was deemed appropriate and successful (e.g. Vietnam), in others the time lag between when the research was carried out (e.g. field work, interviews, etc.) and when the research findings were published was seen as a key limitation to research uptake (e.g. Brazil).

*How did the project engage with policy makers to identify country priorities such that research outputs were timely and well targeted?*

Engagement with policy/decision makers was undertaken at different levels (national versus sub-national) depending on the local context and current political circumstances in each country. For instance, in Brazil, engagement and research were more focused at the jurisdictional/sub-national level (for instance, the jurisdictional profile survey was implemented in the nine Amazonian states in Brazil).

Conversely, in Vietnam, engagement was more focused at the national level, including contributions to the 2017 Vietnam Forestry Law, the Vietnam forestry development strategy (2021-2030, with a vision to 2050), the REDD+ national strategy, the Financial Incentive Mechanisms (FIMs) for PFES, and the national PFES monitoring and evaluation system. These



examples show that the research was closely aligned with and targeted to country priorities in Vietnam. Similarly, CIFOR was also involved in the revision of the 2007 Forest Law in 2018 in Ethiopia, and in the development and the establishment of Indonesia's second FREL, amongst other examples.

*What factors contributed to or hindered the relevance of the research to the priority country contexts?*

The key factor that contributed to the relevance of the research to the priority country context was trust. In response to close relationships with local policy/decision makers, CIFOR was often invited to discussions, policy dialogues and national workshops to provide scientific evidence and/or policy consultations on REDD+, particularly in Vietnam.

On the contrary, the major challenge was caused by political changes, as transitions from one government to another hindered collaborations, working relations and ultimately progress achieved to date, primarily capacity building. Changes in power often meant a complete restructuring of various teams within the public sector, both at the national and at the sub-national level, so that engagement needed to re-start completely.

*How did the research contribute to international, national and sub-national REDD+ processes?*

The research was presented in numerous workshops and events at all levels, from technical trainings (e.g. Guyana Forestry Commission) to high-level side events at various COP conferences (COP23, COP24, COP25). As over 100 presentations were delivered in Phase 3, this showed the level of engagement by the GCS project team to share results and findings from the research with different audiences and at different levels.

For example, the report on the state of jurisdictional sustainability across the tropics (Stickler, et al., 2018), part of the global survey of sub-national REDD+ and private sector initiatives, was launched in September 2018 both at the Global Climate Action Summit and at the Governors' Climate & Forests Task Force Annual Meeting (CIFOR, 2018).

Similarly, the research on peatlands had an impact both nationally, in Peru and Indonesia respectively, and internationally, with the creation of the International Tropical Peatland Center (ITPC) in Bogor, Indonesia.

*What factors contributed to or hindered the relevance of the research at different levels?*

At the international level, as well as in the eight priority countries, the high reputation of CIFOR as an independent, objective institution producing high-quality research contributed to the relevance of the research and its use by stakeholders. Additionally, some CIFOR GCS scientists contributed to Intergovernmental Panel on Climate Change (IPCC) publications as either authors or reviewers.

However, there seemed to be a dichotomy of the audience of the GCS project, as academics and researchers appeared to be mostly interested in technical, scientific papers with an international, comparative focus, while other kinds of stakeholders in priority countries seemed to prefer a more locally specific approach, while retaining lesson learning and lesson sharing opportunities with other countries, as well as different kinds of publications (e.g. simpler, less technical, and preferably translated into the local language). Additionally, local stakeholders (and policy makers in particular) highlighted the need for regular information exchange, open dialogue and discussion on the publications themselves. This showed that targeting the desired

audience for each project output (as well as the communication channel) to achieve the greatest possible impact would be key.

At least in some countries, the GCS project may have been negatively influenced by the consequences of unmet expectations. It could be possible that expectations were not always realistic in the first place, but delays in REDD+ related payments (e.g. Indonesia), as well as much lower payments than originally expected (e.g. Ethiopia), led to stakeholders' expectations exceeding actual benefits, causing distrust and disengagement with REDD+ related activities (e.g. local communities cleared nearby forests for agriculture in South Western Ethiopia).

Political unrest was another major challenge in some countries (e.g. Ethiopia, Myanmar), potentially hindering the relevance and uptake of GCS research at all levels.

### **Have the recommendations of the GCS REDD+ mid-term evaluation been addressed?**

Out of the four key recommendations from the GCS REDD+ 2018 MTR (Ducenne, et al., 2019) – one from the 2015 GCS REDD+ Assessment (Young & Bird, 2015) and an additional three from the 2018 MTR – one was not yet fully addressed in Phase 3 (short strategy document for partnerships), one was fully addressed (the MELIA system), while the other two were partially addressed (providing information and exerting influence; and stories of change).

### **Recommendations for Phase 4**

CIFOR scientists' physical in-country presence was seen as pivotal in making a difference in activities conducted and impacts achieved locally, therefore it was recommended that CIFOR's presence was sought for all the countries included in future phases of the GCS project.

A more comprehensive communications strategy was also suggested, particularly in some countries (e.g. Indonesia), and with respect to engagement with the private sector (which was not clearly tracked in Phase 3). Similarly, stronger partnerships with local organizations in priority countries were recommended for increasing engagement on the ground, including at the sub-national level, and with private sector actors.

To strengthen GCS research uptake, it was recommended to identify the audience for each study as soon as possible to ensure that the final outputs are targeted to the desired audience(s).

Country pages on CIFOR GCS website were also suggested, together with a more sophisticated way to 'filter' publications, in order to facilitate access to more targeted content. This was mainly due to the vast amount of resources available on CIFOR GCS website, and the lack of stakeholders' time. For instance, this could be particularly helpful for local CSOs looking for country and/or topic specific evidence.

Amongst other topics, further research on Benefit Sharing Mechanisms was suggested by stakeholders interviewed, including on the integration of PES and solutions for sustainable livelihoods to help local communities to effectively use PES financial resources. This was linked with the potential to focus more on financing mechanisms for REDD+ initiatives, leveraging the private sector and voluntary carbon markets, particularly at the jurisdictional level.

Finally, it is suggested that a fully implemented MELIA system is used from the start of Phase 4.

## 1 Introduction

Efeca has conducted a final evaluation review of the 5-year Phase 3 project ‘A Global Comparative Study (GCS) for achieving effective, efficient and equitable REDD+ results’. Phase 3 began in 2016 and was scheduled to close at the end of 2020 at the start of the evaluation, but was later extended into the first half of 2021. This review started at the beginning of November 2020 and was completed in April 2021. The focus of this end of project evaluation was Phase 3 and beyond into a proposed Phase 4.

Although the CIFOR GCS REDD+ project has been funded by three different donors, Norad funded this evaluation and, as different activities have been funded by different donors, this evaluation solely focused on Norad funded activities. It was agreed during the start-up meeting that the recent CGIAR strategy document would not be reviewed and/or included in this final project evaluation. Similarly, this final project evaluation would not include any kind of financial evaluation as a separate external audit has already been carried out by CIFOR.

As agreed with CIFOR, the main body of the final evaluation report focused more on the analysis of the findings, structured around the Key Evaluation Questions (as per the Terms of Reference (ToR) in Annex 1) rather than the around the OECD – DAC principles.<sup>1</sup> More detailed country specific information and findings are provided in Part Two of the report (see separate document). Details on the structure of the CIFOR GCS REDD+ project are excluded from this report.

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<sup>1</sup> <https://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm>

## 2 Methodology and approach

This assignment included an assessment of priority setting, research design, implementation and ongoing engagement processes in eight GCS implementing countries. The level of Efeca resources allocated to each country varied according to the categorization and prioritization of the eight countries, agreed with CIFOR, as follows:

- Tier 1: Indonesia, Peru and Vietnam. Higher level of prioritization;
- Tier 2: Brazil and Ethiopia. Medium level of prioritization;
- Tier 3: DRC and Guyana. Lower level of prioritization;
- Tier 4: Myanmar. Minimal level of prioritization.

The main reason for this tiered approach is that Indonesia, Peru and Vietnam had been included in GCS REDD+ since the first phase and benefitted from CIFOR offices (i.e. strong in-country presence) in each. Although Brazil was included in GCS REDD+ since the beginning, the CIFOR office there closed prior to Phase 3, somewhat limiting in-country engagement. Each of the above countries, with the exception of Myanmar, had an in-country evaluation consultant and these individual country reports with detailed findings can be found in Part Two.

### 2.1 Data collection

The evaluation was carried out according to the ToR and the Efeca project proposal, and included an inception meeting and document review (excluding country influence logs), as well as virtual attendance at relevant CIFOR hosted REDD+ workshops at the end of 2020 in Indonesia, Vietnam, DRC, Peru and Brazil.<sup>2</sup> The full list of documents used, in addition to other materials consulted, is provided in the Bibliography.

The data collection consisted of a broad stakeholder survey (57 stakeholders), followed up by 68 interviews carried out by the lead evaluators and seven in-country consultants. The international level interviews included 6 discussions with the five module leaders, both as a group and independently, in addition to 4 interviews with international stakeholders. A list of 200 stakeholders was provided by CIFOR for the survey and the interviews. The interviewees were selected from the same contact list; no subset for interviews was provided by CIFOR and the evaluators independently selected interviewees covering as wide a variety of stakeholders as possible (including both stakeholders that had completed the survey and others that had not responded). For some country lists we ultimately contacted almost all of the contacts provided to try to reach the required number of interviews.

In addition, interviews were held with non-evaluation local consultants that were carrying out the concurrent Stories of Change (SoCs) being collected in Indonesia, Vietnam and Peru.

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<sup>2</sup> <https://www.cifor.org/event/redd-online-workshop-series/>

**Table 1: Spread of survey respondents and interviews**

Country	International	Brazil	DRC	Ethiopia	Guyana	Indonesia	Myanmar	Peru	Vietnam	Total
No. of Survey Responses	12	8	7	10	2	5	1	6	6	57
No. of interviews	10	8	6	7	7	9	0	12	9	68

The survey was designed to be able to collect data at international, national and sub-national levels. The semi-structured interview questions drew from the survey analysis so that they were country/international specific and could probe more deeply into the evaluation questions and feed into the report. To ensure confidentiality, through the report, interview responses are referenced using a key denoting relevant country and interview number. For example, Vietnam Interview 1 is referred to as VIE01, Global Interview 4 is referred to as GBL04. The survey numbering continues with a similar system where qualitative responses are referred to in the report but uses a two-letter identifier, e.g. VI01 refers to Vietnam Survey Response 1.

A total of 57 stakeholders responded to the survey, of which 17 (30%) were based in Africa, 16 (28%) in Latin America and the Caribbean, and 12 (21%) in South East Asia. 12 respondents (21%) were international stakeholders and partners.

### 2.1.1 Interviews

**Indonesia:** 8 interviews with local stakeholders, plus a SoC specific interview, were carried out in Indonesia. Over 20 Indonesian local stakeholders were contacted (twice), but only 8 agreed to be interviewed.

**Vietnam:** the insights from a total of 9 interviews were used. Due to particularly high level of stakeholder fatigue in Vietnam, CIFOR asked permission to use the interview records from their SoC interviews, and 4 local stakeholders agreed. In addition, other 5 interviews were conducted with Vietnamese stakeholders, including one interview with the SoC consultant.

**Peru:** 11 interviews with local stakeholders, plus a SoC specific interview (two short conversations), were carried out in Peru.

**Brazil:** A total of 8 interviews with Brazilian stakeholders were carried out as planned.

**Ethiopia:** A total of 7 interviews with local stakeholders were carried out. An additional 4 stakeholders were later contacted to try to reach 8 interviews in total but did not respond.

**DRC:** A total of 6 interviews with local stakeholders were carried out as planned.

**Guyana:** A total of 6 interviews with local stakeholders, plus a SoC specific interview, were carried out as planned.

**Myanmar:** No in-country interviews conducted (as originally planned). Due to the low level of response from the survey (1 stakeholder), 3 stakeholders were contacted at the end of January 2021 (just before the coup) without any response.

**International:** a total of 10 interviews were conducted (as originally planned), including 6 discussions with the five module leaders (both as a group and independently), and a further 4 with international stakeholders. While 6 international stakeholders were originally contacted, only 4 (stakeholders from Norad, Green Climate Fund Independent Evaluation Unit (GCF IEU), World Resources Institute (WRI), and University of Melbourne) replied, although the other 2 (from FAO and UNFCCC respectively) were emailed twice. Additionally, the Green Climate Fund secretariat was contacted through CIFOR, but an interview could not be arranged.

## 2.2 Analysis

The findings of the desk review, survey (Annex 2), and interviews were analyzed and synthesized but as agreed with CIFOR, without organizing the originally envisaged sense-making workshops.

As part of the analysis and outlined in the evaluation proposal, the CIFOR project team and CIFOR Research to Impact (RTI) team was consulted on the analytical framework developed by Efeca to assess achievements against evaluation questions 1 and 2 as part of the survey development.

An analysis of the key survey quantitative results is included in Annex 3 and the most pertinent points are included throughout the report. The data from the qualitative questions were primarily used to develop the interviews and are included within Part Two of this report.

## 2.3 Limitations

The latest available complete progress report was from 2019 which hampered the assessment on the extent to which the project outcomes had been realized.

The representation of Norad funding compared to other sourcing was not clearly identified due to the level of co-funding from IKI and USAID for activities in Phase 3.

There was considerable confusion from country level interview and survey respondents on which activities were carried out in Phase 3 (rather than Phase 2) as well as which CIFOR activities were included within the GCS. The evaluators sought to triangulate this information with the progress reports and other documentation, but this was not always possible to do.

Follow up emails were made both by the evaluation team and CIFOR to maximize the survey returns, but a limiting factor was that due to the evaluation timing coinciding with year-end holidays. Consequently, the data collection period for the surveys was extended by 10 days. The interviews were subsequently impacted by the survey timing and New Year celebrations in February, and therefore took almost a month longer than planned.

In addition, some of the in-country consultants were directly affected by health-related issues (including COVID-19).



### 3 Theory of Change: Evolution and validity

The overarching objective of GCS Phase 3 is 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” (Thuerer & Rouge, 2020).

According to the MELIA review (Thuerer & Rouge, 2020), the GCS Theory of Change (ToC) for Phase 3 reflected the knowledge that CIFOR developed during previous years of research supported by NICFI and other donors on how to effectively influence REDD+ policy and practice.

The ToC is structured in five stages (Figure 1):

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] defined for implementers and supporters,
4. Change in implementer behavior 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.).

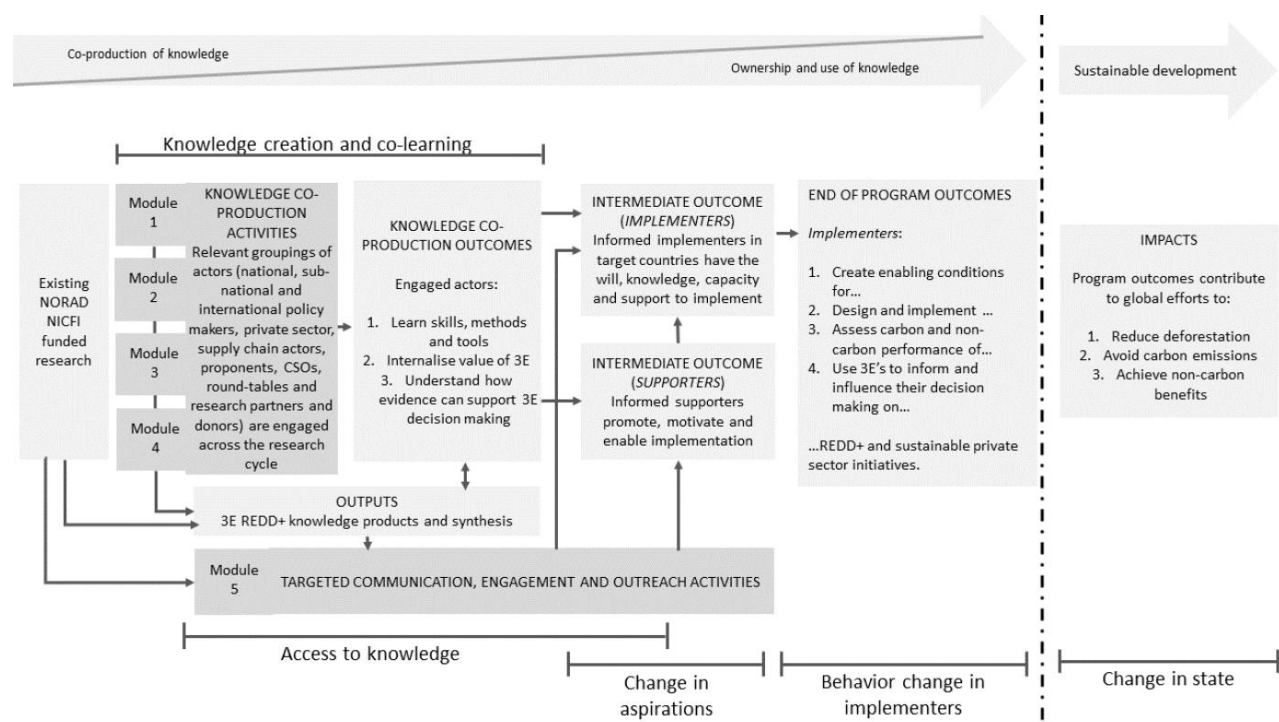


Figure 1: GCS REDD+ Theory of Change (Source: (Thuerer & Rouge, 2020))



### 3.1 Evolution

Given that the GCS has completed its third phase, it is unsurprising that the Theory of Change (ToC) has evolved over the years. Previous reviews including the MTR (Ducenne, et al., 2019) scrutinized the ToC which led to the development of a more in-depth M&E system. The most recent innovation was the creation of stories of change (SoC) to trace selected impact pathways in Indonesia, Vietnam and Peru<sup>3</sup>, which are currently in draft form and have informed this evaluation. The SoC were developed to respond to the previous review but also to make impacts more clearly defined.

The ToC for the third phase of the GCS was informed by the 2015 program assessment (Young & Bird, 2015) and then further reviewed within the MTR (Ducenne, et al., 2019). As pointed out by Young & Bird (2015), there was no explicit ToC when the GCS started. Despite this, the program design recognized the need to work with a range of stakeholders at the national and international level. This was later developed into a ToC that identified multiple stakeholder groups (partners) and multiple impact pathways. It was the 2015 GCS program assessment that recommended that GCS should adopt a ToC approach for all projects and continue to carefully consider possible uptake pathways through political policy processes, in order to identify the specific research needs of decision-makers and how best to meet them. Uptake pathways are a clear element within the current ToC. Stories of change were introduced in the 2015 assessment and recommended in the MTR but were only developed by GCS in 2020. Output tracking, event evaluations, and outcome stories are used to gather monitoring data for the ToC.

The MTR found that the ToC designed at the beginning of Phase 3 and the logical framework were still valid, and that the GCS REDD+ teams had shown that they are able to adapt to a changing research and policy environment. This evaluation also found the ToC to be valid.

A key recommendation from the MTR was that the project monitoring system was not working well, and that the MELIA system was not operational at that time, making it difficult to assess effective pathways. A MELIA system became operational within the GCS in 2020 and, as recommended in the MTR, three pathways via the stories of change were being documented<sup>4</sup>. As noted in the MELIA plan, different levels of results were expected in different countries, reflecting the varying maturities of CIFOR's activities in different countries and various intervention types and policy levels that are addressed (national or sub-national REDD+ policies and actions, or both).

The usefulness of these new SoC outputs within this evaluation from the recently installed MELIA suggests that this system should be continued within any future GCS phases.

As is best practice, the RTI team regularly review and revise the ToC.

Whilst a global ToC and pathway is needed, it was felt by some stakeholders and the EOP evaluation team that a nested country level ToC is needed with a reduced number of country

<sup>3</sup> Three SoC to be published: Indonesia, Peru and Vietnam. Peru MSF is available here:

<https://www.cifor.org/knowledge/publication/8008/> Vietnam PFES here:

<https://www.cifor.org/knowledge/publication/8028/> At the time of writing, Indonesia SoC had not been published.

<sup>4</sup> The SoC were incomplete at time of writing this report: the evaluation team were provided with drafts and advised that some of these needed to be treated as confidential.

specific indicators (GBL01). This more closely follows the 2015 Review (Young & Bird, 2015) but is contrary to the 2018 MTR (Ducenne, et al., 2019).

The way in which a nested ToC can be used is outlined in a recent CIFOR article (Belcher & Hughes, 2020). A ToC at the program scale needed for a project of the size of GCS needs to encompass the full range of elements such as key actors, activities, outputs, outcomes and intended impacts. Detail needs to be limited at this scale, so in a potential GCS Phase 4 it could be helpful to have more detailed ToCs at either country or module (sub-program) scale depending on the proposed structure of the new Phase. At the project scale, it is possible to precisely specify outcomes to guide planning and evaluation. Belcher & Hughes (2020) suggest that the aim is to develop a systematic, integrated, and nested ToC and evaluation framework as a base for other evaluative work (Belcher & Hughes, 2020).

### 3.2 Key ToC assumptions

The ToC assumes that actors will be more willing to aim for REDD+ related objectives when they have been strongly embedded in the research process and when they have developed an ownership of this knowledge and the agenda of its use. The survey and subsequent interviews sought to find out how far this pathway of influencing political processes in favor of 3E REDD+ policies were achieved. There are a few examples of where this was achieved with the GCS project including in Indonesia at sub-national level as well as in Vietnam (under Module 1).

As highlighted in the MELIA plan, the ToC is actor-centered because influencing relevant actors is seen as a crucial step to eventually achieve a change in the political agenda on different levels (sub-national, national, international) towards effective, efficient and equitable (3E) REDD+ policies.

The answer to the question as to whether results are targeted and planned or whether they are more a consequence of opportunistic activities and circumstances is that it is neither one nor the other. The module leaders were unanimous in their feedback that Norad's flexibility has meant that they were able to capitalize at both a country and international level when an opportunity arose so that they could relate existing and ongoing GCS related research relatively quickly to current policy events and requirements.

Flexibility seemed to lie primarily at the international level, but it was still limited to a certain extent, although it allowed to take advantage of opportunities as they arose (GBL04). Ultimately, the GCS researchers aimed to take advantage of relevant opportunities relating to existing work which could lead to a 'snowball of interest' (GBL04).

The MSF tool development is one example of this opportunistic approach; it was initially developed as a general tool, but on request it was adapted for specific uses (including at gender and community level) in Peru. Conversely an attempt to use the same tool in Indonesia was less successful and the focus remained on developing the tool in Peru.

## 4 Did the project achieve intended outcomes?

The MELIA review (Thuerer & Rouge, 2020) has provided guidance into the design of the survey for this evaluation alongside the questions outlined in the ToR. The MELIA document has also been used to provide key information on the ToC, including the GCS outcomes.

Many of the project outcomes indicators in the results framework are numerical, but without a target number, for example the indicator for Outcome 1.1. is [unspecified] “Number of international and domestic REDD+ decision makers informed through analysis of options for 3E REDD+ policy design.” In order to assess whether the project achieved the intended outcomes, this evaluation has considered both the key indicator(s) and the ‘change to be achieved.’

As the ToR points out, it is important to bear in mind that half of the countries in Phase 3 (DRC, Ethiopia, Guyana and Myanmar) were new to the project, meaning that engagement with these countries only began in Phase 3, whereas the other countries (Brazil, Indonesia, Peru and Vietnam) benefitted from the project since its earlier phases. Consequently, the maturity of some results varied between countries.

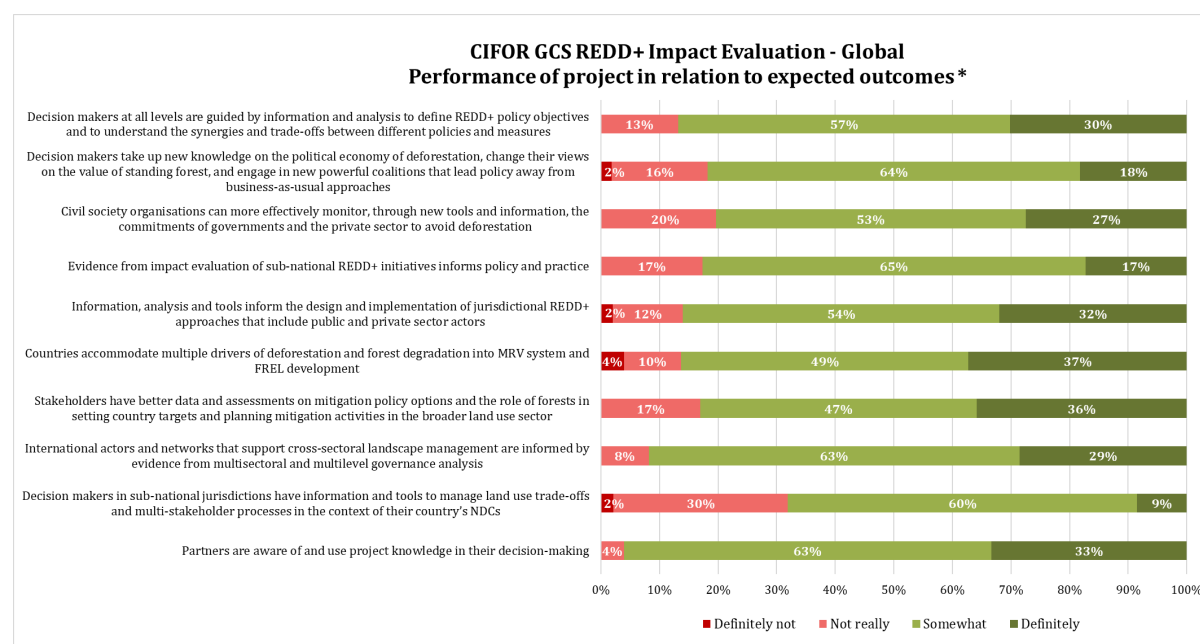
Table 2 shows which outcomes were carried where in GCS Phase 3.

**Table 2: Project outcomes per country and at international level (CIFOR, 2019)**

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

## 4.1 To what extent were project outcomes realized?

The survey question number 7 provided some useful data on how far project outcomes were realized, as shown in Figure 2 below (a full-page version of this figure is included in Annex 3 for ease of reading). The outcomes are included in Annex 4 for reference.



**Figure 2: Survey question number 7 responses (Performance of project in relation to expected outcomes)**

Overall, the distribution of positive responses was similar, with between 49% and 65% of respondents responding that the project ‘Somewhat’ met the expected outcomes, and between 9% and 36% responding that the project ‘Definitely’ met the expected outcomes.

The sub-question that was the highest performer was: ‘Partners are aware of and use project knowledge in their decision-making’ (Outcome 5.1) as 96% of respondents responded positively to this statement, with 33% agreeing that the project ‘Definitely’ met this expected outcome. Similarly, 37% of respondents ‘Definitely’ agreed with ‘Countries accommodate multiple drivers of deforestation and forest degradation into MRV system and FREL development’ (Outcome 3.1), the highest of any statement.

The sub-question which scored poorest overall was: ‘Decision makers in sub-national jurisdictions have information and tools to manage land use trade-offs and multi-stakeholder processes in the context of their Country’s NDCs’ (Outcome 4.2). In fact, 32% of respondents responded negatively to this question, whilst only 9% of respondents stated that the project ‘Definitely’ met the expected outcome, the lowest of any statement. However, it should also be noted that this outcome was only covered in half of the countries (Brazil, Ethiopia, Indonesia and Peru).<sup>5</sup>

<sup>5</sup> The full results of the survey were provided separately to CIFOR as an excel file.

According to the output report to Norad in 2020,<sup>6</sup> the outputs for all the five module outcomes have either been completed or were expected to be completed by EOP.

The GCS outcomes across the five project modules have been assessed in the following sub-sections. The aim of this section is to assess how far the program has achieved the outcomes as identified in the Results Based Framework. Given the analysis required in the remainder of this report and the extensive nature of the project, not all relevant results are included – rather a sufficient sample to be able to illustrate the overall level of achievement.

#### 4.1.1 Module 1: Towards effective, efficient and equitable policies and measures at the national level

The outcomes and achievement for Module 1 are as follows in Table 3 (allowing for different levels of inputs in different countries):

**Table 3: The outcomes and achievement for Module 1**

Outcome	Project Outcome Achieved?
<b>Outcome 1.1:</b> REDD+ design: decision makers at all levels are guided by information and analysis to define REDD+ policy objectives and to understand the synergies and trade-offs between different policies and measures to incentivize 3E REDD+ (all levels).	Decision makers at all levels have been guided by the information and analysis to define REDD+ policy objectives.  The MELIA plan identifies the change to be achieved as “Decision makers use new evidence so that policy formulation and implementation provide incentives that lead away from business-as-usual policy approaches directly or indirectly promoting deforestation and forest degradation to enable effective, efficient and equitable emissions reductions.” It is less clear whether this has been achieved in some countries but in Vietnam, Peru, Ethiopia (and at sub-national level in Brazil), the evidence seems to indicate that this change has been achieved for at least some GCS outputs.
<b>Outcome 1.2:</b> Transformational change: REDD+ countries are informed by evidence on the importance of new incentives, discourses, agents and coalitions of change when developing strategies to avoid deforestation and forest degradation (national level).	The results suggest that this outcome has been achieved as the key indicator was that REDD+ decision makers would be informed through analysis on political economy of deforestation and degradation, leading to changing perceptions and creating policy coalitions in national REDD+ policy arenas, building on long term study results from this research project.  Examples include the inputs into Guyana, Vietnam, and Ethiopia.
<b>Outcome 1.3:</b> Civil society organizations can more effectively monitor, through new tools and	This outcome was notably achieved in Peru (albeit under Module 4) but also in Guyana, Vietnam and Ethiopia.

<sup>6</sup> Result Framework Progress of Outputs submitted to Norad on 08 July 2020.

information, the commitments of governments and the private sector to avoid deforestation (national/sub-national level).	
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As shown in Table 2, at the start of this section, of Module 1 outcomes, only Outcome 1.1 includes an international level.

#### 4.1.1.1 Main achievements

At a country level, there are commonly issues where researchers and policy makers are struggling to analyze their policies, particularly in relation to REDD+. CIFOR has recommended the use of the 3E independent and objective analytical framework, for instance in Vietnam as well as in Myanmar when the Forestry Department requested training in the 3E framework (GBL01).

As a result of CIFOR's REDD+ expertise,<sup>7</sup> they aided the Green Climate Fund to develop sectoral guidance for their forestry and land use, and ecosystems-based investments.

CIFOR assisted several governments to help them with specific REDD+ related support, including assessing DRC's national REDD+ strategy and providing technical inputs into Guyana's national forest monitoring and safeguard information systems.<sup>8</sup> In 2020, two REDD+ country profile reports (Outcome 1.2 – Output 1.2.1) were published for Guyana (Benn, et al., 2020) and Myanmar (Mon San, et al., 2020) respectively (although the finalization and publication of the latter was slightly delayed)<sup>9</sup>. The Vietnam REDD+ country profile was also updated in 2019 (Pham TT, 2019 (2nd edition)); others were updated in Phase 2.

Module 1 was a key focus in Vietnam, and its related outcomes (particularly Outcome 1.1 and Outcome 1.2) seem to have been achieved at the national and international levels.

Vietnamese outputs included contributions to the 2017 Vietnam Forestry Law, the Vietnam forestry development strategy (2021-2030, with a vision to 2050), the REDD+ national strategy, the Financial Incentive Mechanisms (FIMs) for PFES, and the national PFES monitoring and evaluation system.

