Country Analysis – Part Two of Final Evaluation Report for CIFOR's 'A Global Comparative Study for achieving effective, efficient and equitable REDD+ results'

Country Analysis – Part Two of Final Evaluation Report

Client Name: CIFOR

May 2021

Efeca Project Number: P141

Country Analysis – Part Two of Final Evaluation 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

Approved by: Lucy Cullinane

Position: Operations Director

Signed

Date: May 2021

Efeca Project Number: P141

Efeca
Suite 7, Portfolio House
3, Princes Street
Dorchester
Dorset, DT1 1TP

Table of Contents

Part Two: Country Specific Analysis

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.

Each of the above countries, with the exception of Myanmar, had an in-country evaluation consultant and all the individual country reports with detailed findings can be found below.

1 Indonesia Country Analysis

Eight interviews with local stakeholders, plus a Stories of Change specific interview, were carried out in Indonesia. Over 20 Indonesian local stakeholders were contacted (twice), but only 8 agreed to be interviewed. There were 5 survey responses from Indonesia.

Key summary points

- According to local stakeholders interviewed, the main achievement/success in Indonesia was in supporting the development and the establishment of Indonesia's second FREL (Forest Reference Emission Level) (Module 3 – Outcome 3.1).
- With a couple of exceptions (i.e. collaboration with LTKL (*Lingkar Temu Kabupaten Lestari*), engagement with policy/decision makers was more successful at the national rather than the sub-national level.
- There were a few successful examples of collaborations with partners (LTKL in particular), but stakeholders also felt that more partnerships would be needed for closer and more effective stakeholder engagement on the ground as this could be the most effective way for CIFOR to inform and influence local stakeholders, including decision/policy makers.
- Unintended consequences of REDD+: when payments were delayed, stakeholders' expectations exceeded actual benefits and this potentially caused distrust and disengagement with REDD+ related activities, including CIFOR's research.
- The stakeholder engagement process was important to ensure buy in of the results of the research itself as research outputs alone were insufficient. Ideally, research should be 'understandable' (with simplified language where feasible) and, if possible, engaging in opportunities to explore alternative ways of communicating (e.g. infographics, policy briefs, etc.).
- An improved communications strategy as well as closer and further engagement with both the private and public sectors could have enhanced impact. Where possible, partners that are not independent research organizations like CIFOR could have been targeted as they may have a mandate allowing them to be more closely involved in politics.
- 'Who' is delivering the research findings (and 'how') was 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).
- The current political climate was not particularly favorable towards either REDD+ (more generally) or CIFOR (more specifically) in Indonesia.
- Recommendations included: work on biodiversity potentials (and related business models), improve CIFOR's website, particularly for CSOs to easily find and access specific references and key publications, increase capacity building of local research/academic institutions, and reviewing or jointly developing local knowledge products to ensure their credibility.

- Suggested research topics for the future phase:
    - 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 landowner/steward level),
    - Continued deforestation monitoring 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 fires and peatlands data), and
    - Financing mechanisms for REDD+ initiatives, leveraging the private sector and voluntary carbon markets.

1.1 Did the project achieve intended outcomes and what lessons were learned about policy engagement (nationally and sub-nationally)?

1.1.1 Were project outcomes realized?

As shown in the sixth row in the graph below (illustrating Indonesia survey responses to question 7), local stakeholders perceived the GCS project and its research to have either 'definitely' (40%) or 'somewhat' (60%) contributed to the current process of developing and establishing the second FREL (Forest Reference Emission Level) for Indonesia (Module 3 – Outcome 3.1). This was also mentioned by three of the stakeholders interviewed (IND02, IND05, IND09).

However, according to Indonesia stakeholders' interviews and survey responses (first two points under question 7 in particular – as shown in the graph below), the GCS project was generally perceived to have either 'somewhat' (60%) or 'not really' (40%) influenced policies and practices related to REDD+ at the national level (Module 1 – Outcomes 1.1 and 1.2). A total of 80% of respondents thought that the GCS project either definitely (40%) or somewhat (40%) had a positive impact on civil society (Module 1 – Outcome 1.3).

Additionally, according to one interviewee (IND02) and 80% of survey responses to whether decision-makers in the sub-national jurisdictions had information and tools to manage land use tradeoffs and multistakeholder processes in the context of Indonesia's NDCs (second row from the bottom in the graph below), the GCS project was perceived to have 'not really' been impactful at the sub-national level (Module 4 – Outcome 4.2).

Nevertheless, on average, Indonesia survey respondents agreed that the level of influence of the project's knowledge processes and products on decision makers was positive, according to survey responses to question 9 (average score of 60/100). Similarly, Indonesia survey respondents thought that 'international actors and networks that support cross-sectoral landscape management [were either 'definitely' (40%) or 'somewhat' (60%)] informed by evidence from multisectoral and multilevel governance analysis' (Module 4 – Outcome 4.1 – third row from the bottom in the graph below).

Interestingly, despite the fact that Indonesia survey respondents thought that 'partners [were either 'definitely' (20%) or 'somewhat' (80%)] aware of and use[d] project knowledge in their decision-making' (Outcome 5.1 – last row in the graph below), some local stakeholders questioned whether the communications and outreach relating to GCS project research outputs was as effective as it could have been (IND01, IND03, IND09).

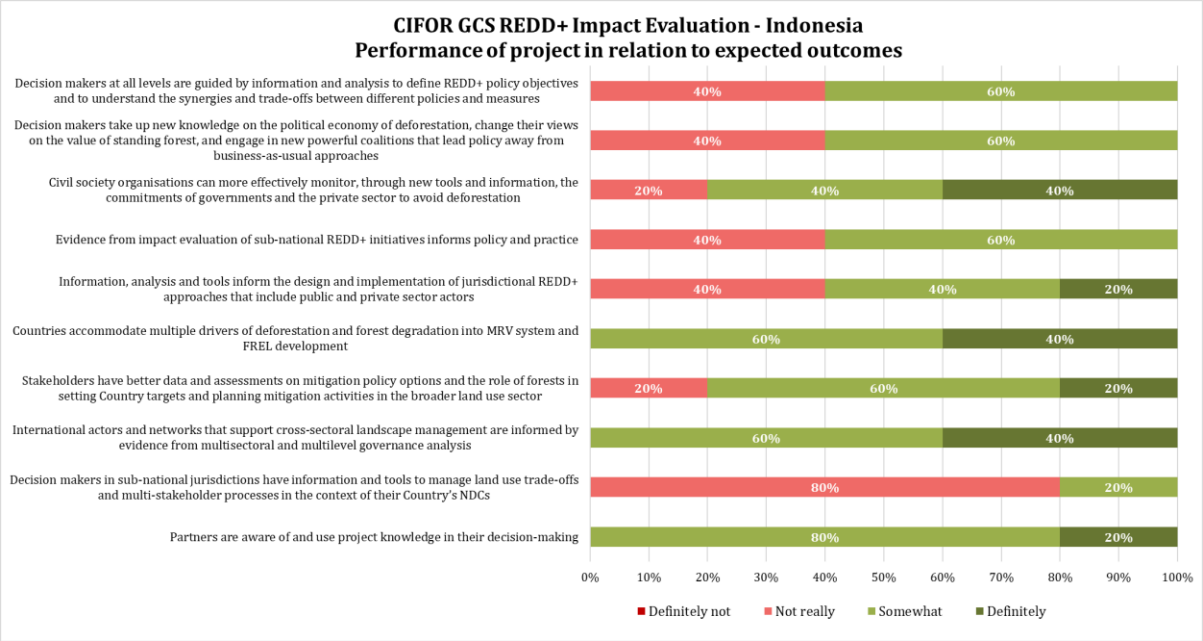

Figure 1: Indonesia specific survey results (question 7) – Performance of GCS project in relation to expected outcomes

1.1.2 Did project activities contribute to policy or practice change in Indonesia?

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).