#### 4.1.1.2 Main challenges

While impact in Vietnam was very visible, the impact achieved in other countries proved more difficult to ascertain.

For instance, between 2016 and 2018 CIFOR collaborated with P3SEKPI (the Center for Research and Development of Socio-Economic Policies and Climate Change, working on forest policy and climate change within the Forestry and Environment Research, Development and Innovation Agency (FOERDIA) under the Ministry of Environment and Forestry of Indonesia) on three financial incentive mechanisms. This was part of comparative studies of regional or jurisdictional financial incentive mechanisms, focusing mainly on Indonesia and Vietnam

<sup>7</sup> Minutes of Meeting CIFOR-Norad Annual Meeting, 19 August 2020

<sup>8</sup> Minutes of Meeting CIFOR-Norad Annual Meeting, 19 August 2020

<sup>9</sup> Minutes of Meeting CIFOR-Norad Annual Meeting, 19 August 2020



(CIFOR, 2017). In contrast to the clearer impact in Vietnam, the impact of this work on the Indonesian public sector is harder to quantify. But it is likely that it led to better information, even if from the most recent annual progress report available for this evaluation review (CIFOR, 2019) it is unclear if this work continued until the end of phase 3 in Indonesia or whether it led to policy/practice change.

In addition, the impact of the Policy Network Analysis (PNA) databases is difficult to quantify (with an exception in Ethiopia, see section 4.2.3 for more detail); while the REDD+ country profiles can be helpful for a wide range of stakeholders, local information uptake could not be estimated – particularly for 2020 publications.

It can take up to two years to get a publication completed from start/concept stage to finish/publication. This allows the benefit of reflection time, as well as capacity building during publication as the journey is important, allowing the building of mutual understanding and benefits. “In collaborative research and process, the journey is as important as the end publication, and only one publication can empower several people in the journey” (GBL01).

Some research can be politically sensitive which makes progress more difficult.

#### 4.1.2 Module 2: Assessing the performance of sub-national REDD+ and sustainable private sector initiatives

The outcomes and achievement for Module 2 are as follows in Table 4 (allowing for different levels of inputs in different countries):

**Table 4: The outcomes and achievement for Module 2**

Outcome	Project Outcome Achieved?
<b>Outcome 2.1:</b> Experience-based policy design: Evidence from impact evaluation of sub-national REDD+ initiatives informs policy and practice at all levels.	<p>Evidence from impact evaluation of sub-national REDD+ initiatives has informed policy and practice at all levels. Results were shared either ‘globally’ or ‘locally’, but it is more difficult to assess the impact on the target groups and entities.</p> <p>Nevertheless, the achievements detailed below in this section suggest that policy-makers and practitioners were informed by research on the performance of REDD+ initiatives at the national level in Indonesia and at the sub-national level in Brazil as a minimum.</p> <p>At the international level the Module 2 lead scientist participated as key invitee/resource person at several high-level meetings as elaborated in the latest progress report (CIFOR, 2019).</p>
<b>Outcome 2.2:</b> Private sector contribution to REDD+: REDD+ sub-national initiatives benefit from private sector interventions in the	It is likely that there was more engagement at the jurisdictional level with the private sector than was visible, but this is not clearly captured in the results of this evaluation. However, the work on jurisdictional



supply chain aimed at enhancing sustainable and inclusive production with a jurisdictional approach.	approaches in Brazil (via partnership with EII and the GCF Task Force), Indonesia (via partnership with LTKL) and Ethiopia highlighted in Part 2 of the report, show progress towards this outcome. Some GCS REDD+ papers were also re-shared through the TFA Jurisdictional Approaches Resource Hub, where they might have picked up by companies interested in such integrated approaches.
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Of the countries covered in Outcome 2.1, there was only a low level of input into DRC, which consisted of a jurisdictional profile study, which is why it is not included in the table showing which outcomes were pursued in which countries (Table 2) (GBL02).

#### 4.1.2.1 Main achievements

To address private sector engagement, Modules 2 and 4 developed work on jurisdictional approaches, including governance along with monitoring aspects at the sub-national level.<sup>10</sup>

The State of Jurisdictional Sustainability report (completed with Earth Innovation Institute and including GCF Task Force<sup>11</sup> member states and provinces) gave an idea of where sub-national jurisdictions are in terms of their state of progress towards sustainability. This resulted in an analytical product that gave CIFOR a platform on this issue and led to a special edition in *Frontiers* on Jurisdictional Approaches to Sustainability in the Tropics.<sup>12</sup> The GCF Task Force is seen as a good and impactful partnership (and is expected to be included in Phase 4, particularly for the work in Brazil) (GBL02).

In 2019, as part of CIFOR's MoU with the Independent Evaluation Unit of the Green Climate Fund, technical support was provided into the monitoring and evaluation design for multiple Green Climate Fund projects.<sup>13 14</sup>

The development of an impact evaluation method (developed from Phase 1 REDD+ measurement) is an approach unique to CIFOR which makes the method interesting as well as at a comparative level (altogether there were 22/23 REDD+ initiatives) (GBL02). This comment from the stakeholder refers to the BACI methodology, but only the end line was in Phase 3 and in 8 study areas in Indonesia, Peru and Brazil. The data collection in phase 3 was led by 8 graduate students from Brazil, Indonesia, Peru, Mexico, and Colombia.

The long running data series and analysis of REDD+ over time provides a strong evidence base with rigorous methods and an empirical approach (GBL02). Emerging market-based mechanisms for forests and climate could benefit from using GCS findings.

With regards to Module 2 activities and outcomes, Brazil, Peru and Indonesia were the priority countries for both the evaluation of the impacts of local REDD+ initiatives on forests and people,

<sup>10</sup> Minutes of Meeting CIFOR-Norad Annual Meeting, 19 August 2020

<sup>11</sup> Governors' Climate and Forests Task Force

<sup>12</sup> <https://www.frontiersin.org/research-topics/10050/jurisdictional-approaches-to-sustainability-in-the-tropics#articles>

<sup>13</sup> Minutes of Meeting CIFOR-Norad Annual Meeting, 19 August 2020

<sup>14</sup> <https://ieu.greenclimate.fund/sites/default/files/page/mou-cifor-ieu.pdf>

and the global survey of subnational REDD+ and private sector initiatives (linked to Outcomes 2.1, 2.2 and 4.3<sup>15</sup>). (CIFOR, 2017; CIFOR, 2018; CIFOR, 2019). These activities were also carried out to a lesser extent in Ethiopia and DRC.

#### 4.1.2.2 Main challenges

Although the REDD+ impact evaluation work is global and comparative, it is based on site-level work in several countries. Many of the site level papers are written by the PhD students who conducted the fieldwork for their theses, and some are site specific, so if some results are difficult for REDD+ from a political perspective, then this can potentially cause implementers political difficulties if results are contrary to existing knowledge or policy, despite high quality and very in-depth analysis (GBL02).

Greenpeace and REDD Monitor used and mis-represented the findings in a MSc student's thesis last year (GBL02). Although it had good data and analysis, it was not yet a peer reviewed article, and this misrepresentation was not helpful. In addition to the above, in 2020, there was an incident regarding forest fires between CIFOR and the Indonesian MoEF, which was mentioned by several stakeholders, who commented about its impact and consequences (IND01, IND02, IND03, IND04, IND05, IND07, IND08). Nevertheless, this seems to have now been resolved, leading to a continued constructive collaboration between CIFOR and the MoEF in Indonesia.

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

The outcomes and achievement for Module 3 are as follows in Table 5 (allowing for different levels of inputs in different countries):

**Table 5: The outcomes and achievement for Module 3**

Outcome	Project Outcome Achieved?
<b>Outcome 3.1:</b> MMRV: countries accommodate multiple drivers of deforestation and forest degradation into MMRV, evaluation and RELs (national and international levels).	This outcome was strongly achieved at the national level in Indonesia in relation to supporting the development of the establishment of its second FREL.  The outcome was also achieved in Ethiopia.
<b>Outcome 3.2:</b> Improved AFOLU (Agriculture, Forest and Other Land Use) information: Stakeholders have better data and assessments on mitigation policy options and the role of forests in setting country targets and planning mitigation activities in the broader land use sector (all levels).	The research on peatlands both in Indonesia and in Peru was often mentioned as having had a positive impact.  The outcome was also achieved in Ethiopia.

<sup>15</sup> Both private sector outcomes (2.2 and 4.3) were integrated into this jurisdictional sustainability assessment work in 2018 (2018 Annual Progress Report).

<b>Outcome 3.3:</b> MRV capacity: multiple stakeholders have increased participation in and acceptance for national forest monitoring and REDD+ performance reporting (national and sub-national levels).	Collaboration with the Guyana Forestry Commission (GFC) on MRV seemed to have been particularly successful.  The outcome was also achieved in Ethiopia.
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Module 3 activities took place in Peru, Guyana, Ethiopia and Indonesia, but not in Vietnam as the work in Vietnam was more on a policy level rather than being within the Module 3 remit (GBL03).

#### 4.1.3.1 Main achievements

One of the most successful outcome stories as reported from stakeholder interviews, as well as from project documents,<sup>16</sup> has come from Module 3 – the peatland protection story in Peru. For example, precise and reliable data gathering and data sharing on peatlands (*aguajales*) is informing the update of the National Wetland Conservation Plan (PER12).

Similarly, CIFOR's experts on peatlands supported the Indonesian Peatland Restoration Agency (BRG) in setting reference emission levels for peatland restoration in Indonesia. In 2017, this included the development of a manual, a kick-off workshop in Jakarta and three training workshops in Jakarta, Jambi and Pontianak – showing engagement with the Indonesian public sector both at the national and sub-national levels (CIFOR, 2017).

CIFOR scientists have also pointed out that they are Intergovernmental Panel on Climate Change (IPCC) authors including lead and co-authors of IPCC reports, which they consider to be important to preserve their credibility in the domain.<sup>17</sup> For instance, GCS scientists' including Kristell Hergoualc'h, Daniel Murdiyarso and Martin Herold have contributed to IPCC publications as either authors or reviewers.

Wageningen University's work in Guyana on forest monitoring systems using remote sensing to look at biomass estimations had limited impact in Phase 2. Nevertheless, in Phase 3, it was seen that the ongoing connection and relationship building became important moving forward into Phase 3, primarily due to the very technical and specific work mainly by Martin Herold on biomass estimation (GBL03).

#### 4.1.3.2 Main challenges

According to one respondent, it is very difficult to know how best to report on MRV and whilst it is possible to do a lot of capacity building in MRV, the level to which it is taken up is unclear (GBL03).

In several countries there is a problem of movement of government staff following political changes, as after those changes' engagement needs to start again from the beginning with 'new' government staff. For instance, there was a complete turnover two years ago in Guyana, and Peru has also seen several elections and turnovers of staff recently, while Indonesia tends to be

<sup>16</sup> Minutes of Meeting CIFOR-Norad Annual Meeting, 19 August 2020

<sup>17</sup> Minutes of Meeting CIFOR-Norad Annual Meeting, 19 August 2020

more stable. During these political changes, technical level staff tends to be ‘steadier’ than policy level staff. Therefore, good and ‘steady’ relationships with technical staff rather than solely with policy makers is a good mitigation measure, and this has been pursued (GBL03). As a result, in some countries such as Guyana, technical government staff may know CIFOR and the GCS project, while policy makers may not (GBL03).

Although sometimes technical government staff are removed from policy making at the national level, Kristell Hergoualc’h in Peru and Daniel Murdiyarso in Indonesia managed to have influence at both technical and policy levels (GBL03). Given their positions in IPCC this may be due to their technical expertise and high level of recognition.

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

The outcomes and achievement for Module 4 are as follows in Table 6 (allowing for different levels of inputs in different countries):

**Table 6: The outcomes and achievement for Module 4**

Outcome	Project Outcome Achieved?
<b>Outcome 4.1:</b> Multilevel governance: international actors and networks that support cross-sectoral landscape management are informed by evidence from multisectoral and multilevel governance analysis (all levels).	One example of how this was achieved is the input by the Module 4 lead into the global GIZ Platform 2030 learning group on multi-stakeholder platforms. There is more potential to scale up the work in this area in the new phase of the GCS.  The research publications detailed in 4.2.2.4 also suggest that this outcome has been achieved in some specific areas.
<b>Outcome 4.2:</b> Informed landscape management: decision makers in subnational jurisdictions have information and tools to manage land use tradeoffs and multistakeholder processes in the context of their country’s NDCs (subnational level).	There were several multi-stakeholder forums research outputs showing evidence that this project outcome has been well-achieved (particularly in Peru).
<b>Outcome 4.3:</b> Synergized supply chain and landscape-based interventions: Private sector actors informed on approaches to support REDD+ through complementing public regulations and private standard systems and self-regulatory commitments.	In Brazil, Peru and Indonesia, this work was also linked to Outcomes 2.1 and 2.2. The CCBA Sustainable Landscapes Rating Tool (SLRT) was implemented in 19 states and provinces that are members of the GCF Task Force (Peteru S., 2021).  In addition, some supply chain work was also carried out in Indonesia (oil palm) and Brazil (cattle) <sup>18</sup> .

<sup>18</sup> Minutes of Meeting CIFOR-Norad Annual Meeting, 19 August 2020

Module 4 focus is on multi-level governance across levels (national to sub-national) and across sectors, and is focused on Peru, Brazil, Ethiopia and Indonesia. A particular focus has been on indigenous and local community rights and participation, making connections with grassroots organizations, including women's organizations, and developing a very practical governance tool for use in monitoring multi-stakeholder forums. The research is informing a study for the Green Climate Fund towards developing a global multi-stakeholder forum to support nature-based solutions.<sup>19</sup>

CIFOR has also conducted in-depth work on a few specific supply chains, such as cattle in Brazil and oil palm in Indonesia.<sup>20</sup>

#### 4.1.4.1 Main achievements

The Module 4 main impact story is linked to the development of the monitoring tool for multi-stakeholder forums *How are we doing?* (available online). A generic version of this tool was developed through workshops in East Kalimantan in Indonesia, and in San Martin and Madre de Dios in Peru. Subsequently, in Peru, this generic tool was piloted in two regions (San Martin and Madre de Dios) by the management committees for protected areas. This then led to the development and formal approval by SERNANP (*Servicio Nacional de Áreas Naturales Protegidas por el Estado* – Peruvian Service for Natural Protected Areas) of an ad hoc version of the tool, which will be independently used by SERNANP for annual evaluations of participatory management in Natural Protected Areas (PER06).

Moreover, in Peru CIFOR also collaborated with the Organización Nacional de Mujeres Indígenas Andinas y Amazónicas del Perú (ONAMIAP – Peru's only gender-based indigenous organisation) on co-developing another version of the MSF tool to be used by this indigenous women's organization, particularly on land governance (only Spanish version currently available).

Therefore, Module 4 seems to have been particularly successful in following opportunities to adapt an output of the GCS project (the generic version of the MSF tool) for its practical implementation and use by organizations working on the ground (e.g. SERNANP), as well as its application beyond its original design, as the gender version of the tool became much more than that, with a potential pathway towards women's empowerment.

These are some of the reasons why this has been chosen as one of the topics for the Stories of Change (SoC).

This participatory tool to monitor the equity of multi-stakeholder forums was developed on the basis of a Realist Synthesis Review on multi-stakeholder forums (Output 4.2.4) – published in *World Development* (Sarmiento Barletti, et al., 2020a) and 13 in-depth field reports based on in-depth field research of sub-national multi-stakeholder forums in Peru (Loreto, Madre de Dios, San Martin, Ucayali), Brazil (Acre, Mato Grosso, Para), Indonesia (Central Kalimantan, East Kalimantan, Jambi, West Java) and Ethiopia (Oromia – two cases). In addition, following the completion of the fieldwork with the sub-national MSFs, research summaries (with translation into relevant languages) were published for the 13 case studies mentioned above (CIFOR, 2019). More broadly, this research on MSFs covered both national and cross-country analysis

<sup>19</sup> Minutes of Meeting CIFOR-Norad Annual Meeting, 19 August 2020

<sup>20</sup> Minutes of Meeting CIFOR-Norad Annual Meeting, 19 August 2020

and provided materials for various publications, including a special issue on MSFs accepted by the *International Forestry Review*, to be published in 2021 (CIFOR, 2019).

The Module 4 lead is part of the Policy, Institutions and Markets CGIAR Consortium Research Program, co-lead of the flagship on Governance of Natural Resources, and also represents the CG on the Council of the International Land Coalition (ILC); the Policy Research Program acts as a conduit into the wider world and provides an example of how policy can indirectly be impacted.

During Phase 3 there was an ad hoc request from Peru to potentially develop a new private sector tool to facilitate international cooperation. However, this could not be achieved in Phase 3 and, although it was a proposal for Phase 4, due to limited resources, this output was not included within Phase 4 activities.

#### 4.1.4.2 Main challenges

As for other modules, key challenges are financial and human resources, leading to activities being conducted primarily where CIFOR's human capacity is based. For instance, the MSF tool was particularly successful in Peru, while its initial development and implementation in Indonesia was less so, due to lack of time and resources. Therefore, although one NGO started using the tool in Indonesia, further work there is not currently a priority (GBL04).

### 4.1.5 Module 5: Sharing evidence and experiences

There is a single outcome for Module 5 and the achievements are shown as follows in Table 7:

**Table 7: The outcome and achievement for Module 5**

Outcome	Project Outcome Achieved?
<b>Outcome 5.1:</b> Partner ownership of knowledge: Partners are aware of and use (own) project knowledge (all levels).	<p>With respect to the key indicators, Module 5 has achieved the project outcome.</p> <p>But several stakeholders interviewed pointed out that some publications are too technical/difficult, and that translations are not always available. There is also a question around the specific audience of all the outputs and whether more impact could be achieved if they were more nuanced.</p>

This module focuses on high-level communications and outreach as it would not be possible with the available resources to cover all communications at all levels of the project in terms of knowledge sharing.

The whole concept was to have strong connections from the research and storytelling, including publications, blog, multi-media, podcasts, videos, etc. A good example of this is from the wide range of media outputs from Vietnam within the GCS project that include television transmissions.



Module 5 is designed to cut across regionally and thematically, to consider how the project presents itself to the world and to look at what would make a good story. Researchers request inputs from Module 5 according to need.

The Module 5 lead is also the lead for outreach engagement for the whole of CIFOR and ICRAF. Additionally, there is a roster of freelance consultants for multimedia (from 25 people to up to 60 people) that can be called upon (GBL05).

A series of multimedia telling REDD+ stories have been developed but they are yet to be delivered (GBL05).

#### *4.1.5.1 Main achievements*

Module 5, in conjunction with outputs from Module 1, was a main focus in Vietnam, and this outcome seems to have been achieved at the national (as well as international) level, but less so at the sub-national level.

The series of journalist workshops between 2018 and 2019 in Ethiopia, Japan, Indonesia, Vietnam, Kenya and Germany were felt to be particularly impactful where CIFOR worked with national and regional journalists on how to communicate about forests and climate change. A wide range of media products emanated from the workshops, targeting different audiences.<sup>21</sup>

In Phase 3 (2016-2020) Module 5 produced:

- Over 500 publications
- Over 150 blogs
- Over 50 videos
- Over 100 presentations

#### *4.1.5.2 Main challenges*

Communications is a difficult aspect in which to assess achievement and areas that were pinpointed by stakeholders as areas for improvement are considered further in section 8. This is one area that has had some turnover of staff during the GCS but this appears to now be stable and this is likely to contribute to increased impacts in the future.

There are a range of issues (GBL01) that limit the ability to attribute assessing the extent to which GCS has successfully increased knowledge and awareness of research findings and policy:

- CIFOR/stakeholders tend not to distinguish between programs.
- There can be a 'labelling' issue for communications outputs. For example, Vietnamese stakeholders may think more about Payment for Forest Environmental Services (PFES) and social forestry rather than REDD+ specifically.
- There can be cultural or language issues. For instance, in Vietnam people tend not to use internationally known acronyms and replace these with Vietnamese names and acronyms.

There are also people in country who conduct communications activities alongside regional focal points. The communications emanating from this module are less strong than they could

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<sup>21</sup> Minutes of Meeting CIFOR-Norad Annual Meeting, 19 August 2020



be, and people appear to be overloaded. Some of the limitations have become apparent in the hindering factors outlined below. There could be a need to develop a more cohesive strategic approach.

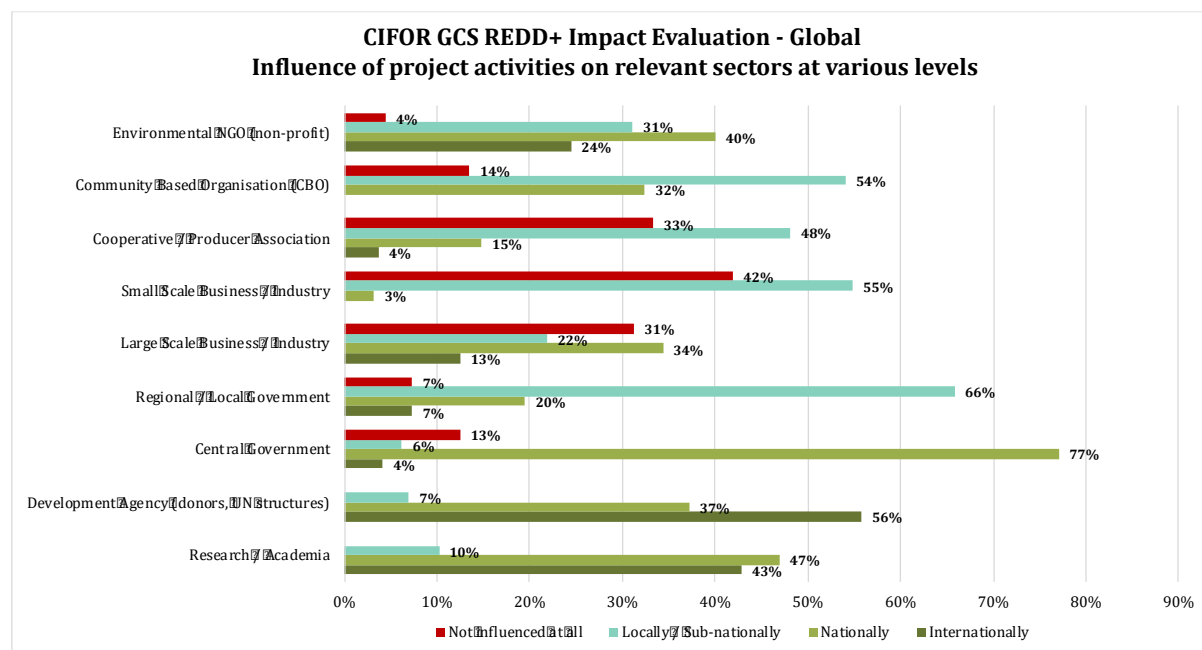
People tend to always want to have more inputs in relation to communications, but there are always some constraints in terms of availability as Module 5 covers the whole GCS project.

## 4.2 Is there evidence of project activities contributing to policy or practice change?

This section of the report seeks to elucidate how far the GCS project can be seen to have created impact and change. The indirect nature of the project makes it difficult to assess, and measure how far change can be attributed to GCS. As the scale moves from sub-national, to national and then to international, the ability to assess influence from GCS activities becomes increasingly hard to assess. Consequently, a wide range of information has been sought and triangulated, such as Stories of Change (SoC), survey findings, interviews, internal and external documents and publications in order to analyze where project activities have contributed to policy and/or practice change.

### 4.2.1 Survey results

Question 11 of the survey asked whether respondents thought that the project activities had influenced (or not) the sector(s) that they engaged with, and at what level (locally / sub-nationally, nationally or internationally). Figure 3 shows the survey results for this question.



**Figure 3: Survey results: Influence of GCS project activities on relevant sectors at various levels**

Survey respondents reported that the GCS project had some level of influence on Research and Academia in all countries, including 47% responding at a national level and 43% at an international level. Responses for Development Agency reported a similar trend, with 37% at national level and 56% at international level. This shows that the GCS project has been successful in its engagement with national and international academics, researchers, donors,

etc. Similarly, although with a few exceptions, survey responses highlight CIFOR's engagement with Central Governments through the GCS project. In fact, 77% of survey respondents reported that the GCS project did influence Central Governments at the national level, while 66% thought that the GCS project had an influence at the sub-national level on Regional/Local Government, with only 13% and 7% of respondents denying any influence with respect to Central and Regional/Local Government respectively.

On the contrary, survey responses showed a much lower level of engagement with Business / Industry as well as Producer Associations as 42% of Small-Scale Business, 31% of Large-Scale Business and 33% of Cooperative / Producer Association responses reported no influence at all. However, these results may also reflect the lower representation of these types of organizations within the range of survey respondents – although this also shows a lower level of interest (or possibly engagement) by these sectors.

#### 4.2.2 International level

From the list of 47 publications of high importance provided by CIFOR, 16 publications were selected for closer analysis. This shortlist of publications represented a sample of the most downloaded/cited literature published since 2016, selected to be diverse in year of publication, relevant module, and research foci. Of the 16 publications selected for further analysis, four (25%) related to Module 1, five (31%) to Module 2, five (31%) to Module 3, three (19%) to Module 4a, and three (19%) to Module 4b. One (6%) was published in 2016, three (19%) in 2017, five (31%) in 2018, four (25%) in 2019, and three (19%) in 2020. A summary of these publications including key research questions and findings can be found in Annex 5.

This section includes an analysis of how some of these most important documents have, or are expected to, contribute to international level policy or practice changes.

##### 4.2.2.1 *Module 1: Towards effective, efficient and equitable policies and measures at the national level*

**Women's participation in REDD+ national decision-making in Vietnam** (Pham, et al., 2016): This study used Vietnam as a case study to analyze factors that influence women's participation in national level REDD+ decision-making processes and considered the effect of this representation on gender mainstreaming.

This participation in Vietnam corresponds to a recent development in Peru, where ONAMIAP (Peru's only gender-based indigenous organization) has been recognized as an indigenous stakeholder by Peru's Ministry of Environment (MINAM) and its leaders are now invited to workshops related to REDD+ and climate change, including the consultation process for Peru's Framework Law for Climate Change (CIFOR, 2019).

**What drives policy change for REDD+? A qualitative comparative analysis of the interplay between institutional and policy arena factors** (Korhonen-Kurki, et al., 2019): This paper used a comparative analysis of the national policy settings of 13 countries to identify the enabling conditions for progress in the implementation of an effective, efficient and equitable REDD+. The authors' evaluation of REDD+ revealed that countries across Africa, Asia and Latin America are showing some progress, but still face backlashes in realizing the necessary transformational change to tackle deforestation and forest degradation.

#### 4.2.2.2 Module 2: Assessing the performance of sub-national REDD+ and sustainable private sector initiatives

##### **The State of Jurisdictional Sustainability: Synthesis for practitioners and policymakers**

(Stickler, et al., 2018): This publication assessed progress on key elements of jurisdictional sustainability, including policies and incentives, performance targets, transparency, inclusivity, the success of sustainable agricultural initiatives, and respect for local rights. The 39 subnational jurisdictions in 12 countries studied constitute 28% of the world's tropical forests, varying widely in deforestation rates and amount of remaining forest.

The assessment findings have been incorporated into the GCF Task Force Knowledge Database and EII's Tropical Forest Champions Platform (formerly the GCF impact platform), and these data have the potential to inform and possibly influence policy and/or practice change, particularly in the jurisdictions involved in this study (CIFOR, 2019).

**What is REDD+ achieving on the ground?** (Duchelle, et al., 2018): This publication reviewed 45 articles from recent scientific literature to understand the outcomes of REDD+ interventions on the ground, in terms of local participation in REDD+, and its carbon and non-carbon (e.g. tenure, well-being, biodiversity) goals. This paper concluded that, whilst REDD+ has served as an important testing ground for approaches addressing the problem of deforestation and forest degradation, the limited research focusing on its outcomes means that assessing the overall effectiveness of REDD+ remains difficult.

**A comparative study of REDD+ impacts on subjective wellbeing** (Larson, et al., 2018): In this publication, Module 2 data from the longitudinal study of sub-national REDD+ initiatives in six countries is used to analyze the gendered impact on perceived wellbeing. Comparative research on subjective wellbeing was conducted using gendered focus groups in 62 villages participating in 16 REDD+ initiatives. The goal of the research was to gain a gendered comparison of definitions of wellbeing, and the outcomes of the REDD+ initiatives.

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

**Trees, forests and water: Cool insights for a hot world** (Ellison, et al., 2017): This publication reviewed a diverse range of forest centered research, to assess the effects of trees on water and climate at local, regional and continental scales. The publication suggested that trees and forests have global climate change mitigation potential but claimed that forest-driven water and energy cycles are currently poorly integrated into decision-making on climate change responses, land use and water management.

##### **Tree Biomass Equations from Terrestrial LiDAR: A Case Study in Guyana** (Lau, et al., 2019):

Large uncertainties in tree and forest carbon estimates weaken national efforts to accurately estimate aboveground biomass (AGB) for their national monitoring, measurement, reporting and verification systems. Using tree attributes obtained from terrestrial laser scanning point clouds from 72 tropical trees, the authors of this report developed allometric models to accurately estimate tree AGB in Guyana.

##### **Estimating aboveground net biomass change for tropical and subtropical forests:**

**Refinement of IPCC default rates using forest plot data.** (Requena Suarez, et al., 2019): As part of the 2019 Refinement to the 2006 IPCC Guidelines for National Greenhouse Gas Inventories, this study generated new  $\Delta$ AGB (aboveground net biomass change) rate estimates (determined per ecological zone, per continent) for younger secondary forests ( $\leq 20$  years),

older secondary forests (>20 years and up to 100 years) and old-growth forests. This was achieved using data obtained from 176 chronosequences in secondary forests and 536 permanent plots in old-growth and managed/logged forests, across 42 countries in Africa, North and South America and Asia.

This was particularly important as countries with limited forest monitoring capabilities in the tropics and sub-tropics rely on IPCC 2006 default aboveground net biomass change rates.

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

**Messiness of forest governance: How technical approaches suppress politics in REDD+ and conservation projects** (Myers, et al., 2018): This paper argued that efforts to improve the ‘fairness’ of REDD+ have typically viewed conflicts and problems through a technical rather than political lens, and claimed that conflict-resolving solutions focusing on ‘benefit distribution’ have been at expense of political solutions emphasizing social justice and the representation of local people’s concerns and recognition of their rights. Drawing on data collected from over 700 interviews in five countries, this publication argued that the failure to incorporate political notions of justice into REDD+ has resulted in ‘messiness’ within governance systems and suggested that ‘messiness’ can be avoided by reducing the complexity of technical systems and language, increasing parity of participation and engaging proactively with harder political problems such as land rights.

**Designing for engagement: A Realist Synthesis Review of how context affects the outcomes of multi-stakeholder forums on land use and/or land-use change** (Sarmiento Barletti, et al., 2020): This Realist Synthesis Review (RSR) assessed the literature on multi-stakeholder forums (MSFs) organized to support efforts towards more sustainable land use, with a particular emphasis on subnational MSFs including at least one grassroots and one government actor. The review identified four common lessons learned for MSFs: the importance of commitment; engaging the implementers; openness to learn from and listen to stakeholders; and having a design that is adaptive to this context, with time and resources to do so.

#### 4.2.2.5 All modules

**Transforming REDD+: Lessons and new directions** (Angelsen, et al., 2018): This book pointed to critical issues associated with REDD+, offering suggestions on how to move forward and make forest-based mitigation effective, efficient and equitable. The book is divided into four parts: finance and other key building blocks of REDD+; analyses of national politics; syntheses of impact assessments of national and subnational policies, and local REDD+ initiatives; and a review of four evolving initiatives critical to achieving REDD+ as an objective.