Through various pieces of research over the years, CIFOR's contribution has been substantial, helping to create a much more comprehensive knowledge base on different ecosystem types (including peatlands and wetlands). Scientifically credible data is now available to be used in Indonesia, which in turn can lead to more REDD+ pathways, as well as more activity on data and emission factors from mangroves, peatlands, and other ecosystems (IND05, IND09).

No other evidence from either the survey responses or the interview results indicated that other GCS project activities contributed directly to policy or practice change. This was despite the fact that, throughout the project period, CIFOR organized and held several national-level stakeholder workshops in Indonesia, mainly in Jakarta, which included participants from government agencies, civil society, the private sector and the donor community (CIFOR, 2016a; CIFOR, 2017; CIFOR, 2018; CIFOR, 2019).

However, other activities mentioned in the annual progress reports might have indirectly contributed to policy or practice change in Indonesia, by informing and influencing key local stakeholders.

1.1.2.1 Module 1

Between 2016 and 2018 CIFOR collaborated with P3SEKPI (a unit under the Ministry of Environment and Forestry (MoEF)) on three financial incentive mechanisms: *Dana Insentif Daerah* (DID – Regional Incentive Mechanism), the Indonesia Climate Change Trust Fund (ICCTF), and *Badan Layanan Umum Pusat Pembiayaan Pembangunan Hutan* (BLU P3H – Public Service Agency for Financing Forest Development). This was part of comparative studies of regional or jurisdictional financial incentive mechanisms (Module 1), focusing mainly on Indonesia and Vietnam (CIFOR, 2017). Although the impact of this work on the Indonesian public sector was hard to quantify, it was possible it led to better information.

The Indonesia REDD+ country profile (a Module 1 output) published in 2021 was 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 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 was also refined in 2018, updated in 2019 and published in 2020 (CIFOR, 2018; CIFOR, 2019). All these materials provided a solid base for scientifically informed policy and/or practice change in Indonesia, but information uptake at different levels (nationally and locally) was less clear.

1.1.2.2 Module 2

Regarding Module 2 activities and outcomes, Indonesia was one of the priority countries for both the evaluation of the impacts of local REDD+ initiatives on forests and people (linked to Outcome 2.1), and the global survey of sub-national REDD+ and private sector initiatives (linked to Outcomes 2.1, 2.2 and 4.3[1]). The latter built on two tools: the jurisdictional profile survey and the CCBA Sustainable Landscapes Rating Tool (SLRT). The jurisdictional profile survey – which seeks information on sustainability commitments, key policies and programs to address deforestation and forest degradation, sustainable supply chain initiatives, REDD+ projects, and multi-stakeholder forums in the jurisdictions, along with challenges and opportunities for making progress – was implemented by CIFOR in four provinces in Indonesia (Aceh, Central Kalimantan, East Kalimantan and North Kalimantan). According to the 2019 Annual Progress Report, the SLRT had 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 global survey of sub-national REDD+ and private sector initiatives[2] is a partnership between CIFOR, Earth Innovation Institute (EII), the Governors' Climate and Forests (GCF) Task Force and the Climate Community and Biodiversity Alliance (CCBA). Preliminary findings were presented at the 2017 GCF Task Force Annual Meeting in Balikpapan, Indonesia, as well as at the Oslo Tropical Forests Forum (June 2018), while the full report on the state of jurisdictional

[1] Both private sector outcomes (2.2 and 4.3) were integrated into this jurisdictional sustainability assessment work in 2018 (2018 Annual Progress Report).

[2] Also referred to as the assessment of jurisdictional sustainability across the tropics.

sustainability (Stickler, et al., 2018) was launched in September 2018 at the Global Climate Action Summit and the GCF Task Force Meeting in San Francisco, California (CIFOR, 2018).

Since the assessment findings were incorporated into the GCF Task Force Knowledge Database and EII's Tropical Forest Champions Platform, these had the potential to inform and possibly influence policy and or practice change, particularly in the jurisdictions involved in this study, including those Indonesian provinces (CIFOR, 2019).

Additionally, those tools developed and implemented through GCS REDD+ Module 2 were particularly helpful to support the *Lingkar Temu Kabupaten Lestari* (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, informing and indirectly influencing policy change at the national level in Indonesia.

1.1.2.3 Module 3

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.'[3] 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).

1.1.2.4 Module 4

Under Module 4, Indonesia was also involved in multi-stakeholder forum research (Output 4.2), including through 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 resources to be focused there (GBL04).

3 The ITPC is a South-South initiative involving Indonesia, Democratic Republic of Congo and Republic of Congo.

1.1.3 Positive unexpected outcomes in Indonesia

As CIFOR's data on deforestation monitoring is more 'real-time' than the government's data, CIFOR's data was used by *Madani Berkelanjutan* (People and Nature for Sustainable Indonesia) as a basis for developing advocacy strategies (IND03).

Similarly, CPI (Climate Policy Initiative) used CIFOR's research and data on land use emission reference levels, deforestation trends and peatland loss to inform their policy pieces and white papers (IND08).

1.1.4 Negative unexpected outcomes in Indonesia

A negative unexpected outcome arose specifically from the experience in the FCPF (Forest Carbon Partnership Facility) project in East Kalimantan due to the time lag of the payments for REDD+ projects. This contributed to create a negative perception and distrust amongst local and/or sub-national government representatives, as well as other stakeholders, towards REDD+ more generally, which made decision makers favor more lucrative extractive options instead. Due to this psychological effect, CIFOR's research and/or activities were also perceived negatively because of their affiliation with REDD+ (IND02).

One cause of difficulties in identifying and assessing the outcomes of the GCS project in Indonesia (but not necessarily a negative unexpected outcome in itself) was the fact that many stakeholders interviewed were unaware of what the GCS project was about (7 out of 8 interviewees), as opposed to their broader engagement with CIFOR. This reflected stakeholders' views of their collaboration with CIFOR as an institution, without necessarily linking activities (and consequently impacts) to a particular project (including the GCS). For instance, as the collaboration with LTKL was co-funded by Norad and FTA, activities undertaken were not explicitly associated with any project in particular and, instead, referred more broadly to jurisdictional approaches in Indonesia. This meant that several stakeholders sometimes did not consider the activities to be GCS specific, even if they had been closely involved with its research activities (IND06).

1.1.5 Were decision makers equipped by the project's knowledge processes and products in Indonesia?

At the sub-national level, the process used to conduct the research was of utmost importance to ensure effective uptake by building trust and ownership of the research by local stakeholders. In order to achieve this, the CIFOR GCS project partnered with a political implementer (LTKL) for a 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.

Key positive points noted to have played a crucial role in the success of this research included:

- Simple and engaging means to explain the research to non-expert counterparts, including using creative and interactive ways, such as games. This was key in ensuring that local stakeholders were informed, intrigued, and therefore willing to meaningfully contribute throughout the research.

- Supporting local government officials to ensure they fully understood what the research was trying to do and what the expectations were from them. This was crucial to develop and maintain a sense of ownership.

- Acknowledged local government teams as co-authors of the publications, which were launched at an international event (Global Landscapes Forum, 2020). This boosted local government's confidence and trust in CIFOR GCS team, and thus helped to consolidate the relationship with local decision-makers (IND06).

The Indonesia specific analysis of the survey results in the graph below indicated that the majority of the respondents thought that, overall, both central government (50% plus 25%) and regional/local government (75%) were to some extent influenced by the research of the GCS project at some level (either nationally or sub-nationally/locally). However, in both cases, according to 25% of respondents, central and/or regional/local government were 'not influenced at all'. Similarly, the other two sectors which stakeholders thought were 'not influenced at all' by the research were cooperative/producer associations (33%) and small scale business/industry (50%), while large scale business/industry seemed to be influenced both at the sub-national and international levels (50% each), but not at the national one (0%).