Sixty-two authors contributed. In total, 56 reviewers were engaged. The book was launched on occasion of the Global Landscapes Forum in November 2019 in Bonn, and on subsequent events at the UNFCCC Climate COP 24 in Katowice. This book was translated into French and Spanish in 2019.

**Forest-based climate mitigation: Lessons from REDD+ implementation** (Duchelle, et al., 2019): This cross-module report summarized REDD+ experience over the past decade. The study described how REDD+ has evolved through international negotiations and early implementation, analyzed the progress and challenges arising from REDD+ initiatives at national, sub-national, and project scales, and concluded with recommendations for the future

(for governments, particularly those of industrialized countries, and the international community).

#### 4.2.3 National level

More extensive analysis and detail is included in Part Two of this report but key findings showing where project activities have contributed to policy or practice change are detailed below and separated by country (in the same order as can be found in Part Two). In some countries there are CIFOR country leaders and in others there are not.

**Indonesia:** Evidence from modules 2, 3 and to a certain extent 1 showed that project activities contributed to policy or practice change in Indonesia, including in the following examples.

According to the findings gathered from the survey and the interviews, the main achievement linked to the GCS project that has contributed to policy or practice change in Indonesia has been the key role played by CIFOR in supporting the development and the establishment of Indonesia's second FREL (Module 3, Outcome 3.1). The Government of Indonesia decided to improve and revise its FREL, submitted in 2016, by including a few missing sources and sinks such as peatland fires and mangrove soil carbon, and by adopting the 2013 Wetlands Supplement. This work is currently being undertaken through a Norwegian-funded project that began in 2019, building on GCS REDD+ Module 3 (CIFOR, 2019). This has not yet been submitted according to the UNFCCC website.<sup>22</sup>

There were also a couple of successful examples of collaborations with partners, especially with *Lingkar Temu Kabupaten Lestari* (LTKL). Tools developed and implemented to assess jurisdictional approaches through GCS REDD+ Module 2, were considered to have been particularly helpful to support the LTKL Sustainable Districts program refine the criteria and indicators of their regional competitiveness framework, as well as training their members in data collection with the aim of attracting private sector investment (CIFOR, 2019). Through this partnership with LTKL, CIFOR participated in a working group with *Bappenas* (Indonesia's Ministry of National Development Planning) that created a concept note in 2019 to institutionalize jurisdictional approaches in the national mid-term development plan (2020–2024). Thus, CIFOR informed and indirectly influenced policy change at the national level in Indonesia.

A Module 1 related output which was published in 2021 was the Indonesia REDD+ country profile, jointly written in partnership with *Yayasan Institut Sumber Daya Dunia* (WRI Indonesia) and *Yayasan Madani Berkelanjutan*. Furthermore, in 2019, CIFOR was also invited by the Director General of Climate Change at the Ministry of Environment and Forestry (MoEF) to share CIFOR's research findings on climate change and REDD+ as inputs for their analysis to develop Indonesia's roadmap for NDC capacity building (CIFOR, 2019). Moreover, Indonesia's Policy Network Analysis (PNA) database had also been refined in 2018, updated in 2019 and published in 2020 (CIFOR, 2018; CIFOR, 2019). All these materials provide a solid base for scientifically informed policy and/or practice change in Indonesia, but information uptake at different levels (nationally and locally) is much less clear, particularly as some outputs were only published towards the end of Phase 3.

<sup>22</sup> <https://redd.unfccc.int/submissions.html>



Regarding Module 3 outcomes, CIFOR's experts on peatlands supported the Indonesian Peatland Restoration Agency (BRG) in setting reference emission levels for peatland restoration in Indonesia. In 2017, this included the development of a manual, a kick-off workshop in Jakarta and three training workshops in Jakarta, Jambi and Pontianak – showing engagement with the Indonesian public sector both nationally and sub-nationally (CIFOR, 2017). Linked to this, in 2018, CIFOR also started supporting efforts around the establishment of the International Tropical Peatland Center (ITPC) 'with a global remit that blends action, policy and research on peatlands into one coherent approach.' The ITPC was established in 2019 in Bogor, Indonesia, building on the work on Measurement, Reporting and Verification (MRV) of tropical peatlands across the tropics through GCS REDD+ Module 3 (CIFOR, 2019).

**Vietnam:** Notable achievements in Vietnam relate to both Module 1 and Module 5 and demonstrate how well successful policy development can be enhanced by an effective communications strategy.

Close relationships between CIFOR in-country staff and national policy makers seem to have been the key success factor in Vietnam. There is some evidence that CIFOR's research and active engagement with government and non-government actors have contributed to the 2017 Vietnam Forestry Law, as well as the Vietnam forestry development strategy (2021-2030, with a vision to 2050) and the REDD+ national strategy. Furthermore, the CIFOR country lead was asked to go to the Parliament to present key research findings in closed door meetings for parliament members, thus engaging directly with politicians with regards to Module 1 activities (GBL01).

In addition, CIFOR has also been involved in the development of a Payment for Forest Environmental Services (PFES) monitoring and evaluation system. These PFES engagement processes have involved knowledge co-production, capacity building, coalition building and the provision of science-based policy advice to policy makers at national and sub-national levels. In practice, there have been many formal and informal meetings between CIFOR and VNFOREST (the Vietnam Forestry Administration), VNFF (the Vietnam Forest Protection and Development Fund), MARD (the Ministry for Agriculture and Resource Development), showing CIFOR's role and impact in Vietnam.

CIFOR also explored alternative communications channels in Vietnam, and this was proven to be a successful communications strategy. In 2017, a documentary produced by CIFOR on Forest Valuation was broadcasted three times on the Vietnam National Television and another documentary on gender equity in the Vietnam forestry sector (14 minutes) was also broadcasted six times between November 2017 and January 2018 (CIFOR, 2017).

Research findings on the PFES were also presented at a national conference in Vietnam chaired by the Parliament Committee on Science and Technology with Chairmen of 64 provinces in Vietnam (CIFOR, 2017).

In 2017, CIFOR Scientist Thuy Pham, as well as CIFOR as an institution, were awarded two prizes from the Vietnamese government due to CIFOR's contributions to forestry development

and forest conservation.<sup>23</sup> Regarding the second prize, there were only two international organizations that received this award, GIZ and CIFOR.

**Peru:** There seems to be wide appreciation of the knowledge processes and products generated and disseminated by the GCS project in Peru (PER02, PER04, PER05, PER06, PER07, PER08, PER09, PER10, PER11, PER12). Furthermore, there was consensus among most of those interviewed that the information generated and disseminated by the GCS project has contributed to support different areas of policy making. New evidence has also supported multi-stakeholder forums (MSF) in Peru (PER02, PER04, PER05, PER06, PER07, PER08, PER09, PER10, PER11, PER12).

The tools developed and shared by the GCS were very well received in Peru and their use was incorporated by Natural Protected Areas and others, as they demonstrated a reduction in management costs and an improvement in the quality of planning (PER06).

Module 3 activities (MMRV) seem to have been particularly successful in Peru. The precise and reliable data gathering and data sharing on peatlands (*aguajales*) is informing the update of the National Wetlands Strategy of Peru (2015) that is currently being developed (PER12) (ECLAC-OECD, 2016). Therefore, it seems that the understanding and ‘response’ of public officials involved in national and/or sub-national policy making has improved recently, and it appears that this can be at least partly attributed to GCS project activities. In fact, the research on peatlands developed and disseminated through this project seem to have fed into the work of the technical teams of the Loreto regional government and the Ministry of the Environment.

In Peru, all survey respondents agreed that there was improved AFOLU information and that stakeholders had better data and assessments on mitigation policy options and the role of forests in setting country targets and planning mitigation activities in the broader land use sector.

In addition, in 2020, the Module 4 tool ‘*How are we doing?*’, which had been designed in collaboration with MSFs in San Martin, Madre de Dios and East Kalimantan between August and October 2019 (CIFOR, 2019) was subsequently jointly implemented (and piloted) by CIFOR and SERNANP in the sub-national regions of San Martin and Madre de Dios, and more widely through a collaborative agreement with SERNANP (more details on the implementation of the MSF tool in Peru have been provided in section 4.1.4.1 above).

**Brazil:** The consulted stakeholders highlighted the impact of CIFOR’s activities, under the GCS REDD+ project, in the creation of scientific knowledge and high-quality data, both nationally and sub-nationally (BRA01, BRA08). However, some stakeholders also noted that CIFOR’s work alone is not enough to change policies as well as practices nationally; even if CIFOR’s influence in the state of Acre can be seen as a successful example (BRA04, BRA01).

Some further evidence of achieving policy or practice change through GCS activities can be found in the evaluation survey: according to the Brazil specific survey results, 50% of respondents thought that, as a ‘definite’ project result, ‘Civil society organizations can more

<sup>23</sup> <https://annualreport2018.cifor.org/getting-ahead-of-climate-change/road-to-recovery-for-vietnams-forests/>



effectively monitor, through new tools and information, the commitments of governments and the private sector to avoid deforestation.’

In Phase 2, the Government of Acre and The Nature Conservancy (TNC) used GCS data, methods and preliminary results in designing the socio-environmental monitoring systems for their respective jurisdictional programs, namely Acre State System of Environmental Services and TNC Sustainable Landscapes Pilot Program in São Félix do Xingu. Subsequently, in Phase 3, a PhD student contributed to the design of the state of Pará’s jurisdictional REDD+ strategy based on knowledge and training gained through the GCS project.

**Ethiopia:** One of the key contributions of the GCS projects has been CIFOR’s involvement in the revision of the 2007 Forest Law in 2018.

The GCS project seems to have achieved its intended outcomes in Ethiopia (particularly outcomes 1.1, 1.2, 1.3, 2.1, 3.1, 3.2 and 3.3) as evidenced by several publications and confirmed by stakeholders’ feedback, often noting the progress made by the Ethiopia forestry department, the lessons learned from other countries, the collaboration between different actors (including with donors), the development of a ‘better’ MRV system, and raised awareness on gender issues.

According to local stakeholders interviewed, CIFOR’s support to the development of the REDD+ MRV system, the Forest Reference Level (FRL) and the Safeguards Information System (SIS) were CIFOR’s most impactful contributions in Ethiopia.

In addition, in Ethiopia, CIFOR worked closely with Ethiopian researchers to update and finalize the REDD+ Policy Network Analysis (PNA) database, whose findings were presented at a CIFOR’s national stakeholder workshop in Addis Ababa in April 2020. Following this workshop, the Royal Norwegian Embassy in Addis Ababa and experts from the International Center for Agricultural Research in the Dry Areas (ICARDA) engaged with CIFOR to learn more about CIFOR’s policy analysis research methods and results (CIFOR, 2019).

CIFOR has also conducted research on the policies and practices linking forests and climate change mitigation in Ethiopia, thus enabling decision makers to deliberate sustainable forest management interventions at watershed level, from upper to lower catchments.

**DRC:** The modules where more project activities contributed to policy or practice change was from Modules 1 and 3 in DRC.

Awareness of the importance of the preservation of peatlands led the DRC Government to establish a Peatland Coordination Unit at the Ministry of Environment. This process was informed by CIFOR’s research (GCS REDD+ Module 3), as CIFOR had previously funded the International Tropical Peatland Center (ITPC) in Bogor, Indonesia. DRC is currently involved in the ITPC together with Indonesia and the Republic of Congo (CIFOR, 2018).<sup>24</sup> In addition, in July 2019 in Kinshasa, a knowledge-sharing event was organized by the DRC Peatland Unit, and CIFOR was invited to present its experience on peatlands (CIFOR, 2019). This example shows CIFOR’s engagement and collaboration with the DRC public sector on peatlands.

In October 2019, a workshop on ‘Multilevel governance and implications for provincial level MRV in DRC’ was organised by CIFOR in Kinshasa. This workshop (Module 3) brought together

<sup>24</sup> <https://www.tropicalpeatlands.org/>

20 experts from the Ministry of Environment, the national REDD+ coordination office, forest and peatland management experts, NGOs, financial partners and technical experts to reflect on how to strengthen the MRV process at the provincial level in DRC (CIFOR, 2019). Key take-away points from the workshop included the need for additional research related to MRV (e.g. gap analysis of technical and financial resources for MRV at national and subnational levels) and capacity building for MRV at the provincial level (CIFOR, 2019).

CIFOR also co-facilitated another national workshop with the Ministry of Natural Resources and the REDD+ Coordination Agency in Kinshasa in October 2019. The workshop (Module 1) was focused on REDD+ policies and progress in DRC, also sharing lessons from the global comparative work (CIFOR, 2019). Crucially, based on interactions during this workshop, the DRC REDD+ coordinator requested CIFOR's support in MRV capacity development at provincial and national levels, including in assessing the national REDD+ strategy in 2020 (CIFOR, 2019).

DRC's Policy Network Analysis (PNA) database was also updated in 2019 (CIFOR, 2019).

**Guyana:** CIFOR's collaboration with the Guyana Forestry Commission (GFC) on MRV (Module 3) appears to have been particularly successful.

Under Module 3, CIFOR supported the technical staff in Guyana, who decided to adopt CIFOR's stepwise approach to MRV GHG mitigation. CIFOR also provided direct forest monitoring support to the Guyana Forestry Commission (GFC) in terms of forest area assessment, biomass estimation and carbon measurement using new technologies and methods. As part of GCS REDD+ Module 3, two Terrestrial LiDAR fieldwork campaigns were carried out by CIFOR with the GFC in Guyana (in 2014 and 2017 respectively). Results and lessons learned were then shared with national stakeholders through training workshops in 2018 and 2019. For example, in October 2019, CIFOR organized a knowledge exchange workshop entitled 'Supporting the work of the Guyana Forestry Commission in the area of forest area assessment, biomass estimation and carbon measurement using new technology options and methods' (Outcome 3.3). During this workshop, results and lessons learned related to terrestrial LiDAR (e.g. development of an allometric equation, improved, non-destructive biomass estimation in large plots) were shared with key stakeholders. The opportunities for further development of Terrestrial Laser Scanning (TLS) in deriving country specific allometric models were also discussed with the GFC team.

In 2019, CIFOR worked closely with the Guyana Forestry Commission (GFC) and Iwokrama International Centre for Rain Forest Conservation and Development (IIC) to finalize the REDD+ country profile, which was then published in 2020 (Benn, et al., 2020). The main findings from the Guyana country profile were subsequently presented as part of a knowledge sharing workshop co-organized by GFC, IIC and CIFOR in Georgetown in April 2019 (CIFOR, 2019). This knowledge sharing workshop contributed to promote policy dialogue between government officers and civil society organizations (Module 1).

CIFOR provided support to develop the roadmaps toward the establishment of a national reliable and robust MRV system, looking both at safeguards and at various technologies to strengthen monitoring capacity and maximize the use of the data shared with other agencies.

**Myanmar:** There was very limited engagement and activities in Myanmar, which mainly related to Module 1, with some connections to Module 5.

The main output was the publication of the Myanmar REDD+ country profile (delayed from 2019 to 2020) – key findings were also shared in a national workshop in 2019.

CIFOR supported capacity building in the country, particularly through training of national researchers on political science and gender research methods.

One survey stakeholder (MY01) commented that policy makers recognized the role of forests in climate change mitigation and adaptation and Myanmar's NDC focused on forests and energy sectors as main areas.

#### 4.2.4 Sub-national level

**Indonesia:** Engagement with policy/decision makers was more successful at the national rather than the sub-national level, but there was some progress at the sub-national level. Under Module 2, Indonesia was one of the priority countries for both the evaluation of the impacts of local REDD+ initiatives on forests and people, and the global survey of sub-national REDD+ and private sector initiatives (linked to Outcomes 2.1, 2.2 and 4.3). The latter built on two tools: the jurisdictional profile survey, which was implemented by CIFOR in four provinces in Indonesia (Aceh, Central Kalimantan, East Kalimantan and North Kalimantan), and the CCBA Sustainable Landscapes Rating Tool (SLRT), which, according to the 2019 Annual Progress Report, has already been implemented in three provinces in Indonesia, while results were still being validated in other two Indonesian provinces (CIFOR, 2017; CIFOR, 2018; CIFOR, 2019). The partnership with LTKL was focused on providing district-level support.

**Peru:** As noted elsewhere Module 3 activities (MMRV) appear to have been highly successful in Peru through, for example, new research or dissemination of existing research on *aguajales* (wetlands or hydromorphic palm forests, peatlands), including their extension, carbon stock and importance for greenhouse gas emissions reduction (mitigation). As a result, at the sub-national level, Loreto's Concerted Regional Development Plan (PDCR) includes concrete actions to improve the conservation and sustainable management of peatlands (palm swamps or *aguajales*). In addition, the results of years of research on *aguajales* carried out by IIAP and CIFOR (including through the SWAMPS project) have supported the officials of the National Service of Natural Protected Areas, under the Ministry of Environment (SERNANP), who took part in the working group for the preparation of the NDCs implementation guidance report (Grupo de Trabajo Multisectorial, 2018). Moreover, MINAM also invited CIFOR to participate in the Technical Workgroup for REDD+ Safeguards, leading the country's interpretation of safeguards; one of the final hurdles to complete its readiness process (CIFOR, 2019).

According to the interviewees, the project had most influence at the national level.

**Brazil:** Brazil was one of the priority countries for the global survey of sub-national REDD+ and private sector initiatives (linked to Outcomes 2.1, 2.2 and 4.3<sup>25</sup>). This built on two tools: the jurisdictional profile survey, which was implemented by CIFOR in eight states in Brazil, and the CCBA Sustainable Landscapes Rating Tool (SLRT) under Module 2, which, according to the 2019 Annual Progress Report, had already been implemented in four states in Brazil, while results

<sup>25</sup> Both private sector outcomes (2.2 and 4.3) were integrated into this jurisdictional sustainability assessment work in 2018 (CIFOR, 2018).

were still being validated in other three Brazilian states (CIFOR, 2017; CIFOR, 2018; CIFOR, 2019).

The survey results detailed in the Brazil Country Analysis section show that there has been considerably more engagement at a sub-national rather than at a national level.

**Vietnam:** Together with Winrock International, CIFOR worked with Son La Forest Protection and Development Fund (FPDF) to carry out research on PFES benefit sharing mechanism in Son La province (VIE02) (CIFOR, 2017; Pham, et al., 2019). The findings were used by CIFOR, together with Vietnamese partners and Winrock International, to design and develop a monitoring and evaluation framework as a learning tool to support the development of both national and provincial M&E systems for PFES in Vietnam.

The framework was published and shared widely (CIFOR, 2018) (Thuy, et al., 2018). Additionally, 22 provincial government officers in Son La, two central government officers and two staff members from Winrock International were trained to apply this framework and M&E methods (CIFOR, 2018). Findings from this research on PFES were presented by CIFOR (in collaboration with MARD, USAID and Winrock International) at a national workshop in July 2018 which was attended by government officers from 53 provinces, MARD leaders and USAID representatives (CIFOR, 2018).

### 4.3 Were there any positive unexpected outcomes?

Under Module 1, UN Climate Change Conferences (COP meetings) were used as an entry point to develop an international partnership (in the side events). This meant that rather than solely presenting, CIFOR was able to start a dialogue with UNREDD, UNEP, UNDP, Green Climate Fund (GCF) and subsequently work closely with these organizations on transformational change (GBL01).

One of the key contributions of the GCS project in Ethiopia has been CIFOR's involvement in the revision of the 2007 Forest Law in 2018, which could not have been included in the 2016 proposal, but the adaptability of the project allowed CIFOR to allocate time and resources to this opportunity to inform and influence policy change.

Unexpectedly, a GCS report was used prominently in government agency website in Vietnam (as noted above).

The media workshop in Ethiopia ('Let's Talk Trees: Change our language, change our world') had not been originally included amongst planned activities, but, due to restricted resources for funding and personnel to organize a communications workshop in Guyana, the planned workshop in Guyana was replaced with the one in Ethiopia, which was particularly successful thanks to good interactions, shared learnings and networking between journalists (communicators) and various project partners, namely scientists and practitioners (CIFOR, 2019). In fact, this cross-sector engagement and collaboration led to the creation of more effective and impactful science communication, thus highlighting the importance of having scientists as participants, and not just speakers, in these workshops to provide common ground and a chance to discuss various issues on the same level, including jointly coming up with compelling story ideas (CIFOR, 2019).

CIFOR's support in MRV capacity development at provincial and national levels in DRC, including in assessing the national REDD+ strategy in 2020, could not have been foreseen in the 2016 proposal. However, CIFOR was able to inform and influence policy change (CIFOR, 2019).

One survey respondent (BR01) noted that in Brazil, "during the validation workshops of the Sustainable Landscape Rating Tool, CIFOR promoted a relevant discussion among different sectors of the 8 subnational jurisdictions in Brazil. This was a rare but very important opportunity of putting different stakeholders to share information and discuss jurisdictional strategies for moving these jurisdictions towards a sustainable landscape."

Under Module 1, the paper developed on the comparative analysis of benefit sharing mechanisms (Pham, 2013) led to the adoption of the findings in Burkina Faso and DRC (GBL01).

A project in 2019 in Cote d'Ivoire was able to support the national REDD+ benefit sharing strategy; and the World Bank also adopted the same strategy document.

Unexpected outcome for non-CIFOR researchers (but not for CIFOR): In Peru, CIFOR supported some studies including REDD + and the media, REDD + PNA about adaptation and mitigation synergies, and REDD + 2018 PNA (PE01). These studies have allowed CIFOR to learn about new evaluation methodologies in addition to knowing and staying in contact with other organizations and research. It encouraged collaborative work and networks, with very high-level researchers which were noted to be very enriching.

A demand for and use of knowledge products in terms of not anticipated user groups such as brokers in science policy interfaces (GL04). For example, consultants to government actors from REDD+ implementing countries and financing countries, which seem to have used the country profiles series on REDD+ and the agents and drivers of deforestation and other peer reviewed publications a lot. Another example is the use of knowledge products by development and rights based local activists and field workers who were asked for information. More specifically, GCS videos such as the 4I video on political economy of REDD published by CIFOR on YouTube was found by people in DRC, Cameroon, and Indonesia as well as Malaysia to be useful and they had downloaded it on to their phones to show in village meetings – reportedly quite often over the period of the project.

The same survey respondent (GL04) noted that they found it surprising that government actors were willing to listen to and engage with rather critical reflections from GCS on the politics of deforestation by independent researchers, which they felt had contributed to some extent to a discursive shift in the way deforestation is tolerated (or, perhaps better put, less acceptable).

#### **4.4 Were there any negative unexpected outcomes?**

Although GCS specific negative unexpected outcomes were not identified, one indirect negative impact was linked to local communities' unmet expectations to get considerable REDD+ payments for conserving existing natural forests, particularly in Ethiopia, where since actual payments were much lower than originally expected, the unintended consequence was that local communities cleared nearby forests for agriculture in South Western Ethiopia (ETH02).

Similar comments were made, but in a more general manner, in Brazil, Peru and Indonesia.



## 5 What lessons were learned about policy engagement?

### 5.1 How and under what conditions were decision makers equipped by the project's knowledge processes and products?

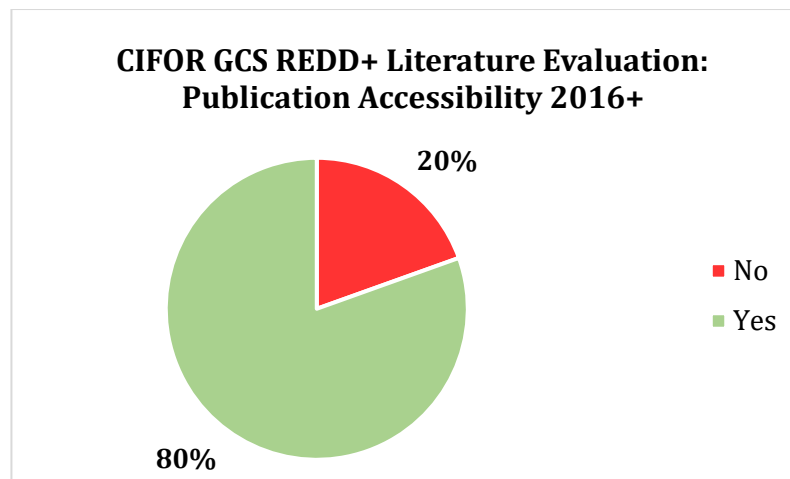
#### 5.1.1 Analysis of all publications

CIFOR provided Efeca with 1,127 resources published between 2007 and 2020 in relation to the GCS REDD+ project. The literature provided was diverse in format, with the most common publication type being ISI (International Statistical Institute) published articles (31%), followed by book chapters (18%), CIFOR-published papers (14%) and briefs (12%). The remit for this EOP evaluation is for GCS Phase 3, so particular attention was given to literature published in 2016 or later, which represented 45% of all resources provided.

The need for a high and increased level of accessibility to publications was commented on by several country level stakeholders. In the survey, see section 6.1, 31% of respondents thought that the research was either 'definitely not' (4%) or 'not really' (27%) 'easy to access for everyone', whilst 36% responded that research outputs were 'definitely' 'easy to access.' There were some regional differences, with LAC being particularly negative (44% of negative answers – 'definitely not' and 'not really' – in LAC), and Africa being much more positive (no 'definitely not' answers and only 25% of 'not really' responses on average in DRC and Ethiopia). The qualitative survey responses provide further insights. For example, one Brazilian stakeholder (BR01) commented that "the main challenge is to make this information available to the public, actively transparent and of ease to access to the whole society." Another Brazilian stakeholder (BR03) noted that CIFOR information is high level and that CIFOR provides important tools for policy development. However, sometimes this information takes too long to reach the actors (e.g. publications in journals) and maybe the relevance of such information decreases. Another point was to make more information available according to languages – in Brazil more publications should be in Portuguese.

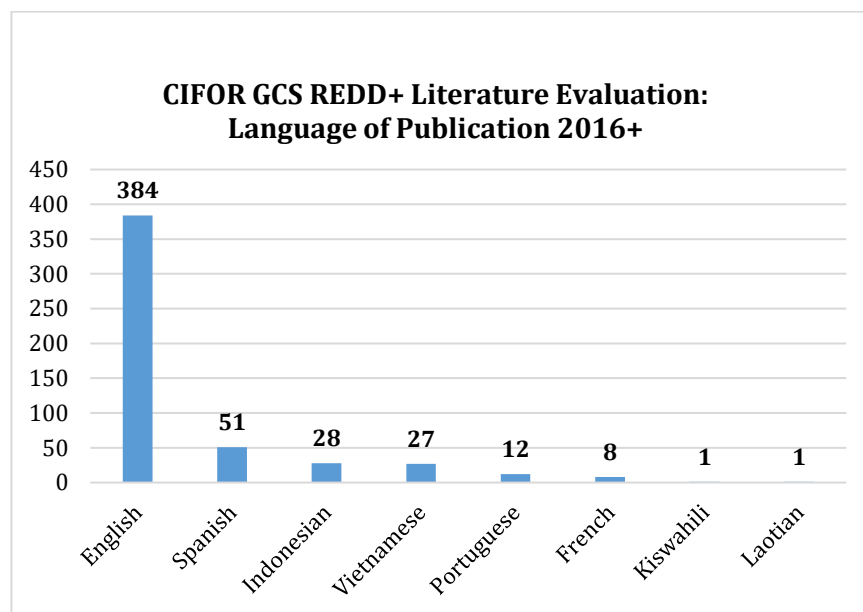
As shown in Figure 4 below, 80% of GCS REDD+ related literature published between 2016 and 2020 was available on the CIFOR website as 'Open Access'. The analysis of publications from previous phases of the GCS project (2007-2015) showed that the proportion of 'Open Access' literature remained constant in phase 3 compared to previous phases (81%).





**Figure 4: CIFOR GCS REDD+ Publication Accessibility 2016+**

Regarding the language of publication, 75% of GCS REDD+ related literature between 2016 and 2020 (phase 3) was published in English, followed by 10% in Spanish, 5.5% in Indonesian, 5.3% in Vietnamese, 2.3% in Portuguese and 1.6% in French (as shown in Figure 5 below).



**Figure 5: CIFOR GCS REDD+ Language of Publication 2016+**

The research impact of the full sample of GCS publications was evaluated using download and citation figures provided by CIFOR. As could be expected, the average number of ‘Downloads’ (452) and ‘Citations’ (8) were lower amongst texts published during the 2016-2020 period compared to 2007-2015 publications (when the average number of ‘Downloads’ was 6,148 and the average number of ‘Citations’ was 33), as more recent publications tend to have had less time to be as widely shared as publications from previous phases of the GCS project.

Regarding 2007-2015 publications, the average number of citations was far higher amongst publications in English (47), whilst publications in Indonesian were on average the most frequently downloaded (7,980), followed by publications in English (7,912) and Vietnamese (5,551). These data show academia’s great interest and respect for CIFOR’s publications, as they

have been widely cited and referenced in academic papers, as well as the focus of previous phases of the GCS project in both Indonesia and Vietnam.

If looking at the average number of ‘Downloads’ of 2016-2020 publications (although the dataset presented several gaps, particularly for 2019 and 2020 publications), literature published in Vietnamese had an average of 768 ‘Downloads’, highlighting the continued, and to a certain extent increased, high interest of Vietnamese stakeholders for CIFOR’s publications, followed by Indonesian publications (570 ‘Downloads’ on average – still showing high interest, but also illustrating a decrease compared to previous phases), Spanish (507), English (425), Portuguese (341) and Kiswahili (192). These figures show local stakeholders’ interest in (and indirectly demand for) translations of key publications into local languages, as the average number of downloads of English publications is lower than Vietnamese, Indonesian and Spanish ones. Interestingly, these are the languages spoken in Tier 1 countries – Vietnam, Indonesia, and Peru. Therefore, it seems that translations are key for stakeholder engagement in priority countries.

### **5.1.2 Analysis of most important publications per module**

Regarding this selection of the most important publications per module, to evaluate the research impact of this sample of selected literature, downloads from CIFOR website and academic journals and citations from Google Scholar and Dimension were used. Findings from this analysis showed that literature published between 2016 and 2020 had an average of 2,276 ‘Downloads’ from academic journals and 922 from CIFOR website, illustrating a higher interest from academics compared to other stakeholders. Books had on average the highest number of downloads from CIFOR website (7,212), thus showing wider interest for this kind of publication amongst CIFOR’s partners and stakeholders. ISI articles had the highest number of citations on Dimension (30) and Google Scholar (48) – as it could have been expected, academics preferred to use and reference ISI articles compared to other types of publications.

Looking at the level of focus of these important publications, research with an international level of focus seemed to receive the highest interest, recording an average of 1,930 journal and 3,627 CIFOR downloads. Equally, the average number of Google Scholar citations of papers with an international focus (70) was far greater than the average for research focusing on the national (22) and sub-national (24) levels respectively. Therefore, academics seem to be particularly interested in the global comparative aspect of the research outputs produced by the GCS project.

This additional sample of 47 selected publications, deemed to be the most important publications for each project module, was also provided by CIFOR. Of these, 60% were published in 2016 or later. By looking at the analysis of this list of most important publications per module, 2007-2015 publications had a much higher proportion of full text translations (33%) compared to 4% in phase 3 (2016-2020). In fact, amongst 2007-2015 most important publications (18 in total), 22% of publications had Portuguese full text translations (4 in total) and 33% had French, Indonesian and Spanish translations respectively (6 per each language).