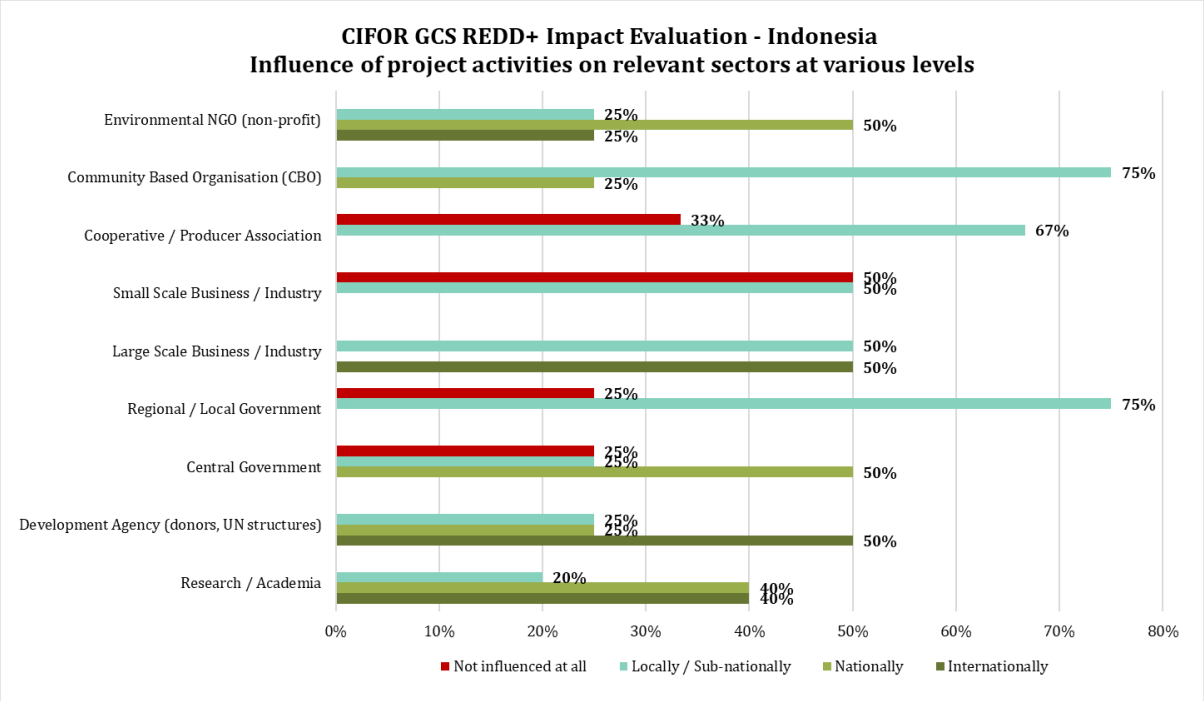

Figure 2: Indonesia specific survey results (question 11) – Influence of GCS project activities on relevant sectors at various levels

1.1.6 Lessons learned about engaging decision makers in Indonesia

Two stakeholders interviewed suggested that more inclusion and acknowledgment of Indonesian researchers would help overcome cultural barriers, and/or language-related communication barriers, when engaging with government officials and decision makers (IND04, IND05). It was highlighted that the research was sometimes more effective when it was led by Indonesian researchers, as they seemed to have a better understanding of how to communicate

sensitive issues to government officials, using the right language and the most appropriate channels (IND05).

More generally, CIFOR experts' direct involvement with the government-appointed team on a policy issue or implementation task force was also highlighted as a success factor in informing and influencing policy processes (IND09). In addition, interviewees also noted that, in order to influence decision-making, research outputs alone are not enough without strategic communications through a communication strategy.

When working with local stakeholders on the ground, it seemed that project outcomes were more likely to be achieved when CIFOR was collaborating with another local organization, responsible for supporting researchers with stakeholder engagement. For instance, LTKL fulfilled this role for the work on jurisdictional profiles (Sukri, et al., 2020), while the Regional Council on Climate Change (*Dewan Daerah Perubahan Iklim*) supported CIFOR's engagement in East Kalimantan (IND06, IND02). This has been suggested by some stakeholders as one possible strategy to improve the uptake of CIFOR's research outputs by stakeholders (including decision makers) on the ground (IND01, IND02, IND06).

Finally, 'who' convened a message can make a big difference when the aim was to use scientific research outputs to influence the political sphere in Indonesia. The interviewed local stakeholders frequently noted that the person who conveyed the message to the government (policy and/or decision makers) needed to be 'trusted' (IND05), charismatic and influential (IND04), as well as being well connected (through the right channels) to the people in power (IND03), aware of the Indonesian political and cultural context (IND05), and able to speak Bahasa Indonesia to avoid language-related communication barriers (IND05).

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

According to local stakeholders, the main limitation of GCS research has been the accessibility of its publications. This aspect can be noted in the analysis of Indonesia specific survey responses, according to which, while 60% of the respondents thought that the research was relevant, 20% pointed out that the research was 'definitely not' easy to access for everyone. In addition, 20% of respondents also noted that the research was 'not really' timely.

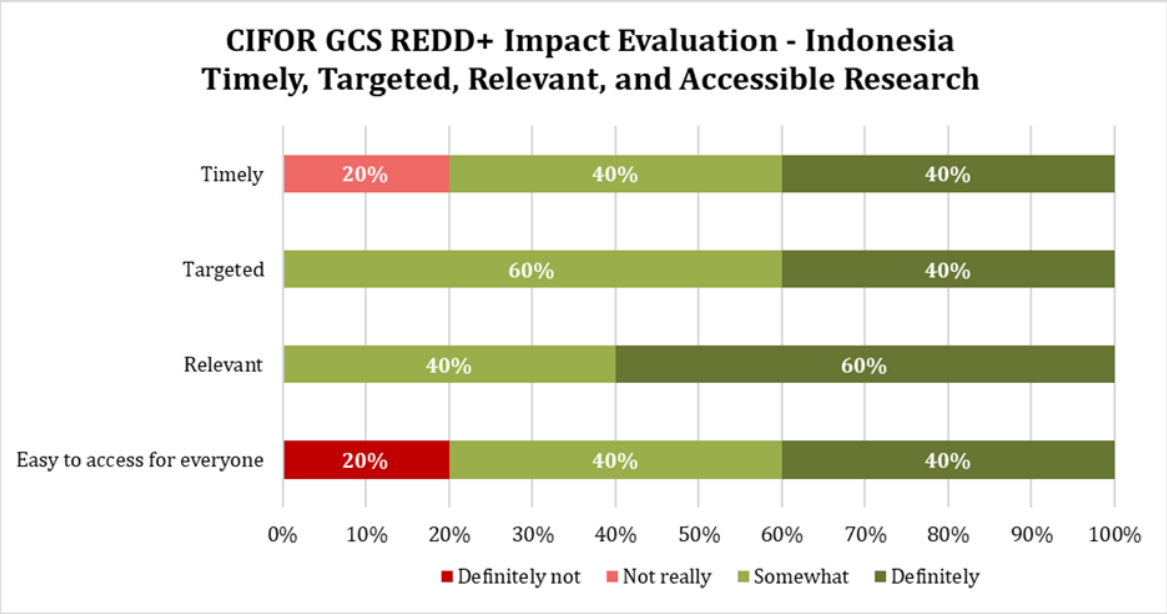

Figure 3: Indonesia specific survey results (question 20) – Timely, targeted, relevant and accessible research

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

1.2.1.1 Factors contributing to the relevance of the research to the Indonesia context

Through a successful engagement with LTKL, political implementation partner of the GCS project at the sub-national level, CIFOR seemed to have successfully avoided being perceived as an 'ivory tower' research institution in Indonesia, as the majority of local stakeholders considered CIFOR as an organization that was 'easy' to work with.

Furthermore, Indonesian local stakeholders also noted that GCS' research related to gender issues in sub-national governance systems was used by LTKL to build the theory-of-change behind their programs – and these metadata, freely accessible from CIFOR's website, were particularly useful (IND06).