Amongst 2016-2020 most important publications, around 54% dealt with processes or themes at the sub-national level, 42% at the national level, and 38% at the international level. Compared to earlier literature (2007-2015), research conducted between 2016 and 2020 was more frequently focused at one scale rather than multiple scales. This may show a desire to

focus more deeply on work conducted in some jurisdictions, potentially in response to local stakeholders' demands, but perhaps this might have been at the expense of reducing slightly the global comparative aspect of the GCS project. As suggested by an international stakeholder (GL06), this might have led to a lower impact at the policy level: "The project appears to have been less focused, especially on the global comparative dimensions, and accordingly appears to have had less policy impact, in the 2016-2020 phase, compared to previous phases."

Frequent themes in the list of important publications selected by CIFOR module leaders included 'REDD+ Impact Evaluation' with 75% of selected publications published between 2016 and 2020, as well as 'REDD+ Implementation' and 'REDD+ Design', referenced in around 33% and 25% of 2016-2020 selected publications respectively. This constituted a notable reduction compared to earlier literature (2007-2015). Also, 'Mitigation Measures' (42%) appeared over twice as often as 'Adaptation Measures' (17%). Meanwhile, in the analysis of the 2016-2020 sample of important publications selected by CIFOR (as opposed to the full array of CIFOR GCS REDD+ publications), references to social factors associated with REDD+ such as 'Community Wellbeing' (46%), 'Gender Mainstreaming and Women Empowerment' (21%) and 'Engagement with Indigenous Communities' (21%) were of increased prominence in Phase 3 compared to previous phases of the GCS project. This is in contrast to the previous phases where no literature included in the 2007-2015 sample of selected publications (as opposed to the full array of CIFOR GCS REDD+ publications) made reference to gender-based issues.

Amongst selected literature published in previous phases, 'Policy' and 'Governance' were the most recurrent themes, occurring in 67% and 56% of publications respectively. References to 'Payment for Ecosystem Services' (50%) and 'Carbon Markets' (28%) were more frequent in earlier phases compared to phase 3 publications – this may be because this was when the topic was new, and people were learning about PES and carbon markets rather than the implementation of REDD+.

It seems likely that themes have changed over the years in response to local stakeholders' demands and global interests. For instance, interest in and attention to social and gender issues has considerably increased over the years, and GCS research seems to have partly driven this trend. It seems less clear why the focus on PES and carbon markets, which were new topics in previous phases of the project, was reduced in Phase 3. In particular, carbon and PES were suggested by several stakeholders as a key focus for Phase 4 of the project (see section 8).

### **5.1.3 Decision makers' engagement with the project's knowledge processes and products**

The analysis illustrated in the two previous sections (5.1.1 and 5.1.2) highlights the dichotomy of the audience of the GCS project, as academics and researchers appear to be mostly interested in technical, scientific papers with an international, comparative focus (e.g. ISI articles), while other kinds of stakeholders in priority countries seem to prefer a more local, less comparative approach, as well as different kinds of publications (e.g. simpler, less technical, and preferably translated into the local language).

In particular, the latter seems to apply to policy and decision makers in priority countries, as highlighted by several stakeholders. For instance, a Peruvian stakeholder (PE03) pointed out that "Often decision makers are left with first readings rather than an in-depth analysis of studies and input/comments of those who are influenced by the findings of studies as serious as

CIFOR's. Consequently, decision makers do not end up rescuing the insights and therefore not leading them to concrete practices or policies that generate in-field impact." This comment reinforces the need for comparative studies which can illustrate the benefits and the limitations of different policy options and/or scenarios by high quality research institutions like CIFOR. From the stakeholder feedback, it appears that countries want more applied, practical outputs that are relevant and useable at the country/sub-national level.

A similar point was also made by a Brazilian stakeholder (BR03) who pointed out that high quality publications are insufficient for constructive engagement with policy makers, highlighting that CIFOR's direct engagement and "time to show the results to stakeholders" are essential as "even if policy makers are well informed, the political games in the studied countries are very complicated to make a transformational change" (BR03). Therefore, not even targeted publications may be enough without CIFOR's direct engagement with local policy makers.

## 5.2 What lessons have been learned about engaging decision makers in specific country contexts

As with other sections, more detail on country specific engagement can be found in Part Two.

On a global level the lessons learnt can be summarized to note that language and syntax that is appropriate to the audience is important as well as the understanding that timing inputs as well as possible should be considered within the communications strategy to best engage decision makers. There is also an acknowledgement that researchers (and the GCS) may often go unacknowledged even where there has been effective engagement.

At a national level, relationship building with decision makers is commonly seen as vital for effective engagement as well ensuring, where possible, that outputs are aligned against country priorities.

### Global

*Language and syntax:* The stakeholder engagement process is key for the buy-in of the results of the research itself as research outputs alone are insufficient. There is a need for less academic, technical and scientific publications coupled with a demand for clear, simple messages and practical recommendations in the national language – particularly for policy and decision makers. This need was identified in a number of countries including Indonesia, Brazil, DRC and Guyana.

*Lack of attribution:* Due to the nature of political discourse, it is often difficult, and maybe almost impossible, for a politician to acknowledge that a specific piece of research has led to a change in political direction. Consequently, there can be no attribution from policy makers on the way in which research has influenced them. A combination of factors (e.g. more public interest, elections, etc.) are also reasons why CIFOR may not be publicly acknowledged (GBL07).

*Timing:* It was commented by one respondent (GBL01) that CIFOR wanted to achieve a lot of change based on their research but it was acknowledged that it takes a lot of time to inform and provide an independent view.

## Indonesia

*National:* Despite the evidence of a few effective collaborative partnerships, particularly the one with LTKL in Indonesia, it was felt by stakeholders that more partnerships are needed for closer and more effective stakeholder engagement on the ground. This would better allow CIFOR to inform and influence local stakeholders, including decision/policy makers.

An improved communications strategy is needed (Module 5), as well as closer and further engagement with both the private and public sectors, particularly partners who can get more closely involved in politics (IND01). It was noted by Indonesian stakeholders that CSOs find it difficult to easily find and access specific references and key publications and a suggestion was made that the ease of navigating CIFOR's website could be improved.

It was also mentioned that CIFOR could in future develop outputs on biodiversity potentials and related business models.

*Sub-national:* To increase the capacity building of local research/academic institutions, and review or jointly develop local knowledge products to ensure their credibility.

## Peru

*National:* During the development of the multi-stakeholder forums' participation analysis tool, there was coordination and alignment with the Ministry of Environment in order to ensure to generate information that would help to fill gaps regarding social safeguards.

## Vietnam

*National:* 'Lessons learned about engaging decision makers in Vietnam' (VIE02, VIE04 and VIE08) are particularly interesting and could be helpful if shared in other priority countries of the GCS project. These lessons included building long-term trust with policy makers, good communication with local stakeholders, using tailored communications strategies alongside a wide variety of communications channels.

The Vietnam Country Analysis in Part Two highlights the need to match engagement with policy makers needs against the country's priorities, and the practical demands and requests of the policy makers and managers themselves. In addition, policy research needs to be flexible because policy is not set in stone, and new demands are always requested in a dynamic world.

## Ethiopia

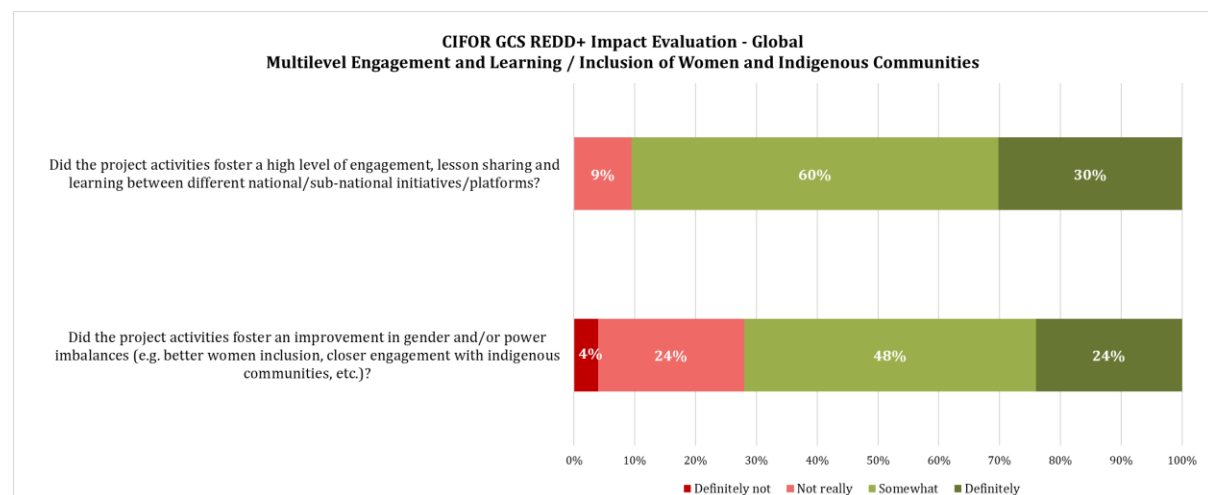
*National:* In 2019 (Module 5), a media workshop 'Let's Talk Trees: Change our language, change our world' for partners and journalists was conducted in Ethiopia (April 2019). This was designed in close collaboration with CIFOR scientists in Ethiopia, who strongly suggested to have a mixed audience of journalists, researchers, policy makers and practitioners (20 participants in total) given the low level of interaction among these actors, which often impedes the flow of information about forests and climate change to the public. The goal of the workshop was not only to build capacity, but also to build social links and trust among the different groups of actors. After the workshop, many participants expressed their deep appreciation for this type of workshop as they not only learned communication skills (e.g. different ways to communicate to the public), but also gained access to new social networks (CIFOR, 2019).

According to one interviewee (ETH02), CIFOR has a ‘tradition’ of consulting with decision makers at every stage of the project activities. In particular, it was mentioned that the deputy commissioner of EEFCCC closely collaborated with CIFOR. This close engagement with decision makers, to some extent, contributed to channeling the results from CIFOR's activities into the national policy agenda (ETH02), including towards the development process of the national MRV system and the forest emission level report to UNFCCC.

### 5.2.1 Survey results

Questions in the survey asked about multilevel engagement and whether project activities fostered an improvement in gender and/or power imbalances. These responses are shown in Figure 6 below.

With regards to multilevel engagement and lesson learning, 30% of participants claimed that project activities ‘Definitely’ fostered learning and engagement, 60% ‘Somewhat’ and 9% ‘Not Really’. In particular, in Indonesia, 60% of respondents suggested that the project ‘Definitely’ fostered engagement and learning, while the remaining 40% thought that this was ‘Somewhat’ the case. Similarly, in Ethiopia, 56% of participants responded ‘Somewhat’ and 33% ‘Definitely’. While no survey respondents chose ‘Definitely Not’, in both Peru and Vietnam 17% responded ‘Not Really’, while in Brazil 13% of participants responded ‘Definitely’, 75% ‘Somewhat’ and 13% ‘Definitely Not’.



**Figure 6: Survey results: Multilevel Engagement and Learning/Inclusion of Women and Indigenous Communities**

### 5.2.2 Gender and community perspectives

On the question of gender and/or power imbalances in the GCS within the survey (see Figure 6 above), 72% of responses were positive, with 48% of respondents choosing ‘Somewhat’ and 24% ‘Definitely’, whereas 4% of participants responded ‘Definitely Not’ and 24% ‘Not Really’.

The largely positive responses may reflect the outputs of Module 4 in Peru. Indonesia had the highest share of negative responses, with 50% responding ‘Not Really’. Ethiopia also had a high share of negative responses, with 13% responding ‘Definitely Not’ and 25% responding ‘Not Really’.



#### 5.2.2.1 Community issues and gender (impact)

Where CIFOR may be said to have been effective in this area was in the attention to sub-national governments including engagement with indigenous peoples and local communities. This is alongside solid comparative research across REDD+ initiatives (that no one else is doing), including on gender (GBL04).

Under Module 4, the MSF monitoring tool was specifically aimed at fostering an improvement in gender and/or power imbalances. The generic tool evolved into additional tools as these were appropriated for different organizations and purposes (GBL04).

**Peru:** GCS contributed to a greater visibility of community and gender issues within climate change mitigation measures reflected in a guide for the implementation of the Nationally Determined Contributions (NDCs) (GTF-NDC, 2018).

As noted elsewhere in this report CIFOR collaborated with the Organización Nacional de Mujeres Indígenas Andinas y Amazónicas del Perú (ONAMIAP; Peru's only gender-based indigenous organization), as well as participating in their capacity development events. This collaboration also fed into the development of the MSFs tool, including co-developing indicators that have been included in the MSFs tool. Additionally, ONAMIAP has been recognized as an indigenous stakeholder by Peru's Ministry of Environment (MINAM) and its leaders are now invited to workshops related to REDD+ and climate change, including the consultation process for Peru's Framework Law for Climate Change (CIFOR, 2019).

One stakeholder commented in the survey (PE02) that "indigenous peoples organizations in Peru use this evidence at national and international levels to push for better policy that can be implemented at national and sub-national jurisdictions in Peru (there are examples of this happening in San Martin, Madre de Dios, Ucayali, and Loreto)."

For instance, in Loreto, the ARA (Regional Environmental Authority) increased its consideration of the *aguajales* partly as a result of the experiences gained through the activities of the GCS project, both regarding the conservation value of the *aguajales* and the role that women play in the use and preservation of this natural resource (PER03). According to a local stakeholder, the 'Pro Aguaje' project was enriched by GCS activities and research, so that it now planned to better consider, include and engage with the women who harvest *aguaje* fruits (PER03).

**Guyana:** In 2019, CIFOR invited the Amerindian Peoples Association (APA) to take part in CIFOR's research towards enhancing the role of indigenous communities in REDD+ policy design and implementation (CIFOR, 2019). Country profile indicators for Guyana were also updated in 2019 and published in 2020.

The Forest Carbon Partnership Facility (FCPF) collaborated with the GFC (and indirectly with CIFOR) to provide technical support (2017-2019). This included engagement with various indigenous and forest dependent communities on the MRV, as well as on REDD+ more generally.

**Myanmar:** The Department of Forestry asked CIFOR to undertake an assessment of community forestry benefit sharing mechanisms related to REDD+ to inform REDD+ policy design in

Myanmar. This research was conducted jointly by CIFOR and Myanmar Forest Research Institute in 2018<sup>26</sup> (GBL01).

#### *5.2.2.2 Community issues and gender (implementation)*

These issues are considered by CIFOR to be at the core of the research, and they always try to balance gender in research teams, for example, actively seeking female researchers. Data collection processes also include both men and women, as well as indigenous communities to improve representation (GBL01).

Researchers also seek to include CSOs and women groups. Moreover, CSO leaders are often women and/or from indigenous groups. CIFOR researchers view these participants as having been empowered by the research and more informed of their rights. Increased visibility and recognition are also seen as benefits for these stakeholders as they have been provided with evidence to back up their arguments (e.g. they can check and reference GCS reports for credibility). In turn this encourages government officials to invite CSO and women groups (e.g. in Vietnam) (GBL01).

Women and men need different benefit sharing mechanisms to engage, for example in some context men may prefer cash, while women may prefer in kind payments (GBL01).

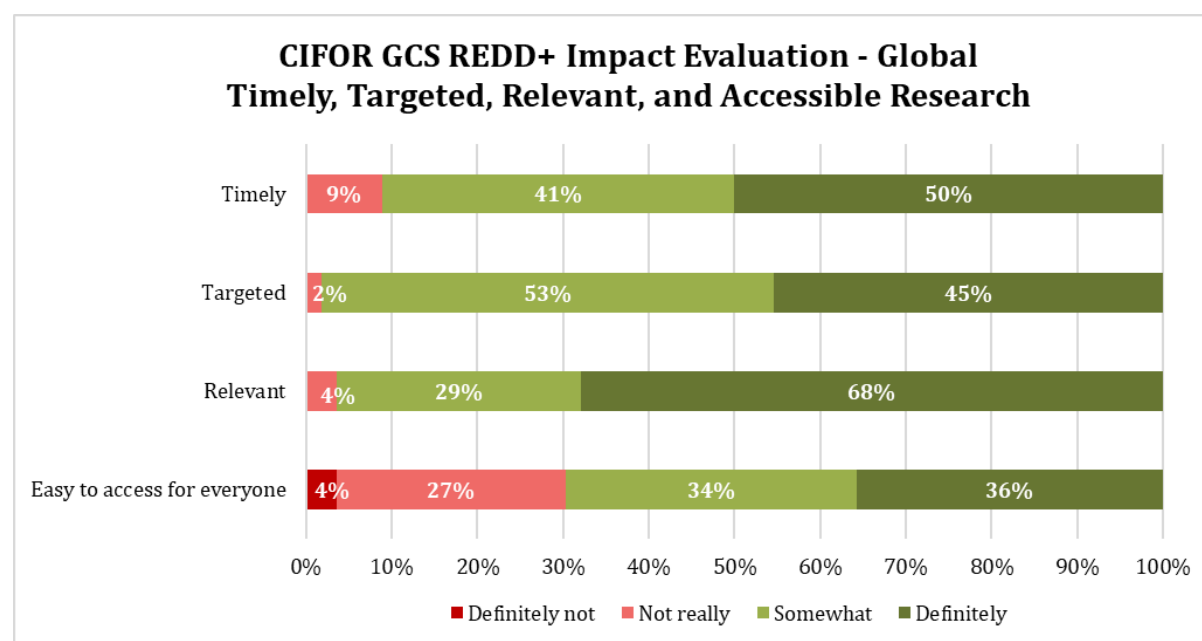
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<sup>26</sup> CIFOR 2017 Annual Progress Report

## 6 Was the research important, timely and well targeted to the context?

### 6.1 Survey data and analysis

A question on whether research was timely, targeted and relevant in the country/countries that respondents were working in was included in the survey, and results are shown in Figure 7.



**Figure 7: Data from the survey on Timely, Targeted, Relevant and Accessible Research**

At the global level, survey respondents thought that the GCS research was ‘targeted’, with only 2% responding negatively, and 45% agreeing that this was ‘definitely’ the case. Similarly, 68% of stakeholders agreed that the GCS research was ‘definitely’ ‘relevant’. While 50% of respondents thought that the GCS research was ‘definitely’ timely, 9% disagreed and thought that this was ‘not really’ the case. Regarding the ‘easy to access’ category, which may have been interpreted by stakeholders as either the accessibility of the publications themselves (e.g. on CIFOR website) and/or their ease/level of understanding by the ‘average’ stakeholder, 31% of respondents thought that this was either ‘definitely not’ (4%) or ‘not really’ (27%) the case, while the remaining responded either ‘definitely’ (36%) or ‘somewhat’ (34%).

**Ethiopia:** One survey respondent (ET07) pointed out that CIFOR's knowledge products/research outputs have informed national REDD+ process particularly the formulation of the national REDD+ Strategy and the analysis of policy actors network/coalition. Another respondent (ET08) commented that CIFOR has been advising the Government of Ethiopia in a number of forest related policy development issues including the formulation of the new forest regulation (national) and is currently the key institution in assisting the GoE to revise its forest policy.

**DRC:** One survey respondent from DRC (DR03) noted that “I have used research findings and books from CIFOR GCS REDD+ to prepare and inform UNFCCC REDD+ negotiations, prepare national REDD+ strategies of 2 African countries, inform the development of national REDD+

SESA, SIS and benefit sharing agreements as well as develop methods for REDD+ feasibility studies and triangulation during the evaluation of World Bank and Norad-funded REDD+ projects in more than 20 countries.”

## 6.2 How did the project engage with policymakers to identify country priorities such that research outputs were timely and well targeted?

### 6.2.1 What factors contributed to the relevance of the research to the priority country contexts

As discussed below, main factors appear to be flexibility, effective personal contacts and relationships, a participatory approach and the long periods of engagement with policymakers.

**Global:** The flexibility of the approach is key.

Personal contacts were felt to be extremely important working behind the scenes. This is difficult to measure but can have a visible impact (GBL01).

In addition, several survey respondents noted that developing close working relationship, partnerships, participatory process, engagement in the comprehension of the REDD+ system was important (ET03, BR05, BR01, PE04, PE05, PE06).

**Peru:** One success factor appears to be the ‘openness’ of the CIFOR project team to plan together with local stakeholders the implementation of the research and the activities to disseminate the results. Another factor may also be the precise and reliable data gathering and data sharing on peatlands.

In addition, the Module 4 tool ‘*How are we doing?*’ for monitoring multi-stakeholder participatory processes has been particularly successful in Peru. An ‘ad hoc’ version of the tool to strengthen participatory management in Natural Protected Areas for the National Service of Natural Protected Areas (SERNANP) (PER06) happened thanks to a close working relationship and collaboration between CIFOR and SERNANP in the development of this tool for use by the 75 Management Committees of Peru’s Protected Areas (13.7% of Peru’s territory).

**Vietnam:** Strong linkages/partnerships with the central agency, particularly the VNFF and the VNForest during the studies and supporting for consultation workshops/technical workshops with wide participation of different stakeholders after that (VI04).

**Ethiopia:** REDD+ has been integrated into existing institutions, building their internal capacity to promote sustainable development, including through the establishment of REDD+ MRV units at the regional level (Bekele et al., 2018).

CIFOR’s continuous engagement with stakeholders at federal and regional level was highlighted as a key success factor (ETH06).

In REDD+ project capacity building, workshops, and training for higher and middle-level officials were felt by one stakeholder to have provided a positive influence for decision-makers (ET10).

**DRC:** In 2020, the second edition of “The context of REDD+ in the Democratic Republic of Congo – Drivers, agents and institutions” was published both in English and in French. This publication

provides stakeholders with an analysis of the issues affecting the REDD+ policy environment in DRC, highlighting the main implementation challenges and opportunities.

**Guyana:** The GCS project has been successful in training GFC staff (technical training plus capacity building), so that the GFC has, over the project period, taken on the responsibility of sharing MRV data with other agencies and organizations.

The primary success factor from the project was felt by one stakeholder to be the ability to gain support and learn from experiences on the identification of challenges and opportunities in designing and implementing REDD+ policies and projects (GU01).

**Myanmar:** One stakeholder commented that forests in general were becoming a main element of Myanmar's NDC.

## 6.2.2 What factors hindered the relevance of the research to the priority country contexts?

As elaborated below, main factors appear to be changes in personnel, difficulty in achieving impacts in the required timeframes, coverage of multiple disciplines at CIFOR country level, the availability of CIFOR in-country representation and local research capacity (external).

Stakeholders in some countries commented that personnel at government agencies can change frequently, particularly when restructuring occurs (VIE02, GUY02, BRA05, as well as a general comment shared by several stakeholders in Peru and DRC). Changes in power can mean a complete re-structuring of various teams within the public sector, both at the national and at the provincial level. This highly hinders continuous engagement with policy makers, and it is also both a risk and a constraint with respect to previously established regulations and commitments. In effect, the GCS researchers have to restart engagement and, as a result, after any changes, CIFOR needed time for additional communications and networking in order to re-build collaboration and trust. This is seen as especially difficult for Module 1 as they are working in a voluntary partnership, so this involves a process of co-producing knowledge. "Time is needed to build trust, think and see as a team" (GBL01).

Publications are a consortium product (e.g. civil society and other parties). Governments may not have previously worked with CSOs, so although it is an achievement when actors can work together after two years of work, it is a problem in terms of time needed for deliverables (GBL01).

Policy making is a complicated process, and policy demands are always 'changeable', while this GCS project proposal was designed for a period of four years. This might hinder the relevance of the research. Therefore, policy research needs to be flexible.

**Indonesia:** 'Who' is delivering the research findings (and 'how') is key, particularly when engaging with government. Local stakeholders suggested that Indonesian researchers might be more familiar with how to 'overcome' political and cultural barriers (as well as linguistic ones).

**Vietnam:** The capacity of some local stakeholders at the sub-national level was limited (VIE02) and therefore CIFOR needed to provide additional training before being able to collaborate with them.

**Peru:** REDD+ seems often associated primarily with conservation measures at the sub-national government level, which might lead local authorities to ‘keep a certain distance.’ This is also partly exacerbated by the very limited success/failure of several REDD+ initiatives (particularly in Loreto), and the delays of other initiatives, especially in terms of economic benefits (PER05).

There might be a lack of knowledge and awareness on REDD+ by the regional authorities, resulting in low or slow participation (PER08).

83% of the evaluation survey respondents agreed that project activities fostered a high level of engagement, lesson sharing and learning between different national/sub-national initiatives/platforms. Despite this high level of agreement, and although the research on the impacts of the REDD+ project in the chestnut forests of Madre de Dios provided valuable information, the representative of the company implementing this project expressed his disagreement with the results obtained and qualified the project’s contribution to his activities or to the public policies of the authorities linked to his specific activity as little or none (PE03).

**Brazil:** Having an office in Brazil would help to build relationships and trust – especially with the public sector.

**Ethiopia:** Challenges mentioned by local stakeholders included the political unrest seen in many parts of the country hindering travelling to field sites for project activities, as well as the lack of face-to-face engagement with local stakeholders due to the spread of COVID-19 (ETH02).

Additional hindering factors mentioned by stakeholders interviewed included ‘bureaucracy’ barriers as well as the complexity of the applicability of science in practice on the ground. In order to address this, the establishment of a forestry data center was suggested by one interviewee, mainly as point of reference and source of information for the public sector (ETH01).

It was also pointed out that CIFOR has a very limited human capacity in the country.

**DRC:** CIFOR is well respected and trusted in DRC, but CIFOR presence is missing both in Kinshasa (where national policy/decision makers are) and in the provinces (apart from Tshopo). DRC survey responses and interviews confirmed local stakeholders’ trust in CIFOR, as well as their desire for a stronger CIFOR presence in the country.

Despite some initial engagement with stakeholders in Mai Ndombe, there was no follow up and local stakeholders are waiting for next steps from CIFOR.

**Guyana:** It has been challenging for the GFC as the ‘data sharing’ role to share MRV data with other agencies and organizations exceeds GFC’s resource capacity. Reporting commitments under the Guyana Norway Agreement have been time and resource intensive, accounting for nearly 30% of GFC staff time. This might reduce GFC ability to develop and support capacity building within government agencies (time constraint).

Whilst LIDAR was interesting and new, the GFC ascertained that their previous algorithm and methods that they were using to determine carbon stocks (the Chave 2005 equation) was more accurate than using LIDAR (GUY07).



**Myanmar:** Whilst Myanmar might have been a complicated country to work in in the past, due to the current political situation in the country, further engagement with any policy or decision makers would be extremely difficult (if not impossible) under present circumstances.<sup>27</sup>

### 6.3 How did the research contribute to international, national and sub-national REDD+ processes?

#### 6.3.1 What factors contributed to the relevance of the research at different levels?

Key factors included the quality of the data including length, depth and width, CIFOR's credibility, flexibility/adaptability of the project and the topicality of the research issue.

##### International

*Long running data series:* Most stakeholders specifically commented on how GCS is the only CIFOR program that has a long time series of global data on policy (and progress) at a whole country level as a result of the Norad funding. After three phases of GCS, the level of change achieved can now be presented at national as well as international workshops and forums.

*Global level of data and analysis:* The knowledge sharing and publications have been well received by all countries as they bring in lessons learnt from elsewhere to an international level. COP events are one example where this type of input can achieve global influence. Other examples include national knowledge sharing events/workshops (policy, knowledge sharing and lessons learned) (GBL01).

*CIFOR's neutral role:* When the California Tropical Forest Standard was going through public commentary, CIFOR brought objective evidence from the Module 2 impact evaluation work to the process on multiple occasions. Many organizations are anti-REDD+ while others are pro-REDD+, and it is clear that CIFOR has a more neutral role in bringing objective scientific evidence to these kinds of decision-making processes.<sup>28</sup>

*International research collaboration:* CIFOR GCS team worked closely with University of Helsinki (Finland), University of Leeds (UK), University of East Anglia (UK), Stockholm Resilience Center (Sweden), and Lafayette Colleague (US) to carry out and disseminate research findings on power and the politics of REDD+ in international and national policy arenas. In 2019, there was also a collaboration with the US Forest Service to carry out new research on policies and practices related to 'blue carbon' (i.e. the organic carbon stored in coastal ecosystems) in the Asia-Pacific Region (CIFOR, 2019).

Another example under Module 1 in Brazil was the refinement of the REDD+ Policy Network Analysis (PNA) database by two Brazilian researchers based in UK and Germany, in close collaboration with a Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH (GIZ) expert based in Brazil. Two articles based on stakeholders' perceptions of REDD+ policies over time, as well as perceptions of the private sector on REDD+ in Brazil, were also developed based on PNA data (CIFOR, 2019).

<sup>27</sup> As of April 2021.

<sup>28</sup> Minutes of Meeting CIFOR-Norad Annual Meeting, 19 August 2020

## National

### *Knowledge Sharing and Strong Collaboration:*

**Peru:** Under Module 3 impacts, the recent Law of Multisectoral and Decentralized Management of Wetlands (November 2020) includes Amazonian peatlands, which followed recommendations from the studies conducted by the GCS REDD+ project on peatlands. The elaboration of this law by MINAM (*Ministerio del Ambiente* – Ministry of Environment) seems to have been influenced by the knowledge sharing activities promoted by CIFOR, including within the framework of the GCS, particularly regarding the definition, status and importance of Amazonian palm forests (PER10). The Module 3 knowledge sharing activities on peatlands in Peru as well as the technical research on peatlands and greenhouse gas (GHG) dynamics in undisturbed and degraded palm-dominated swamp forests (Module 3) led to the acknowledgement by the Government of Peru (GoP) of the need to formally recognize and protect its peatlands –directly contributing to policy change. In practice, in 2019, the primary CIFOR scientist involved in the technical side of the research on peatlands, Kristell Hergoualch, was requested by the GoP to collaborate closely with a national team to adopt a definition of peatlands, develop criteria for classifying peatlands, and map them (CIFOR, 2019). Additionally, following fruitful collaboration between CIFOR and the GoP on peatlands, there could also be the potential opportunity for Peru to enter the South-South agreement to maintain and support the International Tropical Peatland Center (ITPC) (CIFOR, 2019).

**DRC:** Overall, according to stakeholders' feedback, CIFOR's workshops have been valued as useful for exchanging experiences and learning lessons, aiming to improve the REDD+ framework (including the implementation of MRV at the provincial level).

Workshops hosted by CIFOR were beneficial in providing a platform for exchanging experiences and sharing knowledge. CIFOR's involvement in these consultations was seen as crucial, presenting how REDD+ was being implemented in Peru, Vietnam and Indonesia, sharing lessons learned and giving opportunities to learn from the challenges faced in other countries and how these challenges were addressed (GUY02).

*Objectiveness and independent approach:* In DRC, within the national REDD+ evaluation, there was a perceived need to have an independent evaluation by an institution rather than a short-term consultant (GBL01). The trusted nature of CIFOR's research was noted by three further stakeholders in the survey (GL04, GL09, GL11).

*Impact of CIFOR high-quality scientific research in improving research practices in targeted countries:* In Peru, CIFOR's database on REDD+ policies as well as on Policy Network Analysis (PNA) were updated and completed. The latter highlighted the importance of CIFOR in (scientific) information exchange related to REDD+ (CIFOR, 2019). This Module 1 related work was undertaken in collaboration with Libelula, who presented these findings at one of the monthly REDD+ roundtable meetings with national stakeholders in Lima and obtained feedback for future research on REDD+. As there was clear demand from Peruvian researchers and practitioners to learn and apply new political science analytical methods, planned follow up activities included public lectures / trainings on PNA at the *Pontificia Universidad Católica del Peru* (PUCP) in Lima in 2020 (CIFOR, 2019).

In Ethiopia (2019), the BioCarbon Fund Initiative for Sustainable Forest Landscapes (ISFL) refined its benefit-sharing plan in Ethiopia and CIFOR scientists provided a targeted, short synthesis of GCS REDD+ Module 1 research on benefit-sharing mechanisms to inform this process, which was acknowledged by the program as being potentially useful (CIFOR, 2019).

*Topicality of REDD+:* Engagement with decision makers in Ethiopia seemed to have been facilitated and enabled by the fact that REDD+ appears to be currently at the top of the political agenda, as there is both interest and support of the government on REDD+. Research centers, NGOs and international centers were also interested in REDD+. Therefore, there were enabling conditions for decision makers' engagement in CIFOR's workshops and other activities, with the potential opportunity to contribute to actual policy implementation (ETH03).

## Sub-national

*Indonesia:* At the sub-national level, the CIFOR GCS project partnered with a political implementer (LTKL) for a Module 2 piece of research on jurisdictional profiles (Sukri, et al., 2020). This collaboration ensured that an effective process was developed and undertaken to closely engage with local stakeholders, including decision makers.

Multi-stakeholder forum research (Module 4, Output 4.2) was also carried out, including in-depth field research of sub-national multi-stakeholder forums in Central Kalimantan, East Kalimantan, Jambi and West Java (in 2018), and later through one case study in East Kalimantan (in 2019) for the development and early implementation of the monitoring tool for MSFs (CIFOR, 2019). However, as the pilots in Peru appeared to be more successful, the flexibility/adaptability of the project allowed more resources to be focused there (GBL04).

*Brazil:* Brazil was one of the priority countries for the Module 2 global survey of sub-national REDD+ and private sector initiatives (CIFOR, 2017; CIFOR, 2018; CIFOR, 2019).

In 2019, a PhD student trained by CIFOR through the GCS REDD+ project contributed to the design of the state of Pará's jurisdictional REDD+ strategy, in collaboration with TNC and ICRAF (CIFOR, 2019). Building on Module 2 activities in Brazil, in 2019, CIFOR continued to support the social and environmental monitoring of the State System of Incentives for Environmental Services of the Government of Acre (Brazil), as well as collaborating with the GCF Task Force Brazil country coordinator and representatives from multiple Amazonian state governments to support monitoring of their jurisdictional REDD+ programs through the GCS tools developed and implemented to assess jurisdictional approaches.

The Brazil specific survey results demonstrated that the GCS project has contributed to the generation of 'Information, analysis and tools [to] inform the design and implementation of jurisdictional REDD+ approaches that include public and private sector actors.'

*DRC:* Has also requested CIFOR to evaluate national REDD+ strategy (ad hoc requests for help and support) under Module 1 (GBL01).

*Guyana:* CIFOR's collaboration with IWOKRAMA, through the FORENET project, helped to establish and strengthen the link between CIFOR, the Guyana Forestry Commission (GFC) and the University of Guyana. As an example, GFC partnered with IWOKRAMA to host workshops

during which GFC provided updates on REDD+ process and progress to date in Guyana (GUY02).

### 6.3.2 What factors hindered the relevance of the research at different levels?

One common issue that occurs in the points raised below is that managing expectations with regards to expected and actual received REDD+ payments needs to be clearly addressed in the research.

**REDD+ Payments:** The issue of previously promised financial resources, lower REDD+ payments than expected and/or delayed payments have caused difficulties at a research level in countries such as Indonesia, Brazil and Ethiopia.

There is an identified need to develop a financing (and benefit sharing) mechanism at the national and sub-national levels. Managing expectations is also vital, as the fact that they were not met in Ethiopia led to community dissatisfaction, and it also negatively impacted communities' customary forest management practices (as well as causing deforestation) (ETH02).

**Voluntary carbon markets:** One stakeholder from Peru (PE03) commented that the context of voluntary carbon market is not currently sufficiently considered, leading to incomplete/erroneous conclusions regarding the projects' impact capacity.

**Measuring environment impact:** The same stakeholder (PE03) suggested that the approach CIFOR uses to measure the environmental impact of the project may not be the most appropriate one as it should differ from criterion used to measure climate contribution. PE03 also recommended that the preferred approach would be to compare: the "with-project" future scenario against the "without-project" future scenario, not the project future scenario against the project past historical data. Otherwise, the information set out in the analysis could lead to erroneous conclusions regarding the project. PE03 goes on to cite a specific example of a REDD+ Brazil nut project, where it compares pre-project scenario versus post-project scenario, without considering that the project was created in response to a radical change in the reality of the forests in Madre de Dios: the construction of the Inter-Oceanic Highway South, which connects Peru with Brazil and Brazil with China.

It should be noted that the above comments are from a single respondent and could not be triangulated.

## National

*Indonesia:* When REDD+ payments are delayed, stakeholders' expectations greatly exceed actual benefits and this causes distrust and disengagement with anything related to REDD+; including CIFOR's research. (This point is reiterated for Ethiopia and to some extent Brazil and Peru.)

The current political climate is not particularly favorable towards either REDD+ (more generally) or CIFOR (more specifically) in Indonesia.

*Peru:* Lack of knowledge and awareness on REDD+ by regional authorities and a low or slow participation of local authorities who consider REDD+ to develop from a sub-national level, has been partly exacerbated by the very limited success/failure of several REDD+ initiatives, and the delays of other initiatives, especially in terms of economic benefits (PER05).

*Vietnam:* CIFOR's research has focused mainly on PFES in Vietnam, but there are many other aspects of REDD+ that could be explored further.

*Brazil:* The public sector needs to get involved both nationally and sub-nationally. In general, engagement at the federal level is very challenging due to government priorities (REDD+ now less included). CIFOR has previously contributed to create an enabling environment, but this is needed once again, as new policies are now needed. This need is heightened due to the perception of the public sector that REDD+ as a private sector mechanism.

*Ethiopia:* CIFOR GCS REDD+ project activities were focused on the high forests of the country, this meant that the woodland vegetation, which covers a significant area of the country, was not included (ETH02).

*DRC:* The political context is a hindering factor alongside a lack of budget, political willingness to implement REDD+, convergence of sectoral policies, multi-sectoral processes, inter-ministerial coordination, political leadership, and clarity in benefit sharing mechanisms. This situation is exacerbated by frequent changes in the bureaucratic apparatus of the State, as well as a lack of REDD+ technical experts both nationally and sub-nationally.

*Myanmar:* The lack of interconnectivity and alignment between different sectoral policies (cross-sectoral coordination) limited the development and implementation of REDD+ processes.

### **Sub-national**

*Indonesia:* CIFOR is perceived to be 'too far' from the private sector. One stakeholder noted that CIFOR needs to build more relationships with the private sector to be able to ensure alignment between CIFOR's research agenda and what the private sector needs. This is seen as a crucial step because nature-based solutions (REDD+ initiatives) are business oriented (IND06).

*Peru:* One local stakeholder also highlighted that the existence of several REDD+ projects and initiatives with many actors involved (i.e. donors, implementers, community-based organizations, etc.) generates dispersion and poses a challenge for the national authority to prioritize and organize the national REDD+ agenda (PE01).

*Brazil:* At the sub-national level in Brazil, there may be an issue of technical capacity, but most of all is the lack of resources from the federal level that is a key issue. There is also a need for more engagement with private sector actors and REDD+ projects/initiatives on the ground.

*Ethiopia:* There may be a gap between policy and implementation, although this has not been clearly identified yet. It appears that policy revisions are undertaken prior to implementation of previous policies, thus hindering progress in practice. Additionally, it has been suggested that this could be due to weak and inefficient implementing institutions. However, as these vary from region to region at the sub-national level, implementation plans developed at the national level may not even reach the local level. More generally, institutional instability and lack of leadership have been mentioned as other potential limiting factors (ETH03).

## 7 Have the recommendations of the GCS REDD+ 2018 Mid-Term Review (MTR) been addressed?

### 7.1 Key recommendations

In effect, there are four key GCS recommendations from the GCS REDD+ 2018 MTR (Ducenne, et al., 2019); one that was from the 2015 GCS Assessment (Young & Bird, 2015) and an additional three from the 2018 MTR.

Key recommendations	Addressed	Comment
(1) Produce a short strategy document outlining what makes for the best ‘match’ between CIFOR and its collaborating organizations (type of partnership being sought).	Not yet fully addressed	Included in both 2015 and 2018 Reviews. CIFOR management response to the 2018 MTR indicated that the partnership strategy followed the broader CGIAR Research Program on Forests, Trees and Agroforestry in which GCS REDD+ is embedded. A short strategy document on GCS REDD+ specific partnerships was not developed in Phase 3, but could be developed for a potential Phase 4.
(2) The MELIA 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.	Fully addressed in 2020/2021	It is recommended to continue this approach into the new planned Phase 4.
(3) Providing information and exerting influence: “Enough information” and “not enough influence”, in relative terms. Using the MELIA, 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.	Partially addressed	It is anticipated that this could have been addressed if the MELIA system had been completed (and impact pathways examined) earlier in the project.



(4) 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).	Partially Addressed	Will be fully addressed by EOP as the SoC, which were reviewed in draft form for this evaluation, are due to be published by June 2021.  As outlined in section 1.1, this evaluation proposes that a nested ToC could be utilized in a potential Phase 4.
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It is understood that there have been some changes in the M&E team and this is one reason why the MELIA system was not implemented prior to 2020. However, the current long-term M&E team (RTI team) is considered to be stable and able to provide strong guidance and support (GBL01, GBL02 and others).

## 7.2 Country level continued validity of 2018 MTR recommendations

At country level, the majority of the country level recommendations were still found to be valid recommendations. These have been detailed in Part Two of this report but the highlighted recommendations that are still valid and were deemed relevant by at least three interviewed stakeholders (whether in one or more countries) are shown in Table 8 below:

**Table 8: Key national level recommendations and countries where they remain valid**

Highlighted points from 2018 MTR	Still valid in 2020 review?	Evidence
<b>Knowledge Co-Producers</b>		
Opportunities to strengthen relationships with partners for greater impact	Valid	IND01, IND02, IND03, IND05, IND06, IND09
New strategies for dissemination of data, non-academic formats and other languages, e.g., magazines, budget allocation and time for this.	Valid	IND03, DRC07; DRC03; DRC05
Closer connection to local government and clarity of relationships	Valid	IND01, IND02, IND06, PER05, PER09, DRC02, DRC03, DRC05
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	Valid	VIE03, ETH02, ETH03
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	Valid	PE04, PER04, ETH03, IND03, IND06, IND09
Physical presence in the country in order to participate more fully in workshops, meetings and to build relationships with civil society organizations and NGOs	Valid	BRA02, BRA05, BRA08, DRC01, DRC06
More opportunities for capacity building at local level, e.g., MSc or PhD opportunities, increase collaborative research and capacity building with more universities and increased staff presence	Valid	IND04, IND06, IND09

Sustain/develop relationships with government agencies through individual resources-persons	Valid	IND01, IND02, IND09
<b>Supporters</b>		
More engagement with the private sector, explore and support payment for performance issues and solutions	Valid	IND06, PER01, PER02, BRA06, BRA07, ET01, ET06, ET07, ET08
Make the research scope/findings more pragmatic and deliver clear messages easy to understand by all stakeholders, including policy makers	Valid	IND03, PER08, BRA07
<b>Implementers</b>		
More attention/research on private sector links, including agribusiness and international carbon markets	Valid	IND02, IND06, VIE06, PE01, PER02, BRA03, BRA06, BR07, ET01, ET06, ET07, ET08
Perform more research on financing aspects of REDD+ implementation (document possible domestic financing mechanisms, etc.) and strengthen capacities in applying to funding calls	Valid	VIE03, VIE04, VIE06, BRA01, BRA03, BRA08, ETH02
Engage with private sector and/or minorities where many opportunities and issues reveal the true daily challenges of implementation	Valid	VIE02, VIE03, VIE08, ET01, ET06, ET07, ET08
Explore how to better inform and reach key decision makers and wider audiences at jurisdictional level	Valid	BRA02, BRA03, BRA06, BRA07, BRA08, ET06, DRC02, DRC04 DRC06
Attention to language barriers and technical language and more availability of documents in Spanish, Portuguese or local languages (especially for work with local level)	Valid	BRA02, BRA03, DR07
Stakeholders wish to get technical support, more pragmatic support down to earth in relation with implementation, e.g., MRV capacity building	Valid	ET06, ET07, ET08
Strengthen/work on emission and forestry resource monitoring systems	Valid	ET03, ET04, ET09
Engage with private sector and/or minorities where many opportunities and issues reveal the true daily challenges of implementation	Valid	ET01, ET06, ET07, ET08, VIE02, VIE03, VIE08
<b>Researchers</b>		
Attention to agriculture and deforestation drivers	Valid	PER02, BRA05, ET02

Table 8 shows the country level recommendations from the 2018 MTR that are still most relevant (at least six interviewees included these points) for this final evaluation are as follows:

**Knowledge Co-Producers:**

- Closer connections needed to local government and increased clarity of relationships (Indonesia, Peru, and DRC).
- A need to seek more opportunities to strengthen relationships with partners for greater impact.
- To set at least a part of the research agenda around economic development issues – job creation, value creation – because that is the language policy makers understand and keeps it aligned with what is going on the ground. At the same time to provide knowledge that is specific in terms of how it can be implemented (Indonesia, Peru and Ethiopia).

**Supporters:**

- To have more engagement with the private sector; to explore and support payment for performance issues and solutions (Indonesia, Peru, Brazil and Ethiopia).

**Implementers (nine interviewees commented):**

- More attention/research needed on private sector links, including agribusiness and international carbon markets (Indonesia, Vietnam, Peru, Brazil and Ethiopia).
- To explore how to better inform and reach key decision makers and wider audiences at jurisdictional level (Brazil, Ethiopia and DRC).

## 8 Phase 4: Learnings for the next phase of the CIFOR GCS REDD+ project

### 8.1 Future areas to focus on

#### 8.1.1 Carbon finance

Carbon Finance and its link/relationship to the REDD+ process was seen by many stakeholders (especially at the international level) as a key area to focus on in future. This area seems to be gaining momentum and there are numerous developments within policy, private and finance sectors, including with respect to nature-based solutions. Due to CIFOR's historical experience and global knowledge, there seems to be a comparative advantage for CIFOR to play an active role within these conversations.

At the global level, there may be a mismatch of 'size' between global players (e.g. multinationals) and global financial flows on one side, and carbon/development projects on the ground, which often have very small scales (GBL09). Additionally, there is growing evidence that private sector actors are engaging in forest carbon offsetting and buying carbon 'plus' credits, but these currently seem to be mainly based on individual agreements between the 'carbon buyer' and the 'carbon seller', without linkages at the jurisdictional, national and international levels (GBL06). Therefore, there could be the potential opportunity for CIFOR to support in developing a system at the jurisdictional level (including an equitable framework which ensures a fair benefit-sharing mechanism) to support the channelling of global financial flows towards sustainable development projects on the ground via jurisdictional high-value carbon markets (including social benefits, biodiversity protection, etc.).

This suggestion follows the perspective that carbon markets developed at the jurisdictional level (rather than at the project level) are more likely to achieve the objective of reducing emissions from deforestation and forest degradation (REDD+), mainly due to their scale (Seymour, 2020). For example, a jurisdictional approach may reduce the possibility that deforestation or degradation is simply displaced to another location (leakage) compared to a project approach, as the larger the area covered by a REDD+ initiative, the lower the leakage risk, making jurisdictional-scale implementation more effective over project-scale interventions (Seymour, 2020).

In addition, access to international carbon markets (and thus private sector finance) for jurisdictional-scale emission reductions seems to be increasingly becoming an essential source of incentives for change, while a jurisdictional approach may also better protect the social and environmental integrity of emissions reduction credits, thanks to a closer link to the policy level at the jurisdictional scale compared to the project scale (Seymour, 2020). Therefore, there may be an opportunity for CIFOR to support in the transition for incorporating project-scale activities into REDD+ programs, with performance credited at the jurisdictional scale, due to CIFOR's experience in working on REDD+ at various scales and in different countries (e.g. PFES in Vietnam).

For instance, in 2018, CIFOR co-authored a report on REDD+ finance, based on a consultancy funded by the European Commission, which assessed major public, institutional and private flows of direct and indirect REDD+ finance to 41 recipient countries, and their capacity to

implement REDD+, aiming to support REDD+ implementation at scale (CIFOR, 2018). The study found that donors were not necessarily allocating REDD+ funding to countries with the highest potential to realise emission reductions. Furthermore, there was already a clear potential to support building systems for MRV and Forest Governance, especially in Africa, while too little quantitative information was deemed to be available on private REDD+ finance. Nevertheless, flows of private money into the soft commodity production and value chains in REDD+ recipient countries, appeared to be three orders of magnitude larger than total public REDD+ support in the period 2008-2015 (CIFOR, 2018). Therefore, there was (and still seems to be) potential to link private finance flows to investments not just in sustainable commodity supply chains but also in REDD+ initiatives, particularly due to the current focus on becoming carbon neutral (e.g. Race to Zero, etc.).

Although some technicalities are still under discussion (and likely to be agreed at COP26), learning from GCS experiences such as those in Vietnam and Indonesia, CIFOR could partner, for instance, with jurisdictions or provinces in the Amazon or in the Congo Basin to support the development of a framework to assess performance and validate credits at the jurisdictional scale.

In addition, more generally, CIFOR could write more articles on carbon markets, including in the lead up to the discussions on Art. 6 at the next COP (COP26 in November 2021). This was seen as essential by an international stakeholder, mainly due to recent developments in this area, and the need to integrate as much as possible key topics such as land use rights, biodiversity protection, etc. in those high-level conversations (GBL07).

Furthermore, other aspects, including benefit sharing mechanisms, were suggested by stakeholders interviewed as potential research areas for CIFOR to focus on in phase 4:

- Studies on how to address the need for funding as well as, during implementation, the financial aspect of the agreement, including the payment mechanism, and the assessments and equations that were used, were suggested as potential focuses that the GCS may consider in future phases (GUY02).
- More research on benefit sharing mechanisms (including on costs required to implement sustainable forest management and on how to implement the proposed benefit sharing mechanism) could be another recommendation for a future phase of the GCS project.
- Benefit sharing mechanisms at jurisdictional scale could include how to transition from jurisdictional programs funded by donors to private sector funding through carbon credits. Such a transition would need to ensure that project scale initiatives, including those by organizations such as The Nature Conservancy (TNC), Wildlife Conservation Society (WCS), etc., are not ‘unfairly punished’. For example, linking to the carbon finance discussion above, CIFOR could investigate how to construct institutional accountability frameworks linking REDD+ policy and carbon markets at national and sub-national (i.e. jurisdictional) scales (GBL06).
- CIFOR is well positioned to provide global analysis on carbon finance on how sub-national jurisdictions can link with international markets, and how this then ‘filters down’ to legacy projects (GBL06).

Therefore, there seems to be a strong demand for technical but accessible research comparing different methodologies and benefit sharing mechanisms (i.e. pros and cons, plus guidance leading to ‘informed suggestions’).

### 8.1.2 Additional potential areas of research

- Stakeholders suggested researching the costs that countries face to be able to maintain their forests and low deforestation rates, aiming to ‘move’ from ‘business as usual’ scenarios to more sustainable activities, while improving their technical and institutional capacities. Transformational change requires nationwide stakeholder engagement and consultations which are resource intensive and require considerable funding/financial resources, as well as human capacity.
- Local GCF Task Force and jurisdictional scale work is a key area of work where CIFOR can be effective (GBL06).
- Studies may examine ways to share experiences between different countries implementing REDD+, including on how to assess costs and needs, from staff requirements, to how to set up a secretariat, to how to access satellite images, just to mention a few examples. The global comparative nature of the GCS project would allow to further explore ‘practical’ lesson sharing on these very pragmatic topics.
- More consideration of the political environment in terms of the most effective timing and method of engagement.
- Long term engagement building on CIFOR’s trusted research reputation: Within the context that there is only a small group of researchers working on deforestation, it is suggested that CIFOR could take a broad coalition-building role with many actors rather than focusing on government. The purpose would be to promote a worldwide sustainability movement.
- Stories for Change (SoC) – there is a need for more case studies and for them to continue beyond the national level to show how impacts have been achieved at all levels including international as well as sub-national and national levels.
- One challenge is how to get people (decision-makers) interested when there are numerous meetings / workshops (and now many webinars) so it can be difficult to ensure good participation and interest. A recommendation for this from survey respondent PE01 would be to explain to the actors the usefulness and relevance of the investigations, in order to arouse interest and promote that they genuinely want to be part of the investigations, offering their time and collaboration.

### 8.1.3 Country Specific Options

- **Indonesia:** partner institutions can change (e.g. Indonesia REDD+ platform dissolved). This means that researchers must find new pathways to navigate. There are often only a few people who should be influenced (a few powerful voices). So, sometimes only the financial department or another specific department for example.
- **Indonesia:** Blue Carbon and evidence of piloting restoration methods in peatlands/wetlands, benefit sharing mechanisms (research to know which mechanisms, governance structures, and policy frameworks would work most effectively to ensure a just



and equitable benefit sharing down to sub-national level, and even to land-owner/steward level). Additionally, continued monitoring deforestation on a more real-time basis, more research targeted to ensure the Transparency, Consistency, Completeness, and Accuracy of the data and information used to support Indonesia's second FREL establishment (especially on forest fire and peatlands data), and financing mechanisms for REDD+ initiatives, leveraging the private sector and voluntary carbon markets.

- **Brazil:** coordination between different actors is difficult and currently lacking – so CIFOR could play a role in promoting the necessary integration to create a national carbon market – also providing research on the issue of financing and the economic sustainability of a national REDD+.
- **Myanmar:** Feedback from a local stakeholder (MY01) suggested the implementation of pilot projects to address the main drivers of deforestation and forest degradation in Myanmar. It was also recommended to host in-country consultations for co-designing the project with local stakeholders.

#### 8.1.4 Organizational

To have a dedicated person (country specific coordinator) and a multidisciplinary approach wherever GCS is implemented. This issue was particularly evident in Brazil and in DRC, where a couple of stakeholders in each country made this point about the lack of CIFOR in-country presence, especially in Kinshasa (DRC01, DRC06, BRA02, BRA05). In addition, this was also mentioned by stakeholders in Guyana (GUY01), Ethiopia (ETH02 – as CIFOR staff in-country presence was not deemed enough due to limited human resources) and Indonesia (IND01 – with a specific reference to on the ground physical presence at the sub-national level, “as CIFOR does not currently have long-term local representation at the sub-national level to build trust with local communities and be involved in policy development at the sub-national level”).

#### 8.1.5 MELIA (Improving Indicators and Measuring Impact)

There is a milestone for the number of publications, and this is also part of CIFOR employee personal performance. This milestone is balanced out by the inclusion of elements such as capacity building, ‘partnership’ and ‘empowerment’ suggesting that the performance assessments are currently well-rounded.

Indicators give a reflection of the work carried out, but there is a qualitative versus quantitative issue. Examples include numbers of knowledge sharing events and numbers of letters of agreement for collaboration (i.e. number of collaborations for publications). Also, the number of CSOs at a meeting can be an achievement in itself in some countries (e.g. Vietnam).

For CIFOR when they work with an actor, etc. there is a need to provide an argument and impact pathway to achievement (e.g. need for justification).

An Efeca discussion with the module leaders revealed that several significant spin-off activities have resulted from the GCS activities. These spin-off projects are not included in the MELIA plan, and this information has not been gathered within the project. Given the confusion from country-based partners and stakeholders on the GCS project boundaries, this was not possible to accurately be assessed. It is recommended that this type of information could be tracked in future phases and that this would provide further insights into impacts on the fourth and fifth phases of the ToC (‘Change in implementer behavior’ and ‘Impacts on the change in state’).

Overall, there may be a need for a stronger MELIA system, with improved appropriate tools, approaches and resources. The use of influence logs to document and track instances of influence would be useful. However, the existing MELIA system was only introduced in 2020, and some of the planned/introduced tools have either not been implemented (influence logs) or have not been used long enough (SoC) to feed into the learning element of the system. Consequently, it is suggested that a fully implemented MELIA is used from the outset of Phase 4.

### **8.1.6 Moving forward: Project level**

Module 3: Phase 4 – Paris Agreement (Article 6): moving to a broader view of monitoring. Looking at NDCs and enhanced transparency framework. It is expected that the ability to track progress (and helping countries to do this) against what was promised in the Paris Agreement (GBL03) will become increasingly important in the build-up to COP26 and beyond. Countries and stakeholders need assistance both in monitoring and setting up appropriate systems.

Module 4: In the next proposal, some funds have been allocated to develop a tool with the Foreign Aid of the Peru Government, and there are also some funds to deliver tools in collaboration with International Food Policy Research Institute (IFPRI) this year, including online videos – shared for capacity building. These activities are being carried out by a gender coordinator and this has now become a global literature review on how to address gender and indigenous people inclusion. After 45 interviews, guidelines were developed to tackle both gender and indigenous people exclusions (not yet online). This included follow ups with other projects' funding (ILC and GIZ) and is expected to be continued in the proposed Phase 4.

Module 5: Given the expected reduced country focus planned for Phase 4, it is anticipated that the budget will remain at the same level for communications and knowledge-sharing, allowing more focus on a narrower set of outputs.

In addition, due to the planned focus on three main countries (and to a lesser extent Brazil), it is suggested that the CIFOR GCS web-portal could have country webpages as well as the focus on specific research areas. This would enable stakeholders and partners to have a clearer idea of the key GCS activities and outputs in each of these countries.

### **8.1.7 Long term sustainability factors**

As a result of COVID 19 limitations, there had to be a reduction of knowledge sharing events. Virtual meetings were conducted, but there is a limit to this (e.g. interactions and length of time) and thus, fewer opportunities to interact with local people. In-person interactions usually include a learning process (1-2 months) to lead up to government meetings; this allows for learning the country priorities as part of the process for national platforms. In some countries, government officers may be concerned about being recorded on internet processes and online meetings; face-to-face meetings tend to be more open and have less barriers.

- People want international lesson learning (people from different countries discussing and reflecting together), not just reading, so a 4-day interaction for example (which is typically less effective using remote technology and loses the dynamic). Also, writing workshops to discuss papers (and for co-creation of knowledge) can no longer take place. Although researchers and stakeholders are becoming more proficient at hosting virtual meetings, there is often an insufficient knowledge of how to run webinars / meetings smoothly, passing the control / running breakout groups, etc.

Generally, forest protection is expected to become more important and, depending on results of current international discussions, this could increase or potentially ultimately fail. The UNFCCC decision at COP26 on whether REDD+ can be included in carbon markets is key. If there is no security of permanence of carbon reductions, it would make it difficult for regional or national carbon markets for carbon credits from forests to trade. Consequently, success may depend on selling credits from forests (GBL07). It is also important to be able to show the interlinkages between REDD+ and other schemes (e.g. Plan Vivo projects) to show blended finance, the inclusion of both public and private sectors and keeping regional and national carbon markets accessible to all.

Possible One CGIAR<sup>29</sup> approach issues (The CGIAR is currently undergoing a major reformulation which may not ultimately include CIFOR): This was mentioned as a possible concern by one stakeholder (GL07) but was mentioned by CIFOR international staff briefly and only in relation to budget and possible competition from other forest research providers. The module leaders did not see this issue as a particular concern.

- In the case of REDD+, CIFOR module leaders were confident they will be able to deliver no matter what the overarching institutional changes. Climate change mitigation and adaptation is a core theme in the new CIFOR-ICRAF strategy, and REDD+ is one of eight Transformative Partnership Platforms that will help them deliver on their new strategy. However, it is hard to imagine how this work would fit into the One-CG agenda given the focus on food production on farms.<sup>30</sup>

There is a need for an exit strategy for the countries where there are no plans to continue phase 4 (e.g. Vietnam, Ethiopia, Guyana and Myanmar), unless other CIFOR projects could continue the work there.

#### 8.1.8 Anticipated Phase 4

The evaluation team was unable to view the CIFOR Phase 4 proposal but some of the key elements were shared with the team during the module leader interviews. The next phase's title will be: 'Knowledge to protect tropical forests and enhance rights' and it will continue to focus on REDD+ but will also take a broader view.

It was impossible to maintain the initially planned 6 countries in Phase 4 with a reduced budget; consequently, CIFOR Phase 4 will be focused on Peru, DRC and Indonesia (with some activities in Brazil in collaboration with UFMG and GCF Task Force). The new annual budget will be 15% less than the previous phase, it is much lower than what was proposed by CIFOR. However, this will enable CIFOR to keep/hire a full-time scientist in Peru, DRC and Indonesia for this project (GBL02).

The real niche for CIFOR is the global comparison level comparative work and evidence that is carried out under the GCS project. Although the number of countries has been reduced, it will still be a multi-country approach with a considerable amount of historical data from a wider sub-set of countries available. An increased level of contact in all three countries and a deeper

<sup>29</sup> <https://www.cgiar.org/food-security-impact/one-cgiar/>

<sup>30</sup> CIFOR Progress Report, 2020

(but narrower) research focus could potentially lead to an increased number of the most impactful type of inputs in Phase 4.

CIFOR chose to include DRC over Ethiopia in Phase 4 from a strategic forest basis (i.e. importance of Congo Basin forests and CFI). NICFI's focus meant that Vietnam could not be included as a priority country in the next call despite the good results obtained in Phase 3 and the long-running research.

It is expected that CIFOR will continue to move forward with a 'no regrets' policy (GBL03) including, for example, forest monitoring, carbon accounting, etc. as well as REDD+. This means that whether or not REDD+ ultimately succeeds or fails a low-risk approach means that activities such as improving the voice of local people is beneficial regardless and monitoring systems will continue to be useful (GBL04).

REDD+ has been seen to offer huge promises and expectations so there can be gaps in terms of in-country expectations and delivery at country level.

Getting REDD+, and in particular the financial flows at scale, to operate would seem to be one of the major obstacles to be overcome, and with that engaging private sector to be implementors of change.

Although the GCS included some work on REDD+ performance, looking at different remote sensing tools, it did not link to carbon benefits and payments, but it is understood that this will be included in the next phase. Phase 3, mainly focused on national forest capacity and not finance flows.

## 9 Conclusions

### **Did the project achieve intended outcomes and what lessons were learned about policy engagement?**

This final evaluation review concluded that Phase 3 of the Global Comparative Study on REDD+ achieved its intended outcomes overall.

Whether these outcomes have led to the expected ToC Stage 4 ‘Change in implementer behavior that is assessed by looking at the resulting changed policy and practice’ by the end of the program is much more difficult to assess. In order to be able to more clearly assess the attainment of the later stages of the ToC, it is recommended that SoC are continued and expanded to encompass international impacts and that the previously recommended influence logs are introduced into the MELIA system.

The existing MELIA system was only introduced in 2020, and some of the planned/introduced tools have either not been implemented (influence logs) or have not been used long enough (SoC) to feed into the learning element of the system. Consequently, it is suggested that a fully implemented MELIA is used from the outset of Phase 4.

### **Was the research important, timely and well targeted to the context?**

In general, the research can be considered to have been important, timely and well targeted. Factors that contributed to the relevance of the research to the priority country included flexibility of approach, effective researcher contacts and relationships and the use of a participatory approach.

The evaluation survey provides further evidence on this conclusion as at the global level, the vast majority of the survey respondents thought that the GCS research was either ‘definitely’ or ‘somewhat’ important, timely and well targeted. Negative responses of ‘not really’ varied between 2% and 9% for these three metrics and zero respondents gave an answer of ‘definitely not’ important, timely or well targeted.