However, according to the Indonesia specific analysis of the survey results shown in the graph below, 50% of respondents thought that project activities 'somewhat' fostered an improvement in gender and/or power imbalances, while the remaining 50% of respondents thought that this was 'not really' the case. Conversely, survey responses also confirmed that project activities either 'definitely' (60%) or 'somewhat' (40%) fostered a high level of engagement, lesson sharing and learning between different initiatives and platforms. It was very likely that this high level of engagement and collaboration contributed to the relevance of the research to the Indonesia context.

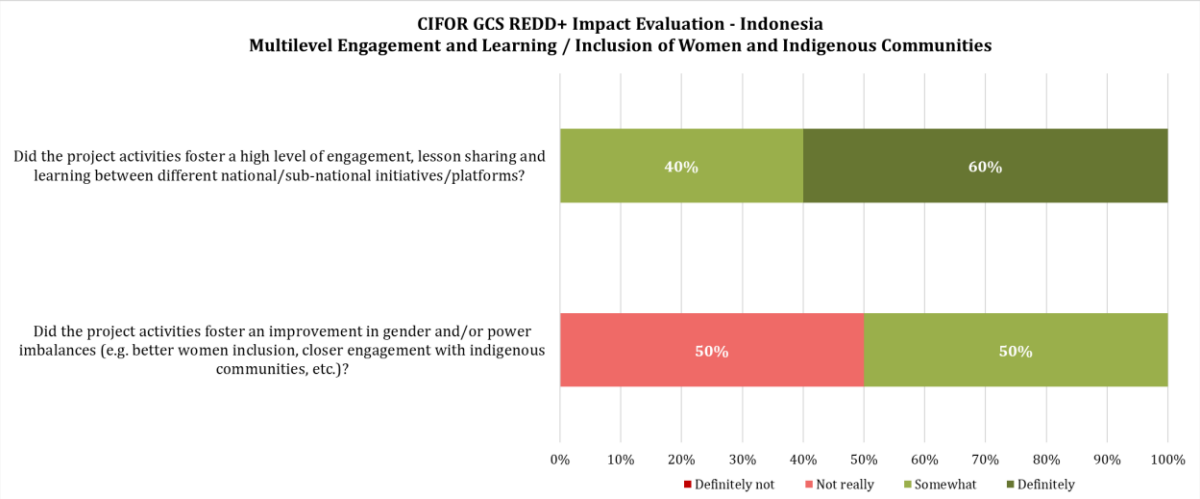

Figure 4: Indonesia specific survey results (questions 16 and 17) – Multilevel engagement and learning / Inclusion of women and indigenous communities

1.2.1.2 Factors hindering the relevance of the research to the Indonesia context

CIFOR's positioning as a technical research institution hindered its ability to deal with and address the political 'barriers' of the policy-making process in Indonesia (IND01, IND03, IND04, IND05, IND07, IND08).

Additionally, the current political atmosphere was another factor that hindered the relevance of the research. According to some of the stakeholders, Indonesia appeared to be moving away from evidence-based policy and decision-making, to be more influenced by political interests (IND01, IND03, IND05). Government priorities are now shifting towards other agenda items and one stakeholder believed that REDD+ has been significantly pushed down the political agenda (IND01).

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 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 MoEF.

According to one stakeholder, CIFOR's effectiveness in influencing policy and decision makers may have been affected by the lack of Indonesian representation amongst CIFOR's directors, as the public sector might have taken this into account, particularly as CIFOR is headquartered in Indonesia (IND04).

1.2.2 How did the research contribute to national and sub-national REDD+ processes?

1.2.2.1 Factors contributing to the relevance of the research nationally and sub-nationally

CIFOR has a solid reputation as an independent technical research institution. All stakeholders interviewed perceived CIFOR as a well-respected research institution, capable of designing and delivering quality, relevant research in Indonesia.

Additionally, according to the Indonesia specific analysis of the survey results shown in the graph below, it seemed that for 80% of the respondents, the research carried out by the CIFOR GCS REDD+ project 'definitely' had a high impact on REDD+ processes internationally, whereas only 20% of respondents thought that this was 'definitely' the case nationally. The remaining 80% of respondents thought that GCS research 'somewhat' had an impact on REDD+ processes nationally. At the sub-national level, instead, the results showed that, while 60% of respondents thought that the research 'somewhat' had an impact, the remaining 40% thought that the research was 'not really' impactful sub-nationally. Therefore, it seemed that, overall, the research was more impactful at the national rather than the sub-national level in Indonesia.

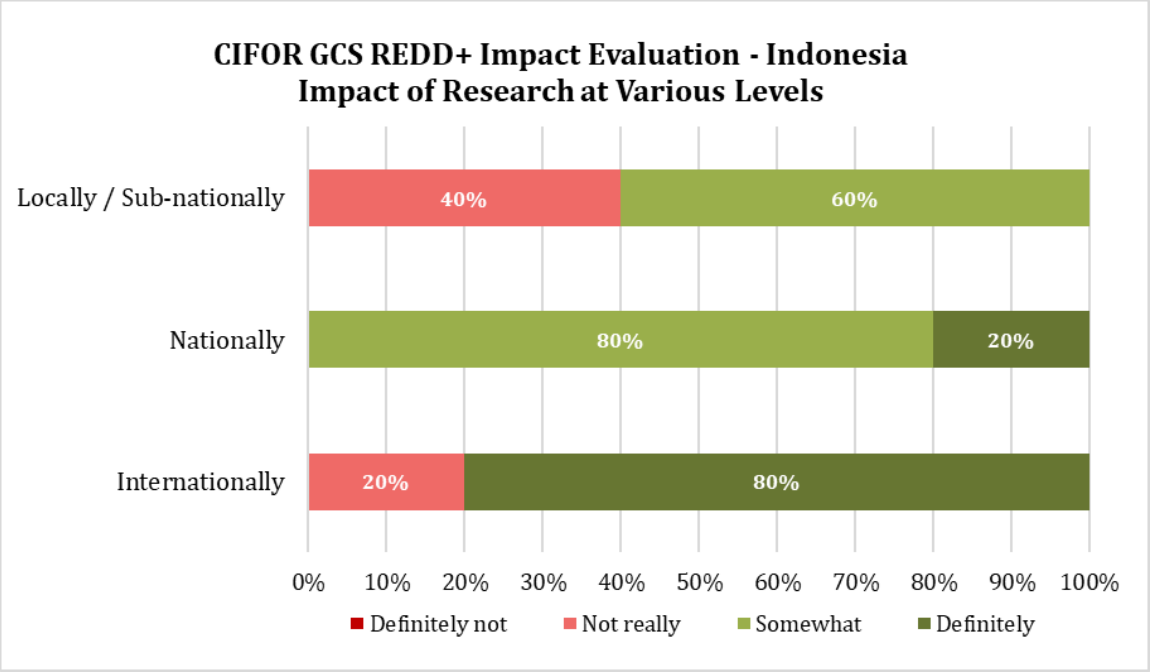

Figure 5: Indonesia specific survey results (question 18) – Impact of GCS research at various levels

1.2.2.2 Factors hindering the relevance of the research nationally and sub-nationally

Different pieces of research seemed to have some common objectives or overlapping scope, without much 'streamlining', which could undermine the effectiveness of the research (IND09). This could be partly due to the perceived lack of effective communications as the latter could better highlight similarities and differences of various research outputs, as well as their synergies.

In addition, local stakeholders interviewed highlighted the following points:

- CIFOR's positioning as an independent technical research institution might have hindered CIFOR's ability to engage with the political process of policy making (IND01, IND05). In the future CIFOR could partner with another organization that is better positioned to get involved in the political sphere, so that CIFOR can maintain its role as an independent research institution (IND01) – as CIFOR has already done in its collaboration with LTKL.

- CIFOR was perceived to be 'too far' from the private sector. One stakeholder noted that CIFOR needed 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 was seen as a crucial step because nature-based solutions (REDD+ initiatives) are business oriented (IND06).