However, there were several limiting factors including the frequency (and impact) of government changes in priority countries, as in several cases there was no continuity (or institutional memory) within the public sector, and policy engagement was greatly hindered.

Several local stakeholders pointed out the complexity of CIFOR’s papers and publications, as well as the lack of translations into local languages. This could be addressed to strengthen engagement (and influence) in priority countries.

### **Have the recommendations of the GCS REDD+ mid-term evaluation been addressed?**

Out of the four key recommendations from the GCS REDD+ 2018 MTR (Ducenne, et al., 2019) – one from the 2015 GCS REDD+ Assessment (Young & Bird, 2015) and an additional three from the 2018 MTR – one was not yet fully addressed in Phase 3 (short strategy document for partnerships), one was fully addressed (the MELIA system), while the other two were partially addressed (providing information and exerting influence; and stories of change).

## Recommendations and Moving Forward

CIFOR scientists' physical in-country presence was seen as pivotal in making a difference in activities conducted and impacts achieved locally, therefore it was recommended that CIFOR's presence was sought for all the countries included in future phases of the GCS project (it is understood that this is included in the new Norad proposal).

A more comprehensive communications strategy was also suggested, particularly in some countries (e.g. Indonesia), and with respect to engagement with the private sector (which was not clearly tracked in Phase 3). Similarly, stronger partnerships with local organizations in priority countries were recommended for increasing engagement on the ground, including at the sub-national level, and with private sector actors.

To strengthen GCS research uptake, it was recommended to identify the audience for each study as soon as possible to ensure that the final outputs are targeted to the desired audience(s).

Country pages on CIFOR GCS website were also suggested, together with a more sophisticated way to 'filter' publications, in order to facilitate access to more targeted content. This was mainly due to the vast amount of resources available on CIFOR GCS website. For instance, this could be particularly helpful for local CSOs looking for country and/or topic specific evidence.

Amongst other topics, further research on Benefit Sharing Mechanisms was suggested by several of the interviewed stakeholders, including the integration of PES and solutions for sustainable livelihoods to help local communities to effectively use PES financial resources. This was linked with the potential to focus more on financing mechanisms for REDD+ initiatives, leveraging the private sector and voluntary carbon markets, particularly at the jurisdictional level.



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## Annex 1: Terms of Reference

### **Consultant for Final Evaluation for CIFOR's 'A Global Comparative Study for achieving effective, efficient and equitable REDD+ results' (Ref. No. 2024)**

#### **Climate Change, Energy and Low-Carbon Development (CCE) Team and Research to Impact (RTI) Team**

The Center for International Forestry Research (CIFOR) envisions a more equitable world where forestry and landscapes enhance the environment and well-being for all. CIFOR is a nonprofit, scientific institution that conducts research on the most pressing challenges of forest and landscape management around the world. Using a global, multidisciplinary approach, we aim to improve human well-being, protect the environment and increase equity. To do so, we conduct innovative research, develop partners' capacity and actively engage in dialogue with all stakeholders to inform policies and practices that affect forests and people. CIFOR is a CGIAR Research Center, and leads the CGIAR Research Program on Forests, Trees and Agroforestry (FTA). Our headquarters are in Bogor, Indonesia, with offices in Nairobi, Kenya; Yaoundé, Cameroon; Lima, Peru; and Bonn, Germany.

CIFOR is looking for a:

### **Consultant for Final Evaluation for CIFOR's 'A Global Comparative Study for achieving effective, efficient and equitable REDD+ results'**

#### **Overview**

CIFOR's Global Comparative Study for achieving effective, efficient and equitable REDD+ results (GCS REDD+ Phase 3) works with research partners and stakeholders in eight countries (Peru, Brazil, Guyana, DRC, Ethiopia, Myanmar, Vietnam and Indonesia) 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 and policy engagement at sub-national, national, and international levels. The project is structured into four research modules and one knowledge-sharing module (see below) designed to deliver salient, credible and legitimate knowledge products that address important gaps in REDD+ policy design and implementation. Through knowledge coproduction, project partners develop their technical capacity to address policy and implementation challenges and assist in dissemination, multiplication and uptake of research results. The project builds on two previous phases of GCS REDD+, which demonstrated the catalytic potential of combining research, capacity building and partner engagement to bridge the science-policy divide (Young & Bird, 2015).

The titles of the five modules are:

- 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
- Module 5: Sharing evidence and experiences

Narrative descriptions of each module can be found in Annex 1.

The current project theory of change reflects the knowledge that CIFOR has developed during the previous phases of GCS REDD+ and is structured in five phases (with text in parentheses 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 behavior that is assessed by looking at the resulting changed policy and practice (end of program outcomes), and finally
5. Impacts or changes 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. Achieving the desired outcomes in these phases would mean the project will make a credible contribution to changes in the aspirations and decisions of key policy makers and practitioners.

The goal of GCS REDD+ Phase 3 (2016-2020) was a transition from CIFOR initiated co-production and co-learning to policymaker- and practitioner-initiated ownership and use of information in their decision-making processes.

A mid-term evaluation of GCS REDD+ Phase 3, as requested by Norad, highlighted several recommendations to enhance potential impact, which the project team is following (CIFOR, 2019b).

### **Objectives of the assignment**

The final evaluation will focus on Phase 3 of the project cycle (2016-2020), including priority setting, research design, implementation, and ongoing engagement processes. It is important to bear in mind that half of the countries in Phase 3 (DRC, Ethiopia, Guyana and Myanmar) were new to the project, meaning that engagement with these countries only began in Phase 3, whereas the other countries (Brazil, Indonesia, Peru and Vietnam) benefitted from the project since its earlier phases. Consequently, the maturity of some results may vary from one country to the next depending on when the country started benefitting from project activities.

The evaluation will address the following three questions:

1. Did the project achieve intended outcomes and what lessons were learned about policy engagement?

- 1.1. To what extent were project outcomes realized and is there evidence of project activities contributing to policy or practice change?
- 1.2. Were there any positive or negative unexpected outcomes?
- 1.3. How and under what conditions were decision makers equipped by the project's knowledge processes and products?
- 1.4. What lessons have been learned about engaging decision makers in specific country contexts?
2. Was the research important, timely and well targeted to the context?
  - 2.1. How did the project engage with policymakers to identify country priorities such that research outputs were timely and well targeted? What factors contributed to or hindered the relevance of the research to the priority country contexts?
  - 2.2. How did the research contribute to international, national and sub-national REDD+ processes? What factors contributed to or hindered the relevance of the research at different levels?
3. Have the recommendations of the GCS REDD+ mid-term evaluation been addressed?

### **Summary of responsibilities**

The evaluation team will be required to conduct an externally-led summative evaluation of GCS REDD+ Phase 3 (2016-2020). The evaluation will examine the relevance of the project's research and the extent to which the project achieved its outcomes effectively.

The evaluation team will work closely with the project team, members of CIFOR's Research-to-Impact team (RTI), and in-country CIFOR staff and core partners to design an evaluation plan, data collection tools and analytic frameworks. They will be required to collect and synthesize existing information against the key evaluation questions, then assess the need for further remote or face-to-face data collection to address information gaps as needed before compiling the evaluation report.

The evaluation will focus primarily on the influence of GCS REDD+ in the eight priority countries (Peru, Brazil, Guyana, DRC, Ethiopia, Myanmar, Vietnam and Indonesia) where Phase 3 activities were undertaken.

The evaluation shall include, but not be limited to, the following four phases: planning, data collection, analysis, and reporting. Below is an outline of the specific responsibilities of the evaluation team in each phase.

### **Phase 1: Design and planning**

The design and planning evaluation will be conducted in a consultative manner and will involve members of the evaluation team discussing the proposed approach with CIFOR's RTI team and key members of the project implementation team. During this phase the evaluation team will:

1. Conduct a (remote) inception meeting



2. Undertake an initial document review. Key documents to be provided include:
  - Project proposal and design documents (including annual implementation plans)
  - Key research publications, tailored communication products and press releases, Annual project reports
  - Existing outcome assessments and evaluations
3. Lead evaluation design and planning consultations. This will involve:
  - Remote consultations with project staff regarding the history and evolution of the project and the specific work packages
  - Participation in a review of the project's theory of change and progress markers in order to address evaluation question 1
  - Development of an approach to address key evaluation questions 2 and 3
  - Integration of project team and RTI input into the analytic frameworks for assessing achievements against evaluation questions 1 and 2
  - Identification of data sources required to address the questions (including identifying how existing information can be utilized in addressing the evaluation questions)
4. Develop an evaluation plan and data collection instruments.

## **Phase 2: Data collection**

The evaluation team will lead the collection of evaluation data with the support and facilitation of the project team. During this phase the evaluation team will:

1. Compile all existing data related to the evaluation questions. Relevant existing information includes:
  - Annual implementation plans and project reports (2016, 2017, 2018, 2019 and 2020)
  - Mid-term evaluation report (this evaluation provides insights related to the project design, achievements tested against the results framework, and policy influence and relevance with key national stakeholders)
  - Influence logs from country teams
  - Outcome stories and stories of change
  - Citation, download and social media monitoring data
  - Event and engagement data
2. Collect additional information from key informants at the sub-national, national and international scales to address the evaluation questions. This will involve:

- Participation in national stakeholder workshops and events scheduled in the fourth quarter of 2020
- Remote consultations with key stakeholders in the eight priority countries
- Remote consultations with key actors in the UNFCCC and UNFCCC Standing Committee on Finance, the Green Climate Fund, FCPF/FIP and CCBA

### **Phase 3: Analysis and sensemaking**

The evaluation team will lead the analysis of the collected evaluation data and be prepared to present a summary of findings in reference to supporting evidence. During this phase the evaluation team will:

1. Undertake data analysis in line with agreed plans and frameworks
2. Design and facilitate a remote sensemaking process to engage project managers, module leaders, country project staff and the RTI team

### **Phase 4: Reporting**

The evaluation team will lead the writing of the report in consultation with the project manager and the RTI team. The evaluator will produce:

1. A 5-page standalone executive summary
2. A full report with annexes

### **Requirements**

The assignment will be conducted by an evaluation company with the following expertise and capacities:

- Technical experts in forests and climate change research with a minimum 5 years' experience in evaluating such initiatives
- Available networks of local experts in the eight priority countries for data collection purposes
- Proven experience conducting theory-based evaluations, i.e. outcome assessments and impact evaluations
- Technical experts with excellent communication, facilitation and interpersonal skills
- Extensive experience producing written products (in English) for a variety of audiences, including bilateral and multilateral partners, and governments
- Technical experts with a strong knowledge of issues related to forests and climate change, REDD+ policies and policy impact evaluation are preferred.

### **Terms and conditions**

- This is an assignment for Project Evaluation.

- Duration of the assignment is 6 months.
- Work location: Home-based with necessary contacts in project priority countries (Peru, Brazil, Guyana, DRC, Ethiopia, Myanmar, Vietnam, Indonesia)

### **Application process**

- The application deadline is **21 September 2020**.
- Please submit a technical and financial proposal, and company profile with CV of the evaluation team, including contact information to [CIFOR-PMC@cgiar.org](mailto:CIFOR-PMC@cgiar.org).
- We will acknowledge all applications, but will only contact short-listed applicants.

To apply, please visit our career site at:

<https://www.cifor.org/careers/>

To learn more about CIFOR, please visit our website at: <https://www.cifor.org>

**CIFOR is an equal opportunity employer. Staff diversity contributes to excellence.**

## Annex 2: Survey

### Introduction

Efeca is currently undertaking a final evaluation review of this phase of CIFOR's Global Comparative Study (GCS) on REDD+ (2016-2020). This is an opportunity for you to express your opinions, and we look forward to hearing your views.

Although we are asking you to provide personal information to allow us to better analyse the data, your responses will be treated anonymously.

If you are happy to potentially be quoted in the review, please answer the following question.

1. Are you happy to potentially be quoted in the review?

☐ Yes ☐ No

2. Please enter your information:

Full Name

Position

Organisation

Country

3. What type of organisation do you work for? (select all that apply)

- |   |   |
|---|---|
| <input type="checkbox"/> Environmental NGO (non-profit)     | <input type="checkbox"/> Research / Academia                        |
| <input type="checkbox"/> Community Based Organisation (CBO) | <input type="checkbox"/> Regional / Local Government                |
| <input type="checkbox"/> Cooperative / Producer Association | <input type="checkbox"/> Central Government                         |
| <input type="checkbox"/> Small Scale Business / Industry    | <input type="checkbox"/> Development Agency (donors, UN structures) |
| <input type="checkbox"/> Large Scale Business / Industry    |   |
| <input type="checkbox"/> Other (please specify)             |   |

4. Which Countries are you working in? (select all that apply)

- |   |                                    |  |
|---|------------------------------------|--|
| <input type="checkbox"/> Brazil                             | <input type="checkbox"/> Guyana    | <input type="checkbox"/> Peru            |
| <input type="checkbox"/> Democratic Republic of Congo (DRC) | <input type="checkbox"/> Indonesia | <input type="checkbox"/> Vietnam         |
| <input type="checkbox"/> Ethiopia                           | <input type="checkbox"/> Myanmar   | <input type="checkbox"/> Internationally |

5. At what level is your work focused? *(select all that apply)*

☐ Local / Sub-national

☐ National

☐ International

6. What kind of project partner are you? *(select one)*

☐ Technical Implementation (e.g. REDD+)

☐ Civil Society / Support Partner

☐ Political Implementation (e.g. Government)

☐ Funding Partner

☐ Law Enforcement / Governance

☐ Academic / Research

☐ Other (please specify)

### CIFOR GCS REDD+ project outcomes

7. To the best of your knowledge and in the arena in which you work, do you think that the CIFOR GCS REDD+ project has contributed to the following expected results? *(respond only to those areas that you are working on and leave blank any that you don't know about)*

	Definitely not	Not really	Somewhat	Definitely
Decision makers at all levels are guided by information and analysis to define REDD+ policy objectives and to understand the synergies and trade-offs between different policies and measures	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Decision makers take up new knowledge on the political economy of deforestation, change their views on the value of standing forest, and engage in new powerful coalitions that lead policy away from business-as-usual approaches	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Civil society organisations can more effectively monitor, through new tools and information, the commitments of governments and the private sector to avoid deforestation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Evidence from impact evaluation of sub-national REDD+ initiatives informs policy and practice	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Information, analysis and tools inform the design and implementation of jurisdictional REDD+ approaches that include public and private sector actors	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Countries accommodate multiple drivers of deforestation and forest degradation into MRV system and FREL development	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Stakeholders have better data and assessments on mitigation policy options and the role of forests in setting Country targets and planning mitigation activities in the broader land use sector	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
International actors and networks that support cross-sectoral landscape management are informed by evidence from multisectoral and multilevel governance analysis	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Decision makers in sub-national jurisdictions have information and tools to manage land use trade-offs and multi-stakeholder processes in the context of their Country's NDCs	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Partners are aware of and use project knowledge in their decision-making	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Can you provide any practical examples related to any of the above?



8. Are you aware of any unexpected outcomes related to the CIFOR GCS REDD+ project? If so, how many (0 to 4)? And were they positive or negative?

	0	1	2	3	4 or more
Positive	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Negative	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Can you provide any examples?

9. Did the project's knowledge processes and products influence decision makers?

Decisions made contrary to the research (0%)

No influence at all (50%)

Decisions completely guided by the research (100%)

10. Were your activities influenced by the project's knowledge processes and outcomes?

Activities contrary to the research (0%)

No influence at all (50%)

Activities completely guided by the research (100%)

11. Do you think that the project activities have influenced (or not) the sector(s) that you engage with, and at what level (locally / sub-nationally, nationally or internationally)?

	Not applicable / Don't know	Not influenced at all	Locally / Sub-nationally	Nationally	Internationally
Environmental NGO (non-profit)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Community Based Organisation (CBO)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Cooperative / Producer Association	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Small Scale Business / Industry	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Large Scale Business / Industry	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Regional / Local Government	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Central Government	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Development Agency (donors, UN structures)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Research / Academia	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

12. Were the project activities well targeted to engage with decision makers in the Country/Countries you are currently working in?

- ☐ Definitely not   ☐ Not really   ☐ Somewhat   ☐ Definitely

Can you provide an example?

13. Overall, were targeted decision makers well informed and positively influenced by the project's knowledge processes and products?

- ☐ Mostly Yes   ☐ Mostly No

14. If yes, what was the main success factor?

15. If no, what was the main barrier (or challenge)?

16. Did the project activities foster a high level of engagement, lesson sharing and learning between different national/sub-national initiatives/platforms?

- ☐ Definitely not   ☐ Not really   ☐ Somewhat   ☐ Definitely

17. Did the project activities foster an improvement in gender and/or power imbalances (e.g. better women inclusion, closer engagement with indigenous communities, etc.)?

- ☐ Definitely not   ☐ Not really   ☐ Somewhat   ☐ Definitely

Can you provide an example?

### Value, relevance and effectiveness of the research

18. Did the research carried out by the CIFOR GCS REDD+ project have a high impact on REDD+ processes?

	Definitely not	Not really	Somewhat	Definitely
Locally / Sub-nationally	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Nationally	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Internationally	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Can you provide any examples?

19. If you think the research was effective, was this achieved mainly by chance or by design (e.g. through engagement with local policymakers to identify and address Country priorities)?

Totally by chance (0%)
 Half and half (50%)
 Totally by design (100%)

☐

☐

20. Was the research timely, targeted and relevant in the Country/Countries you are working in?

	Definitely not	Not really	Somewhat	Definitely
Timely	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Targeted	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Relevant	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Easy to access for everyone	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

### Moving forward - 2021 and beyond - Potential next phase

21. Where do you think CIFOR added value in the current phase of GCS REDD+?

22. Has COVID-19 had any specific impacts on the project?

☐ Yes ☐ No

If yes, then please suggest the key limitations caused by COVID-19 in 2020 as well as actions that could be taken in possible future work in 2021 to address those limitations.

23. Are there any technical factors and/or political risks that could influence the long-term sustainability of the project?

24. What do you think a possible next phase should focus on?

25. What should CIFOR improve in a possible next phase of the project compared to previous phases?

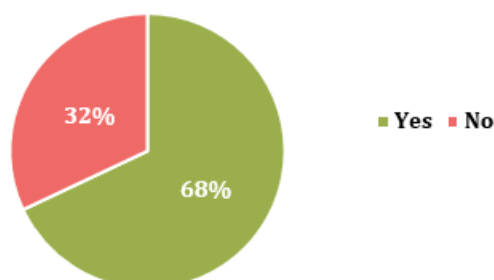
26. Thank you for completing this survey. Please add any additional comments you would like to make for this project evaluation below.

## Annex 3: Survey Analysis Overview for Quantitative Questions

### Q1. Are you happy to potentially be quoted in the review?

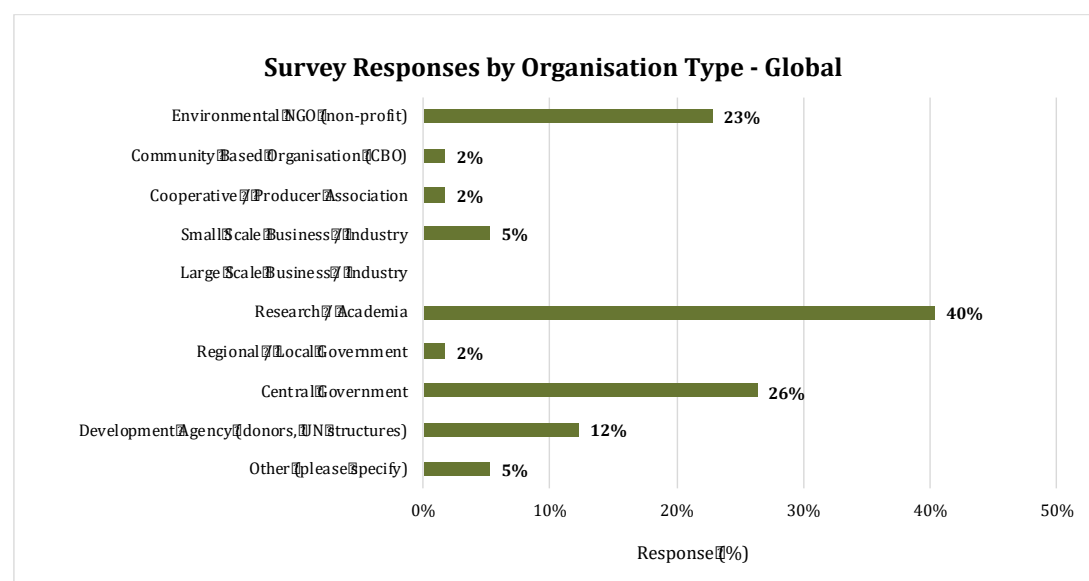
Of a total 57 respondents, 39 (68%) were happy to be quoted, whilst 18 (32%) opted to not have direct quotations included in the report.

Willingness to be Quoted - Global



### Q3. What type of organization do you work for? (select all that apply)

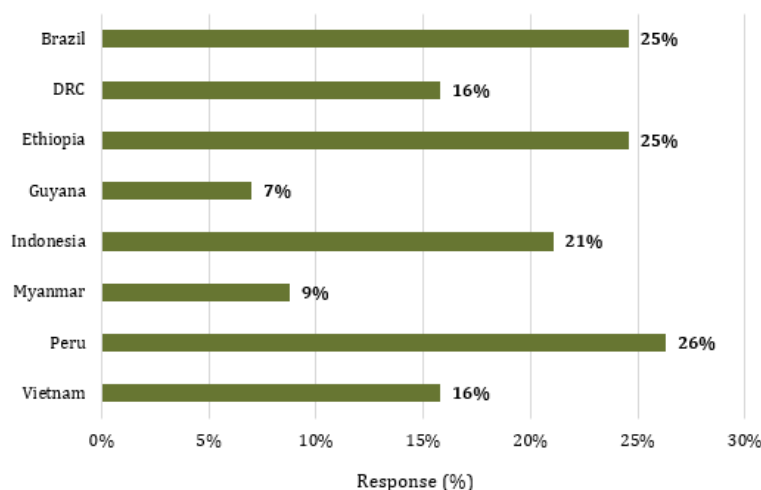
23 respondents (40%) worked in 'Academia and Research' organizations; 13 respondents (23%) worked for 'Environmental NGO's. 'Central Government', 15 respondents (26%), was better represented than 'Regional/Local Government' with only 1 respondent (2%). 7 respondents (12%) stated that they worked for a 'Development Agency'. Whilst 3 participants (5%) worked in 'Small Scale Business/ Industry', there were no respondents in 'Large Scale Business/Industry'. 'Community Based Organizations' and 'Cooperative Producer Associations' were both represented by 1 respondent (2%) respectively, and 3 respondents (5%) selected 'Other'.



#### Q4. Which Countries are you working in? (select all that apply)

With 15 responses (26%), Peru was the most frequent country of work, closely followed by Brazil and Ethiopia, each with 14 responses (25%). With 4 and 5 responses respectively, Guyana (7%) and Myanmar (9%) were the least frequent countries of work.

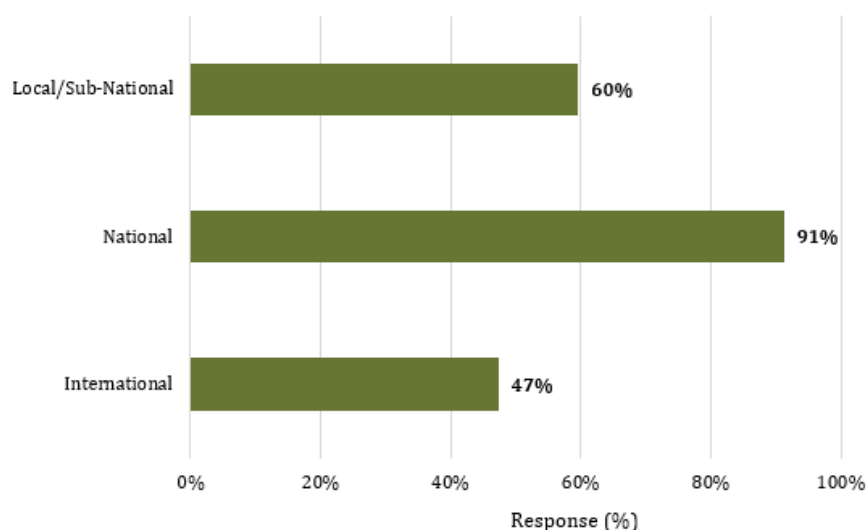
**Survey Responses by Country of Work - Global**



#### Q5. At what level is your work focused? (select all that apply)

Of the 57 participants, 56 (91%) worked at the 'National' level. 34 participants worked at the 'Local/Sub-national' level (60%) whilst 27 worked at the 'International' level (47%).

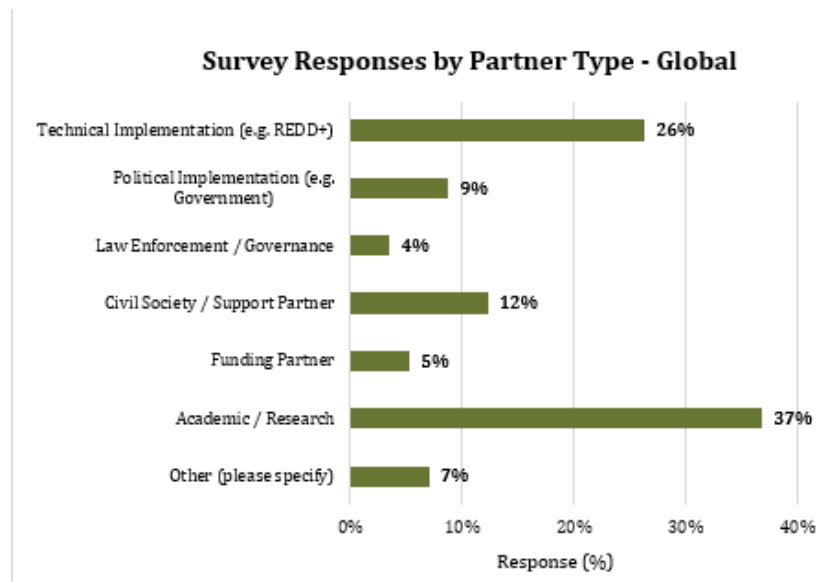
**Survey Responses by Level of Work - Global**





## Q6. What kind of project partner are you? (select one)

21 respondents (37%) were involved in 'Academia and Research', followed by 'Technical Implementation' with 15 respondents (26%). Other partner types were less well represented, with 7 respondents (12%) being involved in 'Civil Society/Support', 5 (9%) in 'Political Implementation', 3 (5%) as 'Funding Partners', and 2 (4%) in 'Law Enforcement / Governance'. 4 respondents (7%) declared their project partner type as 'Other'.

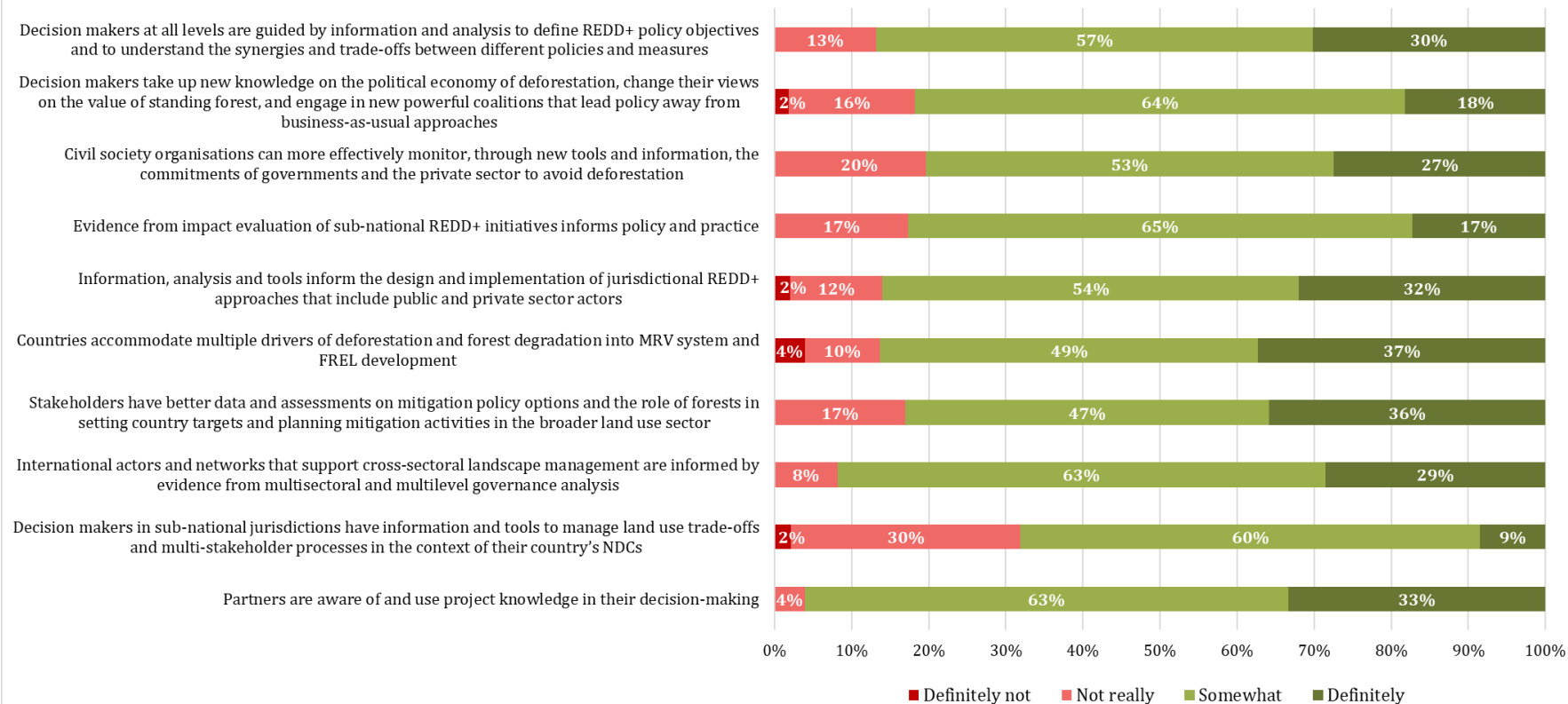


## Q7. To the best of your knowledge and in the arena in which you work, do you think that the CIFOR GCS REDD+ project has contributed to the following expected results?

### 1. Global Analysis

- 1.1. **Highest Performer:** 'Partners are aware of and use project knowledge in their decision-making'. 96% of respondents responded positively to this statement, with 33% agreeing that the project 'Definitely' met this expected outcome. 37% of respondents 'Definitely' agreed with 'Countries accommodate multiple drivers of deforestation and forest degradation into MRV system and FREL development', the highest of any statement.
- 1.2. **Lowest Performer:** 'Decision makers in sub-national jurisdictions have information and tools to manage land use trade-offs and multi-stakeholder processes in the context of their Country's NDCs'. 32% of respondents responded negatively to this question, whilst only 9% of respondents stated that the project 'Definitely' met the expected outcome, the lowest of any statement.
- 1.3. **Overall Distribution:** Overall, the distribution of positive responses was similar, with between 49% and 65% of respondents responding that the project 'Somewhat' met the expected outcomes, and between 9% and 36% responding that the project 'Definitely' met the expected outcomes. Extreme negative responses, of 'Definitely Not', were only present in four of ten statements, and never greater than 4% of responses.