- At the sub-national level, particularly from lessons learnt through CIFOR's involvement in the FCPF project in East Kalimantan, an effective 'exit strategy' was an important factor. CIFOR could therefore invest more in ensuring that, after a research project ended, there was an appropriate process to disseminate the research findings and share the data with local stakeholders, as well as enough engagement and interactions on the ground to ensure that local stakeholders understood how and what for research outputs and results could be used, and what the next steps were (IND02). This could contribute to the implementation and/or the progress of national and/or sub-national REDD+ processes.

1.3 Indonesia key recommendations for 2021 and beyond

1.3.1 Continued validity of 2018 mid-term review recommendations

Respondents' comments in Annex 2 – 'Overview Context and Influence in Targeted Countries' of the mid-term review (Ducenne, et al., 2019) were largely still valid, particularly on the following three points:

- Central government (Ministry of Environment and Forestry) was the most influential actor in terms of setting the REDD+ agenda in Indonesia. In fact, CIFOR's sometimes complicated relationship with the MoEF was noted by several stakeholders as one of the main barriers preventing effective uptake (and achievement) of CIFOR GCS research outcomes.

- Policy frameworks on the distribution of REDD+ benefits in an equitable and just way were often mentioned (and reiterated) by local stakeholders as one of the key challenges that REDD+ implementation still faced in Indonesia. Many stakeholders suggested that benefit-sharing mechanisms could be a key focus for CIFOR's researchers in the future phase.

- CIFOR's engagement with stakeholders both at the national and local/sub-national levels could be further improved. Stakeholders often mentioned and recommended a more effective communication strategy going forward in order to encourage and increase uptake of CIFOR's research by policy and decision makers in order to influence policy and/or practice change. This included fostering a consistent engagement strategy at the national and sub-national levels, as well as innovating research communication pieces and simplifying the language used when communicating and sharing research outputs with non-expert, non-technical audiences.

In addition, respondents' comments in Annex 6 – 'Opportunities for improvements suggested by key informants' of the mid-term review (Ducenne, et al., 2019) continued to be widely shared by the stakeholders consulted in this current study. Please see the table below for more details.

Table 1: Opportunities for improvements suggested by key informants of the mid-term review (Ducenne, et al., 2019) that continue to be valid in Indonesia for the final evaluation

Highlighted points	Still valid in Indonesia	Evidence
Knowledge Co-Producers		
Opportunities to strengthen relationships with partners for greater impact	Valid	IND01, IND02, IND03, IND05, IND06, IND09
New strategies for dissemination of data and non-academic formats and other languages, e.g., magazines	Valid	IND03
Closer connection to local government and clarify of relationships	Valid	IND01, IND02, IND06
Provide reliable and updated baseline forest databases	Valid	IND03, IND08
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
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	IND03, IND06, IND09
Get ready to meet demand of information and styles from wider range of audiences (than scientists/researchers)	Valid	IND03
Supporters		
Alternative communication strategies and more focus on communication and dissemination using networks. Communication has to be more effective to a wide range of stakeholders (including private sector), i.e. communication matters as much as science, even it matters more at implementation level	Valid	IND03
More engagement with the private sector	Valid	IND06
Work more closely with the local government – not only research institutions – and engage them in participatory research and action research	Valid	IND02, IND06
Make the research scope/findings more pragmatic and deliver clear messages easy to understand by all stakeholders, including policy makers	Valid	IND03
Deliver/provide short and clear messages suitable for distribution and communication purposes	Valid	IND03
Implementers		
More attention/research on private sector links, including agribusiness and international carbon markets	Valid	IND02, IND06

1.3.2 2021 final evaluation review recommendations (phase 3)

An interviewee (IND06) suggested that CIFOR could support Indonesia stakeholders to research and map biodiversity potentials (and how to build the business model on these), as well as building the capacity of local research/academic institutions to align with international-level research, and become a reviewer or jointly develop local knowledge products to ensure their credibility.

Moreover, several local stakeholders interviewed suggested further improving communications strategies to effectively share GCS research outputs with local stakeholders and decision/policy makers, including through the following options:

- Improved outreach to CSOs and 'direct' CSOs to the 'right' research outputs as CSOs had difficulties in navigating CIFOR's knowledge library. For example, the advanced query function on CIFOR's website could be improved to make it easier for users to find specific references amongst CIFOR's publications (IND03).
- Develop more 'bite-size' products to communicate the research findings using an engaging format, such as infographics or policy briefs, as well as simplify the language used to explain the results of the research so that a non-expert/lay-person can understand them (IND03).
- Strengthen engagement with local stakeholders (IND02), including gathering inputs from local governments to further inform and better tailor CIFOR's research (IN02).
- Develop an effective communication strategy with decision makers (IN05) that is well tailored to Indonesia's political dynamics and culture (IND05).

1.3.3 Learnings for the next phase of the project (phase 4)

In addition to the suggestions above, local stakeholders interviewed also proposed some research ideas/topics that CIFOR could explore going forward:

- Blue Carbon and evidence of piloting restoration methods in peatlands/wetlands (IND02) – building on existing CIFOR's research and relationships, including previous linkages with the Blue Carbon Summit (June 2018) and the Tropical Peatland Exchange.
- Researching the vulnerability to climate change effects at the provincial level down to kampong (village) level. This would be of particular interest to the General Directorate of Climate Change Adaptation (IND02).
- 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 (IND01, IND05, IND04, IND08).
- Evidence-based decision making, realistically translating this to the Indonesian context (IND04, IND08).
- Continue to monitor deforestation on a more real-time basis (IND03).

- 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 (IND05, IND09).

- Financing mechanisms for REDD+ initiatives, leveraging the private sector and voluntary carbon markets (IND02, IND06).

In addition, stakeholders interviewed suggested considering investing in a long-term liaison officer based in the jurisdiction, or building a long-term partnership with a local CSO, in order to ensure consistent relationships and continued trust with local stakeholders. This would also ensure building close relationships with local decision makers and, if needed, being able to promptly re-build similar relationships if and when officials get replaced (IND01, IND02).

Finally, local stakeholders also encouraged CIFOR to promote more collaboration between researchers and across research projects to streamline the objectives and the scope of the research (IND09), as well as nurturing the relationship with the Indonesian government, increasing experts' involvement beyond research in policy processes and in capacity building for government officials in particular, including on data sharing (IND09).

2 Vietnam Country Analysis

Due to stakeholder fatigue in Vietnam, only 5 interviews with local stakeholders were conducted, and 4 existing Stories of Change interview records were used with permission. There were 6 survey responses.

Key summary points

- Modules 1 and 5 were the main focuses in Vietnam, and their related outcomes (1.1, 1.2 and 5.1 in particular) seemed to have been achieved at the national and international level, but less so at the sub-national level.
- Close relationships between CIFOR in-country staff and national policy makers seemed to have been the key success factor in Vietnam. In fact, there was some evidence that CIFOR's research and active engagement with government (and non-state actors) contributed to the 2017 Vietnam Forestry Law (2017), as well as the Vietnam forestry development strategy (2021-2030, with a vision to 2050) and the REDD+ national strategy. In addition, CIFOR was also involved in the development of a Payment for Forest Environmental Services (PFES) monitoring and evaluation system. These engagement processes 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 were many either formal or 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:
    - In 2017, a documentary produced by CIFOR on Forest Valuation was broadcasted three times on the Vietnam National Television, and 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).
    - Another documentary on gender equity in the Vietnam forestry sector (14 minutes) was broadcast six times between November 2017 and January 2018 (CIFOR, 2017).
- In 2018, a CIFOR's national staff member was awarded a prize from the Vietnam government due to CIFOR's contributions to forestry development and forest conservation. There were only two international organizations that received this prize, GIZ and CIFOR.
- Lessons learned about engaging decision makers in Vietnam were particularly interesting and could be helpful if shared in other priority countries of the GCS project.
- Policy research needed to be flexible as the project proposal was designed for a period of four years but policy demands changed during that time. This might have hindered the relevance of the research had the project been inflexible.