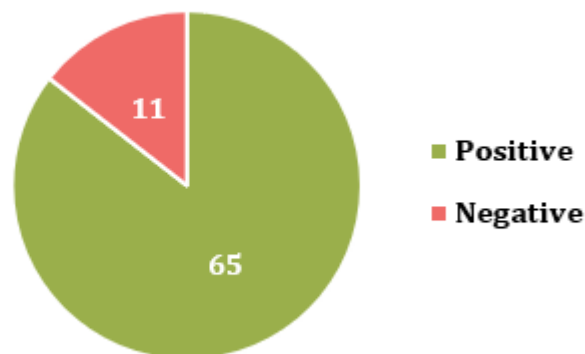
### CIFOR GCS REDD+ Impact Evaluation - Global Performance of project in relation to expected outcomes \*



**Q8. Are you aware of any unexpected outcomes related to the CIFOR GCS REDD+ project? If so, how many (0 to 4)? And were they positive or negative?**

Of a total 76 unexpected outcomes reported by respondents, 65 (86%) were positive, whilst 11 (14%) were negative.

**CIFOR GCS REDD+ Impact Evaluation - Global  
Number of Unexpected Outcomes**



**Q10. Were your activities influenced by the project's knowledge processes and outcomes?**

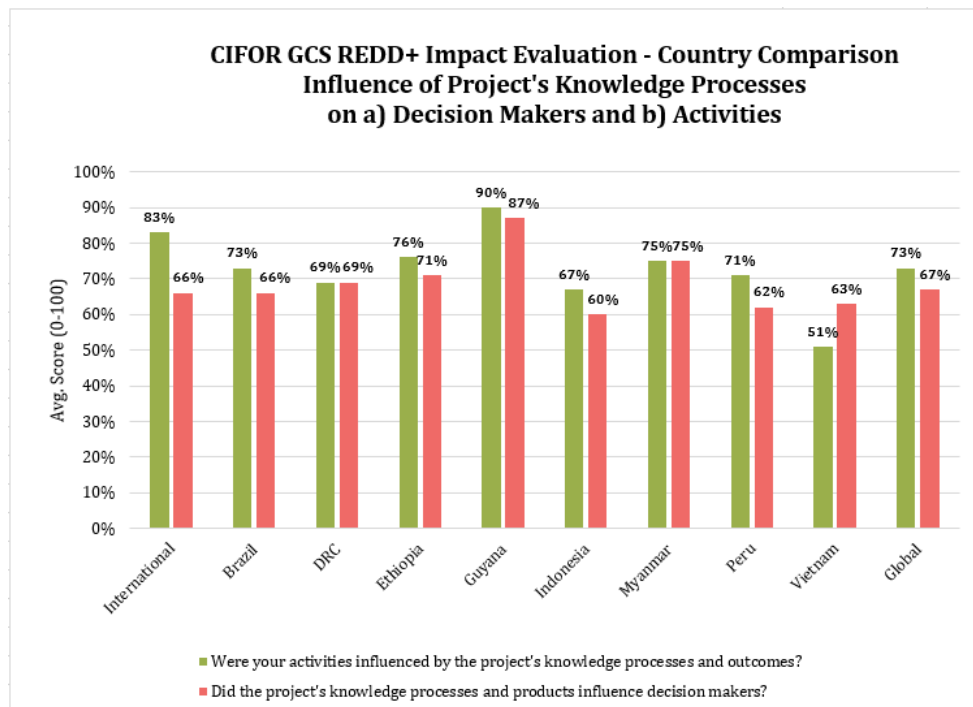
**1. Country Comparison**

Ranked on a scale of 0-100, REDD+ knowledge processes and outcomes had a greater influence on respondents' activities (Q10, average score of 73) than on decision makers (Q9, average score of 67). The range of by-Country averages was 11 for Q9, and for 25 for Q10.

- 1.1. Highest Influence:** Ethiopia had the highest score for both questions, at 71 for Q9 and 76 for Q10.
- 1.2. Lowest Influence:** Vietnam had a score of 63 for Q9 and 51 for Q10. The latter score was 16 points lower than in any other country. It was the only country in which REDD+ was deemed to have more influence on Q9 decision makers than on Q10 respondents' activities.

**2. Regional Comparison**

- 2.1. Highest Influence:** Africa responses saw the highest influence on Q9 decision makers and Q10 activities at 70 and 74 respectively.
- 2.2. Lowest Influence:** SE Asia responses saw the lowest influence on Q9 decision makers and Q10 activities at 63 and 60 respectively.

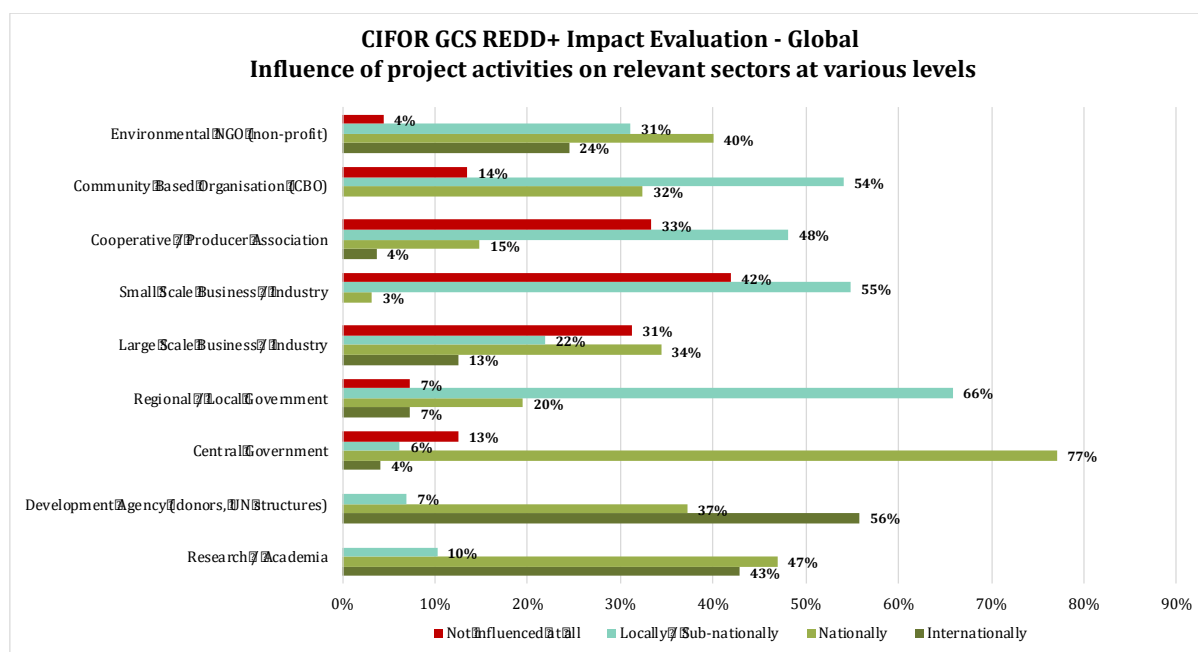


**Q11. Do you think that the project activities have influenced (or not) the sector(s) that you engage with, and at what level (locally / sub-nationally, nationally or internationally)?**

## 1. Global Analysis

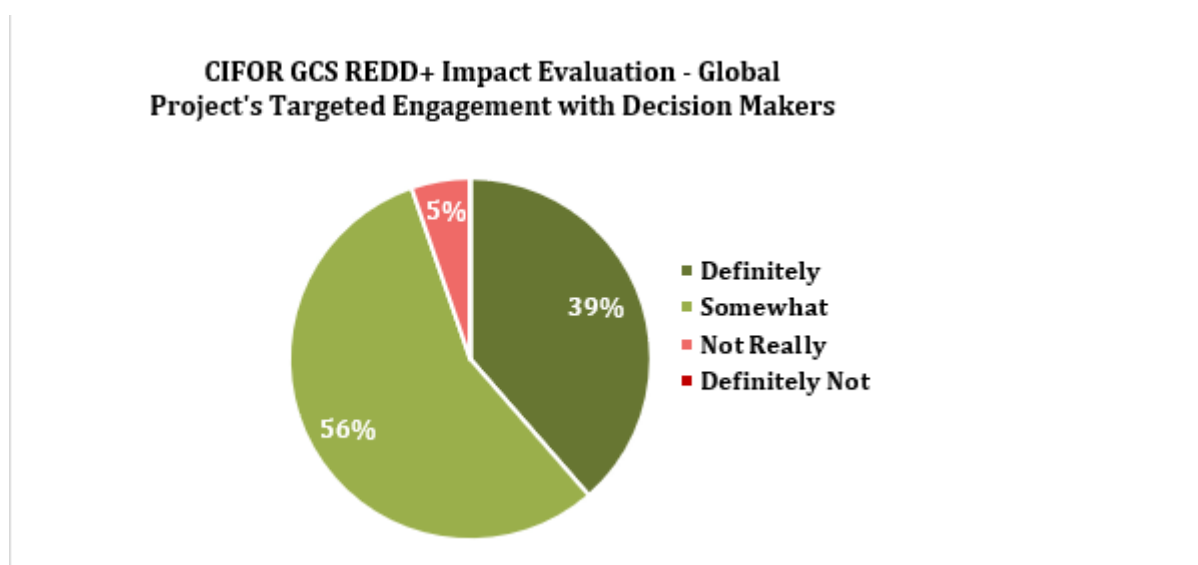
**1.1. Highest Influence:** Respondents reported that the project had some level of influence on Research and Academia on all occasions, including 47% responding at a 'National' level and 43% at an 'International' level. Responses for 'Development Agency' reported a similar trend, with 7% at 'Local', 37% at 'National' level and 56% at 'International'. The most dominant level of influence at any scale was at 'Central Government', where 77% reported that the project had an influence at the 'National' level. The project had a 'Local' influence on 'Local Government' on 66% of occasions, 20% at 'National', and 7% 'International' scales.

**1.2. Lowest Influence:** Business and Producer association category reported far lower project influence. 42% of 'Small Scale Business' responses reported No influence at All, with 31% of 'Large Scale Business' responses reporting the same thing. Meanwhile, 'No Influence at all' was reported for 33% of 'Cooperative / Producer Association' responses.



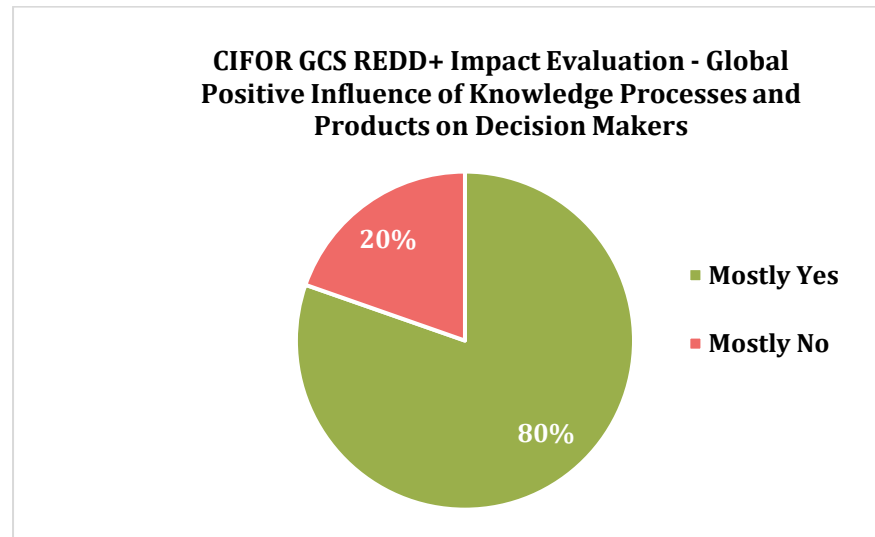
**Q12. Were the project activities well targeted to engage with decision makers in the Country/Countries you are currently working in?**

39% of respondents believed that the project activities were 'Definitely' well targeted to engage with decision makers, and 56% believed that they were 'Somewhat' well targeted. Only 5% of respondents responded negatively to the question, believing that the project was 'Not really' well targeted.



**Q13. Overall, were targeted decision makers well informed and positively influenced by the project's knowledge processes and products?**

Of all participants, 45 (80%) responded positively, with 'Mostly Yes', whilst 20% responded Negatively, with 'Mostly No'.



**Q16. Did the project activities foster a high level of engagement, lesson sharing and learning between different national/sub-national initiatives/platforms?**

**1. Global Analysis**

30% of participants claimed that the activities 'Definitely' fostered learning and engagement, 60% 'Somewhat' and 9% 'Not really'.

**2. Country Comparison**

**2.1. Highest Impact:** In Indonesia, 40% of respondents suggested that the project 'Somewhat' fostered engagement and learning and 60% 'Definitely'. In Ethiopia, 56% of participants responded 'Somewhat' and '33% Definitely'.

**2.2. Lowest Impact:** No participants responded 'Definitely Not'. Peru and Vietnam had the highest share of negative responses, with 17% 'Not Really' responses in both. In Brazil, only 13% of participants responded 'Definitely', with 75% responding 'Somewhat' and 13% 'Definitely Not'.

**3. Regional Comparison**

**3.1. Highest Impact:** 50% of responses in SE Asia were for 'Definitely', much higher than Africa (31%) and LAC (25%). Only 8% in SE Asia were negative, the lowest of any region.

**3.2. Lowest Impact:** Results for LAC and Africa were very similar. In both regions 13% of responses were for 'Not Really', whilst Africa responses were slightly more positively skewed than LAC (31% 'Definitely' to 25% 'Definitely').



## Q17. Did the project activities foster an improvement in gender and/or power imbalances?

### 1. Global Analysis

72% of responses were positive, 48% 'Somewhat' and 24% 'Definitely'. 4% of participants responded 'Definitely Not' and 24% 'Not really'.

### 2. Country Comparison

**2.1. Highest Impact:** Peru had the lowest share of negative responses (17%) and the highest share of 'Definitely' responses (50%). DRC had the second highest share of 'Definitely' responses, at 33%.

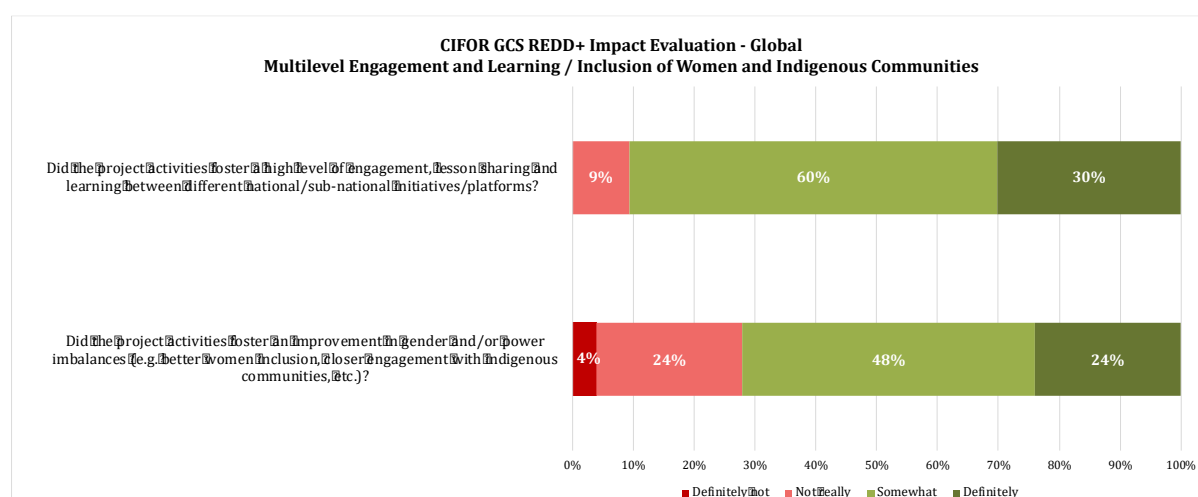
**2.2. Lowest Impact:** Peru also had the highest share of extremely negative responses, with 17% responding 'Definitely Not'. Indonesia had the highest share of negative responses, with 50% responding 'Not really'. Ethiopia also had a high share of negative responses, with 13% responding 'Definitely not' and 25% responding 'Not really'.

### 3. Regional Comparison

**3.1. SE Asia:** had the joint highest share of negative responses (36%), but was the only region with no 'Definitely Not' responses. There was also the lowest share of extreme positive 'Definitely' responses (9%).

**3.2. LAC:** had the highest share of positive responses (76%), with 38% responding 'Definitely', the highest of any region.

**3.3. Africa** had the most extreme negative responses, with 7% 'Definitely not'. 29% responded 'Not really'. The share of extreme positive 'Definitely' responses was high, at 29%.



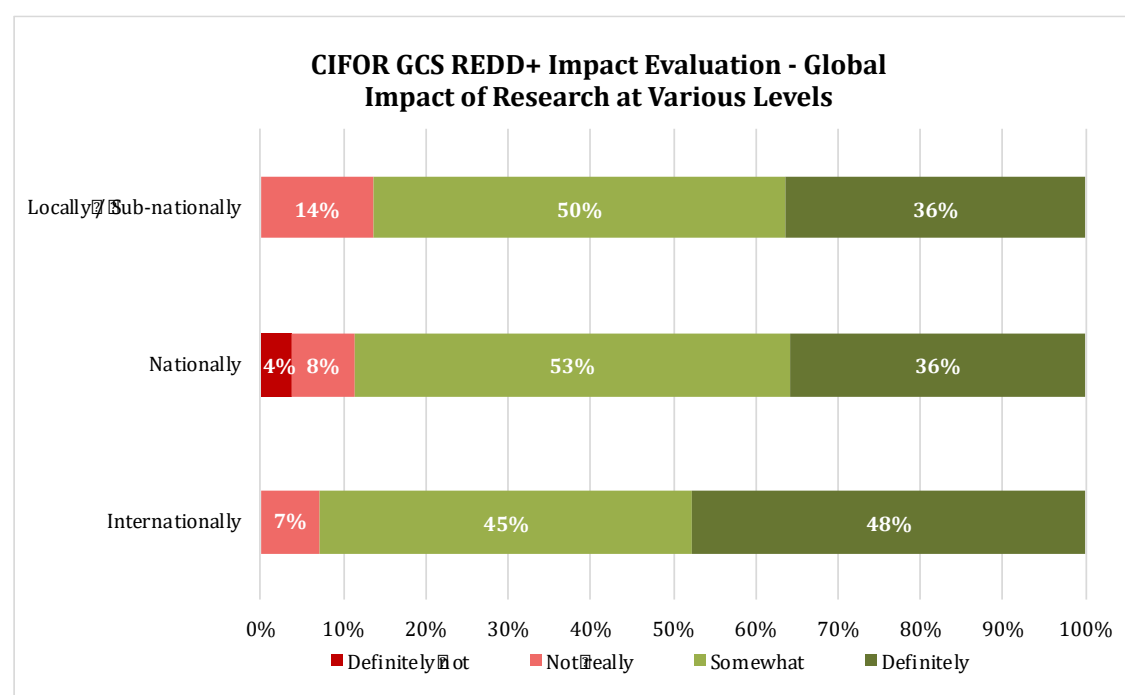
## Q18. Did the research carried out by the CIFOR GCS REDD+ project have a high impact on REDD+ processes?

### 1. Global Analysis

Overall, research had a highest impact 'Internationally' (93%), including 48% responses for 'Definitely'. 89% of participants cited impact 'Nationally' and 86% 'Locally/Sub-nationally'. Research was found to 'Definitely Not' have an impact only at the 'National' scale, at 4%.

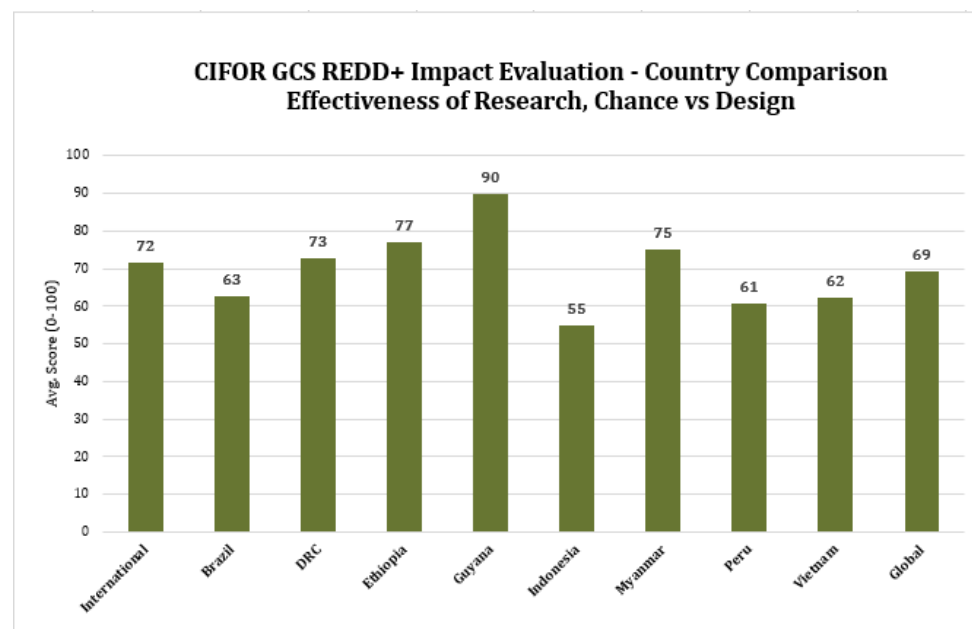
### 2. Regional Comparison

- 2.1. **'Internationally':** Impact was evenly distributed by region. 100% of respondents in LAC claimed that research had an impact 'Internationally'. No respondents answered 'Definitely not'. In Africa, 89% of responses were positive and in SE Asia 10%.
- 2.2. **'Nationally':** All respondents in SE Asia and Africa claimed that research had an impact 'Nationally'. Conversely 32% of LAC respondents claimed that it did not (including 13% 'Definitely not'), the highest negative share of responses for any level of impact.
- 2.3. **'Local/Sub-nationally':** This level of impact had the highest share of negative responses, including 30% in SE Asia and 7% of respondents in LAC. Only 10% of respondents in SE Asia claimed that it 'Definitely' had an impact, the lowest extreme-positive response at any level. Conversely, in Africa, 50% of respondents claimed that research 'Definitely' had an impact 'Locally/Sub-nationally', the joint highest share of 'Definitely' responses at any level.



**Q19. If you think the research was effective, was this achieved mainly by chance or by design (e.g. through engagement with local policymakers to identify and address Country priorities)? (0-100)**

Respondents from Guyana gave the highest score (90/100), whilst Indonesia had the lowest score (55/100). The Global average of all 57 respondents was 69/100.



**Q20. Was the research timely, targeted and relevant in the Country/Countries you are working in?**

### 1. Global Analysis

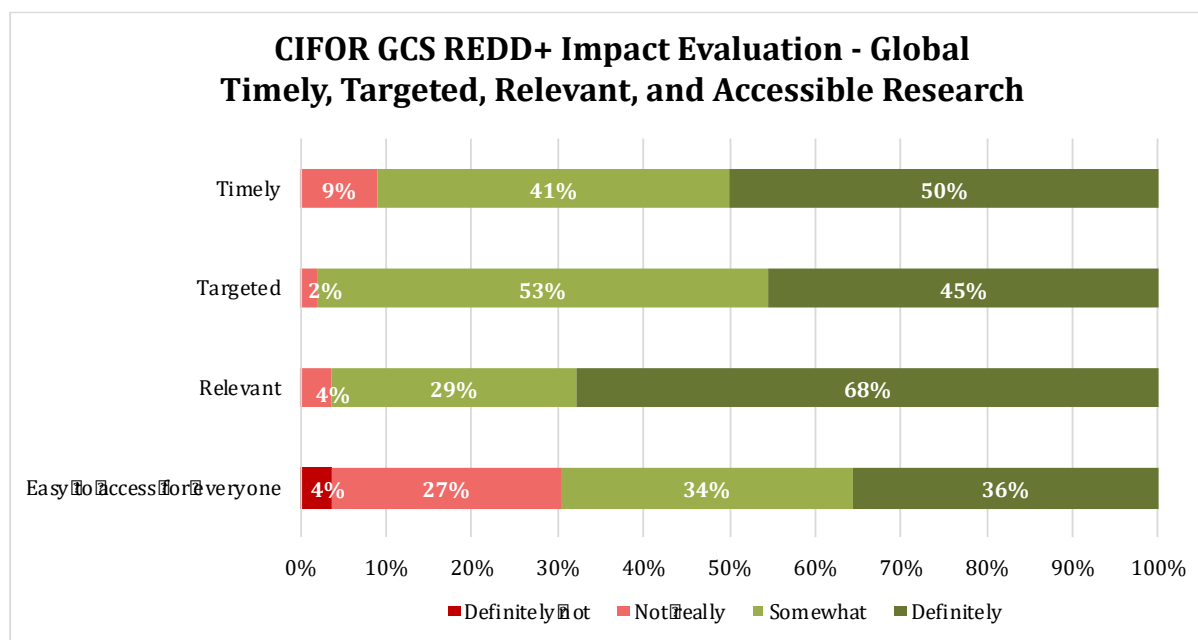
The category with most positive responses was 'Targeted', with only 2% responding negatively. 'Relevant' had the highest share of 'Definitely' responses at 68%. 'Easy to Access' was the worst performing. 31% respondent negatively including 4% 'Definitely Not', whilst 36% responded 'Definitely', the lowest of any category.

### 2. Regional Comparison

- 2.1. **'Timely':** Responses were evenly distributed between regions, although LAC (19%) had over double the share of 'Not really' responses of SE Asia (9%) and Africa (6%). Although Africa had the overall most 'Timely' research, with 94% 'Not really' or 'Definitely', LAC had the most extreme-positive 'Definitely' responses, at 56%.
- 2.2. **'Targeted':** 100% of participants responded positively in LAC and SE Asia, with only 6% of Africa respondents answering, 'Not really'. There were no 'Definitely Not' responses in any region.
- 2.3. **'Relevant':** 100% of participants in LAC responded positively, including 75% for 'Definitely'. 71% of Africa respondents also chose 'Definitely'. SE Asia had the

highest share of negative responses (9%), but there were no 'Definitely Not' responses in any region.

- 2.4. **'Easy to Access':** 44% of responses in LAC were negative, including 6% 'Definitely not'. In SE Asia, 17% answered 'Not really', and 8% 'Definitely not'. Africa had the most extreme-positive 'Definitely' responses (44%), whilst LAC only had 13%, the lowest for any category in this question.



## Annex 4: Program modules and outcomes

The tables below are taken from the MELIA Review (Thuerer & Rouge, 2020).

<b>Outcome 1.1</b>	REDD+ design: decision makers at all levels are guided by information and analysis to define REDD+ policy objectives and to understand the synergies and trade-offs between different policies and measures to incentivize 3E REDD+ (all levels).
Target groups/entities	International and national decision-makers, including State and civil society actors, international and domestic business actors
Change to be achieved	Decision makers use new evidence so that policy formulation and implementation provide incentives that lead away from business-as-usual policy approaches directly or indirectly promoting deforestation and forest degradation to enable effective, efficient and equitable emissions reductions
Key indicator(s)	Number of international and domestic REDD+ decision makers informed through analysis of options for 3E REDD+ policy design
Sustainability	Sustainability is achieved because the analysis provided is not prescriptive but offers options for countries
<b>Outcome 1.2</b>	Transformational change: REDD+ countries are informed by evidence on the importance of new incentives, discourses, agents and coalitions of change when developing strategies to avoid deforestation and forest degradation (national level).
Target groups/entities	National decision-makers, including State and civil society actors, international and domestic business actors (private sector)
Change to be achieved	Decision makers take up new knowledge on the political economy of deforestation, change their perception on the value of standing forest, and engage in new powerful coalitions that lead policy away from business-as-usual approaches directly or indirectly supporting deforestation and degradation to enable effective, efficient and equitable emissions reductions
Key indicator(s)	Number of domestic REDD+ decision makers informed through analysis on political economy of deforestation and degradation, and changing perceptions and policy coalitions in national REDD+ policy arenas, building on long term study results from this research project (databases from this project 2009-2015 and 2016-2020)
Sustainability	Sustainability is achieved because evidence is available that indicates which factors are enabling reforms that lead to changing patterns and paradigm shifts in forest use and exploitation and allow for avoided deforestation and degradation

<b>Outcome 1.3</b>	<b>Empowered CSO:</b> Civil society organizations can more effectively monitor, through new tools and information, the commitments of governments and the private sector to avoid deforestation (national/subnational level).
Target groups/entities	State actors and civil society in producer and consumer countries, international and domestic business actors
Change to be achieved	Key civil society organizations adopt tools and use information as part of their strategies and campaigns for monitoring zero-deforestation commitments and to hold business and the State accountable.
Key indicator(s)	Number of CSO informed through tools and new information on how to identify, analyze and monitor potential and actual steps of private sector actors in realizing avoided and zero-deforestation pathways
Sustainability	Sustainability is achieved because civil society have the tools at hand to monitor private sector's REDD+ related environmental and social commitments
<b>Outcome 2.1</b>	<b>Experience-based policy design:</b> Evidence from impact evaluation of subnational REDD+ initiatives informs policy and practice at all levels (all levels).
Target groups/entities	Leaders and staff of subnational REDD+ proponent organizations; national and subnational policy-makers and planners who are stakeholders in REDD+ and climate change mitigation; private sector initiatives; and donor organizations that are actively or potentially involved in forest-based climate change mitigation.
Change to be achieved	<p>Proponents have aligned their planning and activities with the new insights and best practices on how to achieve the 3E criteria, which is derived from CIFOR science on successes and failures to date of a representative sample of subnational initiatives. Proponents have become aware of the advantage of institutional learning not just on the basis of their own experience, but on the basis of the collective experience of all subnational initiatives. For this reason, they make access to recent and reliable science a prominent feature of their institutional logic.</p> <p>National and subnational policy-makers and planners have acted upon their revised understanding (in part on the basis of Module 2's research on best practices) of how policies related to transparency, due diligence, FLEGT, finances, tenure, accountable multi-scale governance, MRV, and safeguards can best accomplish the goals of REDD+ in the context of the INDCs.</p> <p>Donor organizations have fine-tuned their strategic outlook and tactical decisions on how to best commit public funds, and how to leverage public-private partnerships, in fulfilment of climate change mitigation goals. They are more reliant on evidence-based knowledge to act on the most promising</p>



	possibilities for reconciling continued economic growth, poverty alleviation, gender justice, biodiversity protection, and forest-based climate change mitigation.
Key indicator(s)	Number of policy-makers and practitioners at subnational, national and international levels informed by research on the performance of subnational REDD+ initiatives.
Sustainability	Sustainability is achieved because REDD+ stakeholders realize the high value of having their decisions based empirically and commit to maintaining access to credible and up-to-date science.
<b>Outcome 2.2</b>	<b>Private sector contribution to REDD+:</b> REDD+ subnational initiatives benefit from private sector interventions in the supply chain aimed at enhancing sustainable and inclusive production with a jurisdictional approach
Target groups/entities	Subnational REDD+ initiatives where there is active involvement of the private sector in sourcing sustainable and legal supply of major commodities (e.g. beef and oil palm).
Change to be achieved	Subnational initiatives have revised their objectives and approaches on the basis of high quality research with regards on how to build synergies between REDD+ related interventions and private sector initiatives aimed at sustainable sourcing.
Key indicator(s)	Number of proponents of subnational REDD+ initiatives and number of companies informed by research on synergies between REDD+ and sustainable supply initiatives through adoption of territorial/jurisdictional approaches
Sustainability	Sustainability is supported because subnational initiatives increasingly acknowledge the benefits and drawbacks of collaborating directly with the private sector and upstream buyers, and systematically seek reliable and up-to-date information on the best ways to initiate and enhance such collaboration.
<b>Outcome 3.1</b>	<b>MMRV:</b> countries accommodate multiple drivers of deforestation and forest degradation into MMRV, evaluation and RELs (national and international levels)
Target groups/entities	National policy-makers, technical services, civil society, research organizations