- Capacity of some local stakeholders at the sub-national level was limited and therefore CIFOR needed to provide training before being able to collaborate with them.
- There were some changes in working positions of policy makers during the timeframe of the project. Thus, after any changes, CIFOR needed time for additional communications and networking in order to re-build collaboration and trust.
- CIFOR's research has focused mainly on PFES in Vietnam, while there were many other aspects of REDD+ that could be explored further.

2.1 Did the project achieve intended outcomes and what lessons were learned about policy engagement (nationally and sub-nationally)?

2.1.1 Were project outcomes realized?

The project outcomes relating to modules 1 and 5 (the two biggest focuses both nationally and locally) seemed to have been achieved in Vietnam, thanks in part to collaborations with national and sub-national partners (last and first two rows in the graph below).

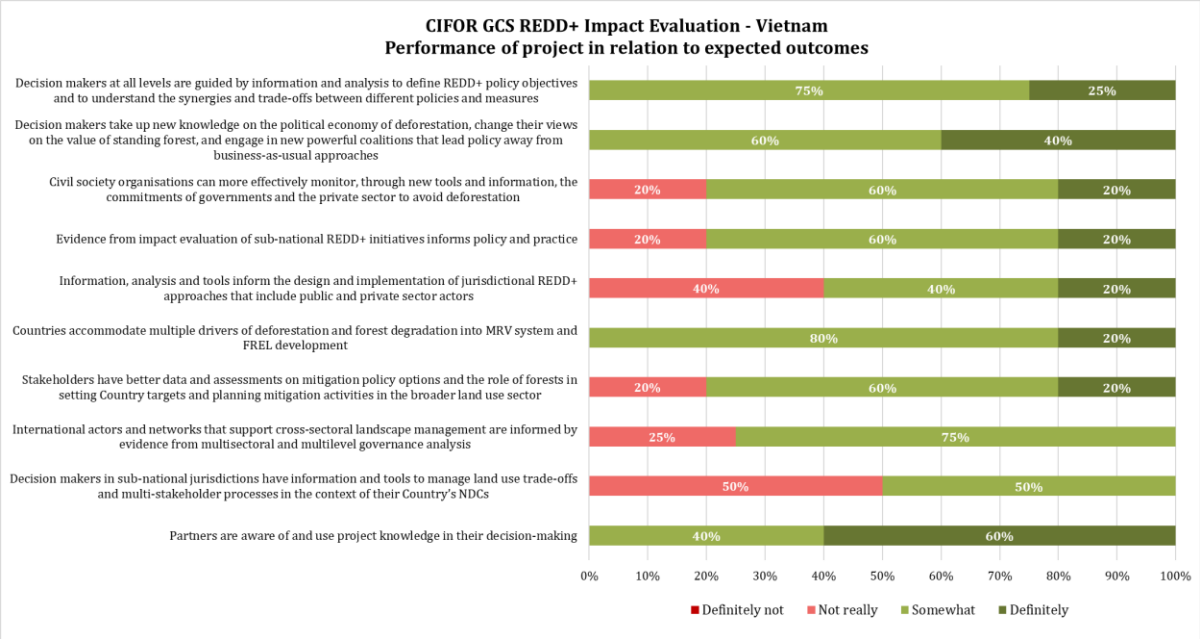

Figure 6: Vietnam specific survey results (question 7) – Performance of GCS project in relation to expected outcomes

According to the Vietnam specific analysis of survey responses to question 7, local stakeholders thought that 'decision makers at all levels were [either 'definitely' (25%) or 'somewhat' (75%)] guided by information and analysis to define REDD+ policy objectives and understood the synergies and trade-offs between different policies and measures' (Outcome 1.1 – first row in the graph above).

This outcome was achieved through several project activities, including:

- Support to policy dialogues and national/consultation workshops (CIFOR, 2016a) on the revision of the Forestry Law (2017) in Vietnam (VIE02, VIE06) included technical inputs to specific chapters under the Forestry Law, such as Payment for Forest Environmental Services (PFES/REDD+), and Forest Valuation and Master Planning for the Forestry Sector (VIE02, VI03).
- Research relevant to the impact assessment of PFES and REDD+ provided scientific information and research results to key local stakeholders through CIFOR's website (VIE03, VIE05).

- Engagement with VNFOREST (the Vietnam Forestry Administration), MARD (the Ministry for Agriculture and Resource Development) and VNFF (the Vietnam Forest Protection and Development Fund) to share information and knowledge, which was subsequently used to contribute in part to the Forestry Law (2017) and the Vietnam Forestry Development Strategy (2021-2030, with a vision to 2050) (VIE02, VIE06, VIE07, VI04; VI06).

- Engagement with a broad range of local stakeholders through national workshops, trainings, capacity building and increased networking opportunities (VIE03, VIE05, VIE06, VIE07).

- Collaborations and partnerships with other local research bodies such as universities (Vietnam National University of Forestry, Ho Chi Minh University of Agriculture and Forestry, Hue University, Nguyen Tat Thanh University), research institutes (Vietnamese Academy of Forest Sciences) and CSOs (Pannature, Centre of Research and Development in Upland Area, Centre for Sustainable Development in Mountainous Area) (VIE03, VIE04, VIE05).

- Research methodology (and practice) in the impact assessment of PFES and REDD+ in Son La, Cat Tien, Hue and Dac Lac provinces (Duong & De Groot, 2020; Thuy Thu Pham et al., 2014; Thuy, Chi, Long, Tien, & Hanh, 2018) (VIE03, VIE05, VIE06), and also PFES' impacts on mangroves (VIE03, VIE05, VIE09, VI04).

- Contributions to the PFES' monitoring and evaluation framework (Pham, et al., 2019) (VIE02, VIE06, VIE07, VI06).

- Additionally, as planned, both the Policy Network Analysis (PNA) database and the country profile indicators were updated for Vietnam, while two additional databases on PFES impact assessment in Son La and Cat Tien National Park in Vietnam were also established and updated (CIFOR, 2019).

Similarly, 40% of Vietnam survey respondents 'definitely' thought that 'decision makers took up new knowledge on the political economy of deforestation, changed their views on the value of standing forest, and engaged in new powerful coalitions that led policy away from business-as-usual approaches', while the remaining 60% of respondents thought that this was 'somewhat' the case (Outcome 1.2 – second row in the graph above).

Some examples of project activities that contributed to achieve this included the following:

- Comparative global evaluations and research which helped policy makers to understand, compare and see examples of how PFES have been developed in other countries provided lesson learning opportunities to VNFOREST, MARD and VNFF (VIE02, VIE04, VIE06).

- Policy dialogues and national workshops shared knowledge and experience on PFES and REDD+ at the international and national levels (VIE02, VIE03, VIE06, VIE07).

- Publications, information, comments and feedback helped with the development of the revised REDD+ national strategy (CIFOR, 2017).

- Engagement with important donors in Vietnam, such as the Japan International Cooperation Agency (JICA), the United States Agency for International Development (USAID) and the German Federal Ministry of Economic Cooperation and Development (BMZ) informed their investments (CIFOR, 2019).

In addition, according to the Vietnam specific analysis of survey responses to question 7, 20% of local stakeholders 'definitely' thought that, as a result of project activities, 'civil society organizations can more effectively monitor, through new tools and information, the commitments of governments and the private sector to avoid deforestation', while 60% of respondents thought that this was 'somewhat' the case and the remaining 20% did 'not really' agree with this statement (Outcome 1.3 – third row in the graph above).

Although survey responses showed mixed stakeholders' views regarding the achievement of this outcome, the following activities were likely to have contributed to outcome 1.3:

- Training course for CSOs, co-organized by CIFOR and Pannature (a Vietnamese NGO), on how to write evidence-based policy briefs (VIE02, VIE04).