Change to be achieved	<p>Climate change focal points will have support from technical services to prepare more accurate and precise Reference Levels and GHG inventories for forests and land use change.</p> <p>National capacity for forest area change and forest related emissions enhanced against FAO FRA 2015 baseline.</p> <p>Data used actively in REL development and evaluation of change in emissions over time</p>
Key indicator(s)	<p>REls/RLs submitted to UNFCCC disaggregate by source of emission (driver)</p> <p>National REDD+ strategies and implementation address key drivers and forest sinks Technical capacity for reporting carbon stock changes has improved, integrating emissions and sinks (e.g. in FAO FRA)</p>
Sustainability	<p>Robust understanding on drivers and the role of forest sinks is fundamental for developing sound country strategies and building monitoring capacities. Long-term sustainability depends on country priorities and REDD+ resources being available. As plans for low carbon development evolve, this work will support these efforts and can be integrated into other types of land-use based initiatives.</p>
<b>Outcome 3.2</b>	<p><b>Improved AFOLU information:</b> Stakeholders have better data and assessments on mitigation policy options and the role of forests in setting country targets and planning mitigation activities in the broader land use sector (all levels)</p>
Target groups/entities	<p>National policy-makers, civil society, technical services, research organizations</p>
Change to be achieved	<p>Emission reduction activities better targeted to emission hotspots and areas with high potential for enhanced removals</p> <p>More integration and consideration of forest and agriculture sector mitigation options in countries linking REDD+ in landscape with climate smart agriculture</p>
Key indicator(s)	<p>Better national and regional scale datasets and uncertainty analysis for land use sector emissions available</p> <p>National strategies set priorities based on better emissions quantification, integrating forest and agriculture sector mitigation options, also with climate smart-agriculture</p> <p>Reports use national and regional data in place of IPCC Tier 1 values</p>

Sustainability	Progress in forest and GHG monitoring is a no regrets achievement. Improved measurement will give better information to national environmental agencies and civil society organizations that integrate environmental concerns with sustainable development in considering both the forest and agricultural sector
<b>Outcome 3.3</b>	<b>MRV capacity:</b> multiple stakeholders have increased participation in and acceptance for national forest monitoring and REDD+ performance reporting (national and subnational levels)
Target groups/entities	Civil society, national policy-makers, technical services, research organizations
Change to be achieved	<p>Different stakeholders better understand and recognize the needs and synergies for REDD+ monitoring from various actors</p> <p>Private sector and local communities REDD+ monitoring is more integrated with mandated national REDD+ MRV</p> <p>Open and free exchange of forest monitoring related data and information</p>
Key indicator(s)	<p>National capacity for reporting changes in carbon stocks increased, integrating the needs of private sector, NGO's, local communities and national research organizations Technical capacity for reporting carbon stock changes has improved, integrating emissions and sinks</p> <p>Investments in capacity development better target stakeholder needs</p> <p>Increased forest reporting capacity evident in FAO FRA 2020</p> <p>Increased forest reporting capacity evident in NDCs</p>
Sustainability	Increasing participation and synergies among multiple stakeholders in REDD+ monitoring is important for long-term sustainability of the activities. Progress in forest monitoring is a no regrets achievement and improved carbon measurement and sharing of data and information to many.
<b>Outcome 4.1</b>	<b>Multilevel governance:</b> international actors and networks that support cross-sectoral landscape management are informed by evidence from multisectoral and multilevel governance analysis (all levels)
Target groups/entities	<p>International actors and networks that support cross-sectoral landscape management</p> <p>(such as the GCF Task Force, donors, NGOs and scientists), e.g. through REDD+ and INDCs</p>

Change to be achieved	International actors and networks that support cross-sectoral approaches to low emissions development (e.g., the GCF Task Force) are informed on best practices by rigorous research
Key indicator(s)	Number of policy makers and other key stakeholders informed by multisectoral and multilevel governance analysis
Sustainability	Sustainability is achieved because international actors and donors are in a position to change how business is done on the ground over time. Better information will inform the way that global stakeholders including donors promote low-emissions development, to encourage long term engagement among actors from across levels and sectors. One of the greatest threats to sustainability with respect to this outcome is failure for funding to materialize to support key actors and networks. We aim to influence donors themselves so that long-term support for low-emissions development and INDC implementation can be well targeted, and we will also provide evidence about options for low-emissions development that depend less on outside funding. By diversifying the networks of actors that we reach, including global donors, sub-national networks like the GCF Task Force, and sub-national governments themselves, multiple actors committed to low-emissions development can benefit under various future funding scenarios.
<b>Outcome 4.2</b>	<b>Informed landscape management:</b> decision makers in subnational jurisdictions have information and tools to manage land use tradeoffs and multistakeholder processes in the context of their country's NDCs (subnational level).
Target groups/entities	Decision makers and multi-stakeholder platforms in subnational jurisdictions
Change to be achieved	Decision makers in subnational jurisdictions have shifted to policies supporting INDC goals and implementation that are driven by data and informed by the application of understanding of and tools assessing tradeoffs in landscapes. Sub-national multistakeholder platforms have responded to new research by organizing according to data driven principles, supporting cross-sectoral low-emissions development with inclusive, transparent, and accountable practices.
Key indicator(s)	<p>Number of decision-makers informed by subnational research and tools</p> <p>Number of multistakeholder platforms informed by subnational research and tools</p> <p>Number of subnational policies reflecting REDD goals informed by CIFOR research</p>

	Number of multistakeholder platforms informed by subnational research and tools
Sustainability	<p>Our work will increase the likelihood of outcomes being sustainable by building on existing sub-national partnerships in key jurisdictions and continuing to engage over time. Workshops for capacity building and training will leverage existing relationships. Threats to sustainability include electoral volatility in sub-national jurisdictions. Our work in multi-stakeholder platforms hedges against this.</p> <p>Our findings on multi-stakeholder platforms will have broad applicability to emerging platforms and spaces. Because these spaces provide continuity at the sub-national level even when elections cause government staff to turn over, this research provides an important opportunity for research to have a long lasting impact. If multi-stakeholder platforms adopt procedures that are informed by research, they will be more likely to represent all relevant actors legitimately and support low-emissions development effectively.</p>
<b>Outcome 4.3</b>	<b>Synergized supply chain and landscape-based interventions:</b> Private sector actors informed on approaches to support REDD+ through complementing public regulations and private standard systems and self-regulatory commitments
Target groups/entities	Key state agencies and private sector actors involved in shaping key sustainability processes in beef and oil palm at national and sub-national levels.
Change to be achieved	Decision makers and private sector actors agreed on approaches that complement sustainably supply and landscape-based interventions through adopting a territorial/jurisdictional approach at the subnational level, linked to specific multistakeholder forums and processes at the national/global level
Key indicator(s)	Number of state agencies agreements with private sector to achieve REDD+ outcomes, number of private sector commitments to privileged sourcing
Sustainability	Sustainability of these efforts is strongly related to broader private sector commitments formalized in companies' corporate sustainability strategies as well as in policy frameworks adopted by sub-national jurisdictions that support zero deforestation goals, in the context of broader land use planning.
<b>Outcome 5.1</b>	<b>Partner ownership of knowledge:</b> Partners are aware of and use (own) project knowledge (all levels).
Target groups/entities	REDD+ policy-makers, practitioners and donors at all levels

Change to be achieved	Increased knowledge and awareness of research findings and policy recommendations stemming from Modules 1-4
Key indicator(s)	Dissemination data of research outputs and policy options. Indicators include PDF download data, readership of blogs, media citations, participation at conferences and workshops, event participant surveys, anecdotal feedback
Sustainability	Sustainability is achieved because the research outputs will be produced and packaged in ways that motivate partners to disseminate the data and engage with policy-makers and practitioners.



## Annex 5: Analysis of publications of particular importance

From the list of 47 important publications provided by CIFOR, 16 publications were selected for closer analysis. This shortlist of publications represented a sample of the most downloaded / cited literature published since 2016, selected to be diverse in year of publication, relevant module, and research foci.

### Module 1 Publication Analysis

**Women's participation in REDD+ national decision-making in Vietnam.** (Pham, et al., 2016)

**Table 1** Publication Impact (Pham, et al., 2016)

Citations (Google Scholar)	Citations (Dimension)	Downloads (from CIFOR)	Downloads (from Journal Publisher)
12	5	870	N/A

#### Overview

This study uses Vietnam as a case study to analyze factors that influence women's participation in national level REDD+ decision-making processes. Research was carried out through a review of legal and policy frameworks, and semi-structured interviews with representatives or leaders of 52 organizations involved in Vietnam's national REDD+ policy domain. The research assessed the factors that influence participation in REDD+ decision-making processes from women in government agencies, business sector companies, tourism companies, national NGOs, international NGOs and donors, and the media, and considered the effect of this representation on gender mainstreaming.

#### Key findings

- Legal frameworks that incorporate gender issues in REDD+, the significant number of female participants at REDD+ political events, and a decrease in discriminatory cultural and social norms affecting women at the national level, all enhance the bargaining power of women in the decision-making process.
- In Vietnam, the forestry sector and REDD+ policy process are dominated by men.
- Few consultations have been held with gender focal groups; women rarely participate in REDD+ working groups.
- Recruitment procedures and career opportunities favour men, and women are rarely appointed to leadership positions.
- National organizations working on REDD+ in Vietnam lack the capacity and concern to adequately address gender issues.
- Collaboration between gender bodies, REDD+ agencies and other forestry organizations could promote the meaningful participation of women, and promote gender mainstreaming in Vietnam.

## Social Forestry - why and for whom? A comparison of policies in Vietnam and Indonesia. (Moeliono, et al., 2017)

**Table 2** Publication Impact (Moeliono, et al., 2017)

Citations (Google Scholar)	Citations (Dimension)	Downloads (from CIFOR)	Downloads (from Journal Publisher)
40	17	1121	2171

### Overview

Defined as “any situation which intimately involves local people in a forestry activity”, Social Forestry (SF) has emerged as a new mode of forest management. Identifying a regional push towards SF in Southeast Asia, the authors compare national Social Forestry policies in Vietnam and Indonesia, discussing differences in the interpretation and implementation of SF. Data was collected through informal interviews during field visits to Son La and Nghe An provinces in Vietnam and West Kalimantan province in Indonesia. Posing the question ‘Whose interests do SF policies serve?’, the authors conclude that despite being adopted to serve the interest of local people, Social Forestry in practice has not fulfilled its promise.

### Key findings

- SF was adopted by the governments of Vietnam and Indonesia with the aims of improving livelihoods, empowering communities and improving forest governance.
- Government regulation of SF has had at times contradictory effects to their stated objectives.
- Community reception of SF schemes was mixed, with some communities rejecting formal SF schemes. This may be caused by a lack of trust in government, or general unwillingness to manage forests on these terms.
- Conflicts over resources, incomplete allocation of rights, and misalignment between formal SF rules, local governance systems, and actors involved, have rendered SF ineffective in general.
- Empowerment needs more than SF. Respect for local people is required, as is structural reform to provide clear rights and responsibilities allowing local people autonomy to exercise power.

## Transforming REDD+: Lessons and new directions. (Angelsen, et al., 2018)

\*This publication is relevant to All Modules

**Table 3** Publication Impact (Angelsen, et al., 2018)

Citations (Google Scholar)	Citations (Dimension)	Downloads (from CIFOR)	Downloads (from Journal Publisher)
20	5	7212	N/A

### Overview

Drawing on 10 years of research and 500 scientific publications from the GCS REDD+ project, in addition to wider literature, partner contributions, and global policy debates, 'Transforming REDD+: Lessons and new directions' continues CIFOR's examination of REDD+ progress. The authors point to critical issues associated with REDD+, offering suggestions on how to move forward and make forest-based mitigation effective, efficient and equitable. The book is divided into four parts: finance and other key building blocks of REDD+; analyses of national politics; syntheses of impact assessments of national and subnational policies, and local REDD+ initiatives; and a review of four evolving initiatives critical to achieving REDD+ as an objective.

The first part of the book identifies how REDD+ needs a clear theory of change, and a clear roadmap to transformation, if it is to be effective, efficient and equitable. The second part of the book looks at the national politics of REDD+, evaluating the success of attempts to reform policies and laws oppositional to the social and environmental goals of REDD+, and identifying other political barriers to progress. The third part of the book attempts to answer the following questions: Has REDD+ reduced deforestation and forest degradation? and Has it helped improve local livelihoods and forest governance? The final part of the book evaluates four complementary initiatives, including the jurisdictional approach to low-emission rural development, considering how these may align REDD+ with sustainable supply chain initiatives, domestic policy and finance.

### Key findings

- Results-based payment has largely gone untested. International funding remains scarce, and demand through carbon markets is lacking.
- REDD+ helped forests gain prominence on the international and some national policy agendas.
- National REDD+ initiatives improved countries' monitoring capacities and understanding of drivers, increased stakeholder involvement, and provided a platform to secure indigenous and community land rights.
- Local REDD+ initiatives have achieved modest but positive outcomes for forests.
- Well-being impacts have been limited and mixed, but are more likely to be positive when incentive components are included.
- For REDD+ to be effective, forest-based mitigation needs to be incorporated in national development and climate action plans, and mainstreamed across sectors and levels of government. A strong positive narrative on how forests contribute to economic development and climate goals can support this integration.

**What drives policy change for REDD+? A qualitative comparative analysis of the interplay between institutional and policy arena factors. (Korhonen-Kurki, et al., 2019)**

**Table 4 Publication Impact** (Korhonen-Kurki, et al., 2019)

Citations (Google Scholar)	Citations (Dimension)	Downloads (from CIFOR)	Downloads (from Journal Publisher)
15	9	368	N/A

### Overview

This paper uses a comparative analysis of the national policy settings of 13 countries to identify the enabling conditions for progress in the implementation of an effective, efficient and equitable REDD+. The authors' evaluation of REDD+ revealed that countries across Africa, Asia and Latin America are showing some progress, but still face backlashes in realizing the necessary transformational change to tackle deforestation and forest degradation. The authors identify two key enabling institutional configurations for progress: (1) the presence of already initiated policy change; and (2) scarcity of forest resources combined with an absence of any effective forestry framework and policies.

### Key findings

- The positive push of already existing policy change, and the negative stress of resource scarcity together with lack of effective policies, are institutional conditions that support REDD+ progress.
- Progress requires the presence of powerful transformational coalitions and strong ownership and leadership.
- Performance-based funding can work as a strong incentive.
- Comparing three assessments of REDD+ enabling conditions in 2012, 2014, 2016 reveals some progress in establishing processes of change.
- The overall fluctuation in progress of most countries reveals the difficulty in changing the deforestation trajectory away from business as usual.

## Module 2 Publication Analysis

**Balancing carrots and sticks in REDD+: implications for social safeguards. (Duchelle, et al., 2017.)**

**Table 5** Publication Impact (Duchelle, et al., 2017.)

Citations (Google Scholar)	Citations (Dimension)	Downloads (from CIFOR)	Downloads (from Journal Publisher)
40	19	320	N/A

### Overview

The authors use household-level data collected in approximately 4000 households in 130 villages across Brazil, Peru, Cameroon, Tanzania, Indonesia, and Vietnam to analyze the impacts of different types of REDD+ interventions. The authors identify two key types of interventions: disincentives that focus on restricting access to or conversion of forests, and incentives that motivate forest-conserving actions through livelihood enhancements. They evaluate the success of these approaches against indicators including tenure security, participation, subjective well-being, and forest clearing.

### Key findings

- Incentives can help alleviate the burden of disincentives, but the right balance is needed.

- Globally, a decrease in tenure security and perceived well-being over time for households exposed to disincentives alone, with the addition of incentives helping to alleviate negative effects on well-being.
- In Brazil, although disincentives successfully reduced forest clearing by smallholders, they also negatively affected perceived well-being, highlighting a clear trade-off between carbon and noncarbon benefits.
- Local perceptions of the social impacts of forest interventions must be prioritized in safeguards monitoring because individual farmers and communities ultimately make the collective difference in how forests are managed.
- Globally, although households exposed to REDD+ interventions were generally aware of local REDD+ initiatives, meaningful participation in initiative design and implementation was rare.

### What is REDD+ achieving on the ground?. (Duchelle, et al., 2018)

**Table 6 Publication Impact (Duchelle, et al., 2018)**

Citations (Google Scholar)	Citations (Dimension)	Downloads (from CIFOR)	Downloads (from Journal Publisher)
44	29	618	N/A

#### Overview

The authors reviewed 45 articles from recent scientific literature to understand the outcomes of REDD+ interventions on the ground, in terms of local participation in REDD+, and its carbon and non-carbon (e.g. tenure, well-being, biodiversity) goals. Whilst REDD+ has served as an important testing ground for approaches addressing the problem of deforestation and forest degradation, the limited research focusing on its outcomes means that assessing the overall effectiveness of REDD+ remains difficult.

#### Key findings

- Very few studies use a counterfactual scenario to measure REDD+ impacts.
- The research foci neither geographically nor topically mirror the scope of REDD+ implementation on the ground.
- There are not enough studies on carbon outcomes to draw any firm conclusions.
- There are not enough studies on biodiversity outcomes to draw any firm conclusions.
- The few studies focused on carbon/land use outcomes show moderately encouraging results, while the more numerous studies on noncarbon outcomes (especially well-being) highlight small or insignificant results.
- To enhance REDD+ performance, improve engagement with local communities, increase funding for interventions on the ground, and pay more attention to both carbon and non-carbon outcomes in implementation and evaluation.

**The State of Jurisdictional Sustainability: Synthesis for practitioners and policymakers.**  
(Stickler, et al., 2018)

**Table 7** Publication Impact (Stickler, et al., 2018)

Citations (Google Scholar)	Citations (Dimension)	Downloads (from CIFOR)	Downloads (from Journal Publisher)
11	N/A	N/A	N/A

*Overview*

‘The State of Jurisdictional Sustainability’ assesses progress on key elements of jurisdictional sustainability, including policies and incentives, performance targets, transparency, inclusivity, the success of sustainable agricultural initiatives, and respect for local rights. The 39 subnational jurisdictions in 12 countries studied constitute 28% of the world’s tropical forests, varying widely in deforestation rates and amount of remaining forest.

*Research questions*

1. Has deforestation decreased in the study jurisdictions?
2. What commitments have jurisdictions made toward reducing deforestation and/or emissions, and other socio-economic and environmental targets?
3. What progress have jurisdictions made in advancing LED-R?
4. What external support and/or recognition have jurisdictions received?
5. How can jurisdictions continue to advance LED-R going forward?

*Key findings*

- Nearly all (38 of 39) jurisdictions studied have signed formal, international scale commitments to slow deforestation and/or accelerate reforestation or forest recovery.
- Many are financing and implementing innovative policies and programs, prioritizing indigenous peoples, local communities and smallholder farmers as key beneficiaries of these interventions.
- Deforestation has declined in half (19 of 39) of the jurisdictions below official projected subnational forest reference levels.
- These declines in deforestation represent approximately 6.8 GtCO<sub>2</sub> e of avoided carbon emissions, attributable to both subnational and national policy interventions and private-sector actions.

**Forest-based climate mitigation: Lessons from REDD+ implementation. (Duchelle, et al., 2019)**

**Table 8** Publication Impact (Duchelle, et al., 2019)

Citations (Google Scholar)	Citations (Dimension)	Downloads (from CIFOR)	Downloads (from Journal Publisher)
2	N/A	372	N/A

## Overview

Drawing on research conducted under the Global Comparative Study on REDD+ by CIFOR, this report summarizes the REDD+ experience over the past decade. The study describes how REDD+ has evolved through international negotiations and early implementation, analyzes the progress and challenges arising from REDD+ initiatives at national, subnational, and project scales, and concludes with recommendations for the future.

## Key findings

- The Evolution of REDD+
  - The scale of REDD+ implementation has evolved from local to jurisdictional
  - The scope of REDD+ has broadened from emission reductions to wider sustainable development objectives
  - The sources of finance have evolved
  - REDD+ is now embedded in a broader context of complementary global initiatives
- REDD+ Progress and Challenges
  - At the subnational level, provincial and district governments are beginning to implement jurisdictional strategies that link REDD+, sustainable supply chain commitments, and domestic policies
  - Most of the 50 countries that have launched national REDD+ initiatives have failed to stop or reverse deforestation, but clear progress has been made
- Recommendations
  - Industrialized countries must show greater responsibility for REDD+ finance
  - The international community should encourage international and national ambition toward climate goals while supporting subnational progress
  - Governments should recognize the rights of indigenous peoples and local communities

## Module 3 Publication Analysis

**Trees, forests and water: Cool insights for a hot world.** (Ellison, et al., 2017)

\*This publication is also relevant to Module 4a

**Table 9 Publication Impact (Ellison, et al., 2017)**

Citations (Google Scholar)	Citations (Dimension)	Downloads (from CIFOR)	Downloads (from Journal Publisher)
406	245	3659	N/A

## Overview

This publication reviews a diverse range of forest centered research, to assess the effects of trees on water and climate at local, regional and continental scales. The publication suggests that trees and forests have global climate change mitigation potential, but claims that forest-driven water and energy cycles are currently poorly integrated into decision-making on climate change responses, land use and water management.



### Key findings

- Forests are intimately linked to rainfall and water availability
- Forests transport water locally and globally
- Forests cool locally and globally, and
- Forests regulate water supplies, including:
  - Fog and cloud water capture
  - Infiltration and groundwater recharge
  - Flood moderation/mitigation
  - Forest biodiversity
- The climate-regulating functions of forests should be recognized as their principal contribution, with carbon storage, timber and non-timber forest products as co-benefits
- If governance and legislative systems can become more integrated and coherent, positive consequences for livelihoods and development are likely to be achieved by bringing about improved recognition of forest contributions to water and climate regulation, and
- Achieving a fair distribution of the benefits and burdens of management practices regarding forest, water and energy interactions will require careful attention to existing livelihoods and communal ways of life

### Tree Biomass Equations from Terrestrial LiDAR: A Case Study in Guyana. (Lau, et al., 2019)

**Table 10** Publication Impact (Lau, et al., 2019)

Citations (Google Scholar)	Citations (Dimension)	Downloads (from CIFOR)	Downloads (from Journal Publisher)
17	11	176	1648

### Overview

Large uncertainties in tree and forest carbon estimates weaken national efforts to accurately estimate aboveground biomass (AGB) for their national monitoring, measurement, reporting and verification systems. Using tree attributes obtained from terrestrial laser scanning (TLS) point clouds from 72 tropical trees, the authors of this report developed allometric models to accurately estimate tree AGB in Guyana.

### Key findings

- TLS-derived allometric models including crown diameter provided more accurate AGB estimates ( $R^2 = 0.92\text{--}0.93$ ) than traditional pantropical models ( $R^2 = 0.85\text{--}0.89$ ), and were especially accurate for large trees (diameter > 70 cm).
- TLS-derived AGB estimates were unbiased.
- Tree height is difficult to measure in situ, and the inclusion of height in allometric models consistently worsened AGB estimates.
- This method advances our ability to develop, test, and choose allometric models without the need to harvest trees.

**Estimating aboveground net biomass change for tropical and subtropical forests:  
Refinement of IPCC default rates using forest plot data. (Requena Suarez, et al., 2019)**

**Table 11 Publication Impact (Requena Suarez, et al., 2019)**

Citations (Google Scholar)	Citations (Dimension)	Downloads (from CIFOR)	Downloads (from Journal Publisher)
21	18	57	N/A

*Overview*

Countries with limited forest monitoring capabilities in the tropics and sub-tropics rely on IPCC 2006 default aboveground net biomass change ( $\Delta$ AGB) rates, which are estimate values determined per ecological zone, per continent. As part of the 2019 Refinement to the 2006 IPCC Guidelines for National Greenhouse Gas Inventories, this study generates new  $\Delta$ AGB rate estimates for younger secondary forests ( $\leq 20$  years), older secondary forests ( $> 20$  years and up to 100 years) and old-growth forests. This was achieved using data obtained from 176 chronosequences in secondary forests and 536 permanent plots in old-growth and managed/logged forests, across 42 countries in Africa, North and South America and Asia.

*Key findings*

- In tropical rainforests, new  $\Delta$ AGB rate estimates ranged from 3.4 (Asia) to 7.6 (Africa) Mg ha<sup>-1</sup> year<sup>-1</sup> in younger secondary forests.
- Ranged from 2.3 (North and South America) to 3.5 (Africa) Mg ha<sup>-1</sup> year<sup>-1</sup> in older secondary forests.
- Ranged from 0.7 (Asia) to 1.3 (Africa) Mg ha<sup>-1</sup> year<sup>-1</sup> in old-growth forests.
- These findings represent an important step towards quantifying the role of tropical and subtropical forests as carbon sinks with higher accuracy.

**Mangrove blue carbon stocks and dynamics are controlled by hydrogeomorphic settings and land-use change. (Sasmito, et al., 2020)**

**Table 12 Publication Impact (Sasmito, et al., 2020)**

Citations (Google Scholar)	Citations (Dimension)	Downloads (from CIFOR)	Downloads (from Journal Publisher)
5	5	23	N/A

*Overview*

The impact of mangrove deforestation on carbon emissions has been reported on a global scale, yet uncertainty remains at subnational scales due to geographical variability and field data limitations. This study assesses blue carbon storage at five mangrove sites across West Papua Province, Indonesia, a zone supporting 10% of the global mangrove area. The authors conducted field-based assessments across 255 mangroves plots, of which the highest carbon stocks were found in estuarine interior (EI) mangroves, followed by open coast interior, open coast fringe and EI forests.

### Key findings

- Forest harvesting did not significantly affect soil carbon stocks, but removed nearly all live biomass.
- Aquaculture conversion removed 60% of soil carbon stock and 85% of live biomass carbon stock.
- Mangroves left to regenerate for more than 25 years reached the same level of biomass carbon compared to undisturbed forests.
- Long-term land-use changes substantially affect carbon loss and gain.
- Current land-based climate policies should incorporate landscape and land-use characteristics for more effective emissions reduction targets and restoration outcomes.

## Module 4 Publication Analysis

### Climate change policy networks: connecting adaptation and mitigation in multiplex networks in Peru. (Locatelli, et al., 2020)

**Table 13**      **Publication Impact** (Locatelli, et al., 2020)

Citations (Google Scholar)	Citations (Dimension)	Downloads (from CIFOR)	Downloads (from Journal Publisher)
3	1	184	307

### Overview

Policy network analysis has been posited as a way to explore connections between climate adaptation and mitigation, and synergy between these two policy subdomains. This report evaluates collaboration and information flows between 76 key actors in national climate policy processes in Peru, a country with an active climate change policy domain. These connections were examined using ERGMs (Exponential Random Graph Models), a methodology used to explain the existence of ties in networks, and their structural, actor level, dyadic level and relational effects.

### Key findings

- National government institutions are central actors in climate change policy networks in Peru, reflecting national ownership of the climate change issue.
- Private sector organizations and subnational actors in Peru are the least involved in information sharing and collaboration on climate change.
- Actors from different levels and sectors are active in both adaptation and mitigation, which is good for climate policy integration.
- Actors with the capacity to bridge the two policy subdomains are not necessarily central to each subdomain but may be actors that close structural holes between subdomains.

## A comparative study of REDD+ impacts on subjective wellbeing. (Larson, et al., 2018)

\*This publication is also relevant to Module 2

**Table 14** Publication Impact (Larson, et al., 2018)

Citations (Google Scholar)	Citations (Dimension)	Downloads (from CIFOR)	Downloads (from Journal Publisher)
26	17	518	N/A

### Overview

Critics have argued that REDD+ design, both in policy and projects, does not take gender into account effectively and can marginalize women from decision making processes. In this publication, the authors use data from a longitudinal study of subnational REDD+ initiatives in six countries to analyze the gendered impact on perceived wellbeing. Comparative research on subjective wellbeing was conducted using gendered focus groups in 62 villages participating in 16 REDD+ initiatives. The goal of the research was to gain a gendered comparison of definitions of wellbeing, and the outcomes of the REDD+ initiatives.

### Key findings

- While men and women clearly share many wellbeing goals, over 50% of women emphasized having their own source of income and women's equity and empowerment.
- Outcomes regarding wellbeing change suggest that wellbeing decreased in REDD+ villages relative to control villages, yet this decrease was much worse for women.
- These declines may be explained by unrealized expectations for REDD+, combined with little attention to gender in REDD+ initiatives.
- REDD+ initiatives appear to be repeating past mistakes, with insufficient attention to gender equality and safeguarding women's rights.
- More effort needs to be paid to ensuring that gender is an integral part of future initiatives to combat climate change in rural communities

## Messiness of forest governance: How technical approaches suppress politics in REDD+ and conservation projects. (Myers, et al., 2018)

**Table 15** Publication Impact (Myers, et al., 2018)

Citations (Google Scholar)	Citations (Dimension)	Downloads (from CIFOR)	Downloads (from Journal Publisher)
48	31	327	N/A

### Overview

The authors argue that efforts to improve the 'fairness' of REDD+ have typically viewed conflicts and problems through a technical rather than political lens. They claim that conflict-resolving solutions focusing on 'benefit distribution' have been at the expense of political solutions emphasizing social justice and the representation of local people's concerns and recognition of

their rights. Drawing on data collected from over 700 interviews in five countries, this publication argues that the failure to incorporate political notions of justice into REDD+ has resulted in ‘messiness’ within governance systems. ‘Messiness’ is here defined as “the mismatches between different stakeholders’ preferred notions of justice and legitimacy, and the notions of justice that conservation and development projects deliver in practice” (p.321). It is suggested that ‘messiness’ can be avoided by reducing the complexity of technical systems and language, increasing parity of participation and engaging proactively with harder political problems such as land rights.

**Designing for engagement: A Realist Synthesis Review of how context affects the outcomes of multi-stakeholder forums on land use and/or land-use change. (Sarmiento Barletti, et al., 2020)**

**Table 16 Publication Impact (Sarmiento Barletti, et al., 2020)**

Citations (Google Scholar)	Citations (Dimension)	Downloads (from CIFOR)	Downloads (from Journal Publisher)
3	4	368	N/A

*Overview*

Multi-stakeholder forums (MSFs) have been posited as a way of addressing land-use change and support climate mitigation, such as through landscape or jurisdictional approaches. This Realist Synthesis Review (RSR) assesses the literature on MSFs organized to support efforts towards more sustainable land use, with a particular emphasis on subnational MSFs including at least one grassroots and one government actor. The review identifies four common lessons learned for MSFs: the importance of commitment; engaging the implementers; openness to learn from and listen to stakeholders; and having a design that is adaptive to this context, with time and resources to do so.

*Key findings*

- The most successful MSFs are those forming part of a wider process that:
  - Seeks to transform practices at multiple levels
  - Entails a period of consultation at upper levels to identify potential roadblocks
  - Builds consensus and commitment from higher levels, and
  - Is designed as adaptive learning processes.
- It is insufficient to consider inequalities as obstacles that can be overcome just by empowering local people. Vital to recognize the interconnections between individuals, groups and institutions.
- MSFs must demonstrate an openness to learning and a willingness to be adaptive to context.
- Adaptive MSFs are more resilient in times of crises such as funding cuts, policy reorientations and changes in leadership.
- Going forward, more comparative field research is needed to explore multiple perspectives, unintended outcomes, and changes over time within MSFs.