- Collaboration with local CSOs, such as CERDA and CSDM, as well as government research think tanks such as the Vietnam Academy of Forest Science, to carry out research on REDD+ and share research findings with different stakeholder groups (CIFOR, 2017).

With regard to module 5, 60% of Vietnam survey respondents 'definitely' thought that 'partners were aware of and used project knowledge in their decision-making', while the remaining 40% of respondents thought that this was 'somewhat' the case (Outcome 5.1 – last row in the graph above).

In Vietnam, CIFOR provided project knowledge to local stakeholders through research reports, publications, policy briefs and info briefs, through national workshops, policy dialogues, consultations and training courses, and also through national TV channels. According to local stakeholders, the majority of the materials were available on CIFOR's website and easy to access for different kinds of audience (VIE03, VIE05, VIE06). Additionally, CIFOR also organized media workshops for journalists (VIE06, VIE07, VIE08), and training courses on monitoring and evaluation for forest officers of the VNFF (VIE06, VIE07).

In 2018, CIFOR organized two training workshops on 'Sharing knowledge on REDD+ progress and the way forward in Vietnam' targeted at different participants: high level editors' in one and government communication officers and journalists in the other (VIE08). These workshops aimed to share scientific findings on REDD+ in a targeted way in order to enable dialogues at different levels between policy makers, researchers, government and communities (VIE02, VIE08).

Furthermore, several national knowledge sharing events were organized by CIFOR in Vietnam (often in collaboration with national partners) over the duration of the project (2016-2020). The events were well attended with up to 120 participants per event and by different stakeholders, including provincial government, central government, research institutes, universities, NGOs and indigenous groups (CIFOR, 2018).

In 2017, a documentary produced by CIFOR on Forest Valuation was broadcast three times on the Vietnam National Television, and 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). Another short documentary on gender equity in the Vietnam forestry sector was broadcast six times between November 2017 and January 2018 (CIFOR, 2017).

In addition, CIFOR also presented research findings on lessons learnt from REDD+ and PFES in Vietnam at the ASEAN Regional workshop on Social Forestry, in Da Nang, in September 2018 (CIFOR, 2018).

2.1.2 Did project activities contribute to policy or practice change in Vietnam?

There was some evidence that CIFOR's research and active engagement with government and non-state actors 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. In addition, CIFOR was also involved in the development of a PFES monitoring and evaluation system. These engagement processes 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 addition, between 2016 and 2020, there were many formal and informal meetings between CIFOR and VNFOREST, VNFF and MARD, showing the role and impact of CIFOR in Vietnam (VIE01, VIE02). For instance, CIFOR was invited to present in an important meeting of the Environment Standing Committee of the National Assembly, together with MARD (VIE02).

2.1.2.1 CIFOR's contributions to the 2017 Vietnam Forestry Law

In Vietnam's previous legal framework, forestry ecosystem services were not 'valued'. The study conducted jointly by CIFOR and MARD provided inputs for the new article (now included in the 2017 Vietnam Forestry Law), emphasizing the need to consider both direct and indirect values of forests and forestry sectors which were overlooked in previous forestry policies (CIFOR, 2017; Pham, et al., 2013).

In 2016, CIFOR, in close collaboration with national partners, co-organized two out of four national consultation workshops to support the policy dialogues on the revision of the Vietnam Forestry Law, especially regarding the assessment of the financial investment in the forestry sector, and forest valuation to revise forest protection and development law (CIFOR, 2016a).

Then, in 2017, CIFOR continued to support MARD in their revision of the Forestry Law providing technical inputs. They co-organized a total of nine national workshops to share research findings to Parliament members, high-ranking provincial leaders and MARD leaders.

In total, CIFOR contributed to 4 out of 12 technical chapters of the 2017 Forestry Law including providing information, analysis and inputs to Chapters 6 and 9 of the law, which aligned closely with CIFOR's research (CIFOR, 2020c) (VIE02, VIE06). They also provided evidence-based inputs to articles 2 and 3 (related to the definition and the rules of PFES); to articles 61-65 (about providers, users, options for methods of payment and management of forest environmental services, as well as rights and obligations of users and providers of PFES); and to

articles 90 and 91 (providing global reviews on forest valuation, and suggesting opportunities for and approaches to forest evaluation in Vietnam) (VIE02) (Viet Nam Administration of Forestry, 2018; CIFOR, 2017).

2.1.2.2 CIFOR's participation in the Vietnam forestry development strategy (2021-2030, with a vision to 2050)

The GCS project supported MARD in reviewing the Vietnam Forestry Development Strategy in 2018-2020 (orientation to 2025), and the review on Financing the Forestry Sector (CIFOR, 2017; Van Hung, et al., 2020).

Later, based on the long-term work in Vietnam through the GCS REDD+ project, CIFOR was the only international organization that was invited by MARD to be part of a national task force to provide technical support and inputs into the upcoming Vietnam Forestry Development Strategy (2021-2030, with a vision to 2050) (CIFOR, 2019).

2.1.2.3 CIFOR's participation in the REDD+ national strategy

The Vietnam National REDD+ Strategy was revised in 2017, and the review of the previous strategy cited CIFOR publications on REDD+ in Vietnam as sources of information for the requirements of its revision. A CIFOR expert was also invited to provide comments and feedback on the development of the revised strategy (CIFOR, 2017).

2.1.2.4 CIFOR's contribution to the Financial Incentive Mechanisms (FIMs) for PFES

CIFOR produced a report on financial incentive mechanisms in Vietnam, aiming to provide lessons learned for designing a benefit-sharing mechanism for REDD+. The study focused on 3 out of 30 existing FIMs in Vietnam's forestry sector: state budget (government funding), Payment for Forest Environmental Services – PFES and a multi-donor trust fund (Trust Fund for Forest – TFF). The report analyzed the distribution of financial incentives, the involvement of stakeholders at multiple levels in fund distribution, and their views of this process (CIFOR, 2017).

A technical workshop was also organized with representatives from international NGOs, local CSOs, government agencies and research institutes to gather feedback on the results of the research on FIMs (CIFOR, 2017). This work continued through interviews at different levels in Ben Tre, Ca Mau and Tra Vinh provinces, as well as research on multilevel REDD+ governance land use planning. Moreover, a Vietnamese PhD student was also supported by CIFOR to conduct field research on distribution, use and challenges associated with attaining the objectives of FIMs (CIFOR, 2017).

2.1.2.5 CIFOR's participation in the national PFES monitoring and evaluation system

Since 2008, PFES have been implemented in more than 60 provinces in Vietnam and have contributed to more than 20% of the total funding for the forestry sector. However, due to a lack of research on PFES's effectiveness, MARD asked CIFOR to conduct research in assessing PFES's impacts in order to inform the development of the national PFES monitoring and evaluation framework. Together with Winrock, CIFOR worked with Son La Forest Protection and

Development Fund to carry out research 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 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).

In 2019, CIFOR's PFES monitoring and evaluation framework was taken up by the USAID-funded Vietnam Forests and Deltas Program and the Vietnam Forest Protection and Development Fund (VNFF) to develop a comprehensive M&E system, roll out a new web-based M&E platform and train government officers in its use (CIFOR, 2019).

Through the GCS REDD+ project, CIFOR supported MARD in the development of two national guidelines related to the national Payment for Forest Environmental Services (PFES) policy, focused on monitoring and evaluation (M&E) and financial management respectively. These guidelines were approved by the Vietnamese government in 2019 and are being adopted by all provinces in the country (CIFOR, 2019).

2.1.3 Positive unexpected outcomes in Vietnam

CIFOR's involvement in the revision process of the 2017 Forestry Law was not expected during project design (CIFOR, 2020)(VIE02, VIE06, VIE07). Similarly, CIFOR was not expecting to be invited to participate in the editorial board of the Vietnam Forestry Development Strategy (2021-2030, with a vision to 2050) (VIE02).

In 2018, a CIFOR's national staff member was awarded a prize from the Vietnam government due to CIFOR's contributions to forestry development and forest conservation. There were only two international organizations that received this prize, GIZ and CIFOR (Ducenne, et al., 2019) (VIE01, VIE02, VIE07, VI06).

2.1.4 Negative unexpected outcomes in Vietnam

Due to COVID 19 and social distancing in 2020, some of CIFOR's planned activities in Vietnam were postponed, including an event on mangroves (VIE08), field surveys and face-to-face seminars (VI02).

2.1.5 Were decision makers equipped by the project's knowledge processes and products in Vietnam?

In Vietnam, decision makers were informed and influenced by the project's knowledge processes and products through national workshops, policy dialogues, consultation reports, policy briefs, info briefs, and CIFOR's website more generally.

In particular, policy makers (VNFOREST, MARD, VNFF) were invited to participate in and present at national workshops and policy dialogues on PFES, REDD+ and M&E mechanisms, which were organized by CIFOR and local partners (CIFOR, 2016a; CIFOR, 2017)(VIE02, VIE07). Additionally, CIFOR's research results on PFES were also presented at various sub-national (as well as national) conferences, and many decision makers working at different levels joined them.

More generally, Vietnamese policy makers (MARD, MONRE – Ministry of Natural Resource and Environment, VNFOREST, VNFF) seemed to be particularly interested in CIFOR's independent, global, analytical research (VIE02, VIE03), and the graph below shows that, according to local stakeholders, GCS project activities informed and influenced many different sectors in Vietnam.

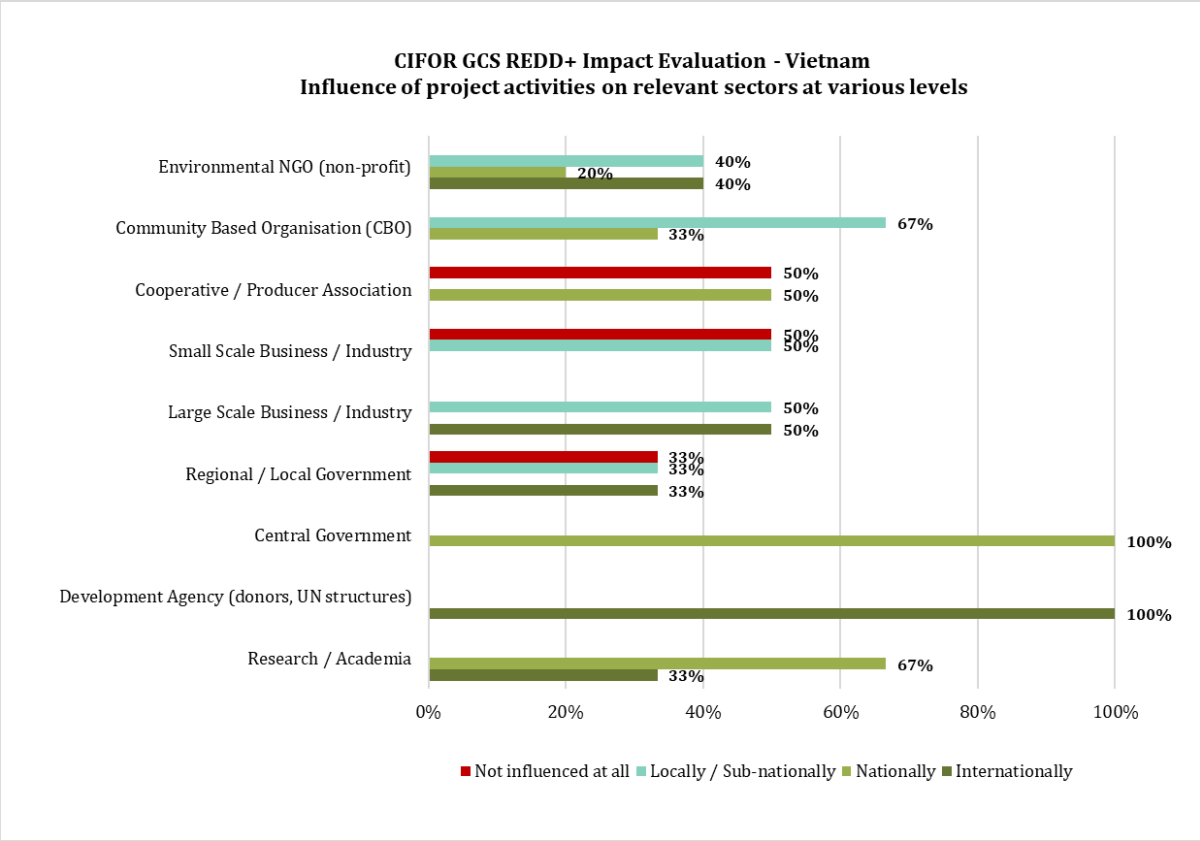

Figure 7: Vietnam specific survey results (question 11) – Influence of GCS project activities on relevant sectors at various levels

Looking at the Vietnam specific analysis of the survey results in the graph above, it seemed that all the respondents thought that the Vietnamese central government was influenced at the national level (100%), while donors were influenced at the international level (100%). Similarly, Vietnamese survey respondents thought that research/academia were also influenced by the GCS project, either nationally (67%) or internationally (33%). The sectors that, according to some local stakeholders, were not particularly informed (or 'influenced at all') by the GCS project in Vietnam were producer associations (50%), small scale business (50%) and regional/local government (33%).

Some local stakeholders thought that producer associations were being influenced at the national level (50%), while small scale business and regional/local government were both influenced by the GCS project at the local/sub-national level (50% and 33% respectively).

Therefore, it appears that the GCS project was particularly successful both at the national and international levels in Vietnam, but perhaps slightly less so at the sub-national level.

2.1.6 Lessons learned about engaging decision makers in Vietnam

Building long-term trust with policy makers (MARD, MONRE, VNFOREST, VNFF) was of crucial importance. For instance, CIFOR has worked with MARD for 10 years and built a close relationship and trust. As a result, CIFOR's support was a continuous and effective 'process' to provide scientific evidence for policy making on REDD+, PFES, FLEGT, etc. (VIE02).

More generally, Vietnamese stakeholders pointed out that good communication with local stakeholders was also key and that CIFOR had good relationships with governmental organizations, universities, research institutes and CSOs in Vietnam. Most of all, CIFOR shared its research with local stakeholders and supported them in capacity building.

CIFOR also experimented using alternative communication channels in Vietnam, such as national television (VTV2 – a Vietnamese channel on training and education) in order to disseminate CIFOR's research, raise awareness of forest and environmental issues, as well as raising the voices of local communities and ethnic groups. Moreover, CIFOR also organized training activities for journalists and reporters of the national television (VIE02, VIE08).

All these different and tailored communications strategies (with policy makers, local stakeholders and the wider public respectively) helped CIFOR be known as a trustworthy institution nationally for many different stakeholders, including policy makers, who in some cases requested daily engagement and consultation (VIE02).

Nevertheless, engagement with policy makers needed to be targeted to the country's priorities, and the practical demands and requests of the policy makers and managers themselves. For example, providing global knowledge and experience, as well as systematic research and/or innovative ideas to policy makers could help them in their decision-making processes (VIE02, VIE04). Policy research needed to be flexible because policy demands change and new demands are requested (VIE02), while using media (i.e. national TV channels) supported the engagement with policy makers by raising awareness nationally (VIE04).

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

Generally, most interviewees agreed that CIFOR's research was important, timely, well targeted to Vietnam's context, and easy to access for all stakeholders (VI01, VI02, VIE03, VIE06).

Similarly, according to the analysis of Vietnam specific survey responses shown in the graph below, all the respondents thought that the research was either 'definitely' (40%) or 'somewhat' (60%) timely, and either 'definitely' (20%) or 'somewhat' (80%) targeted to the Vietnam's context. In addition, 50% of respondents thought that the research was 'definitely' easy to

access for everyone, while 33% of the respondents disagreed and thought that the research was 'not really' easy to access for everyone.

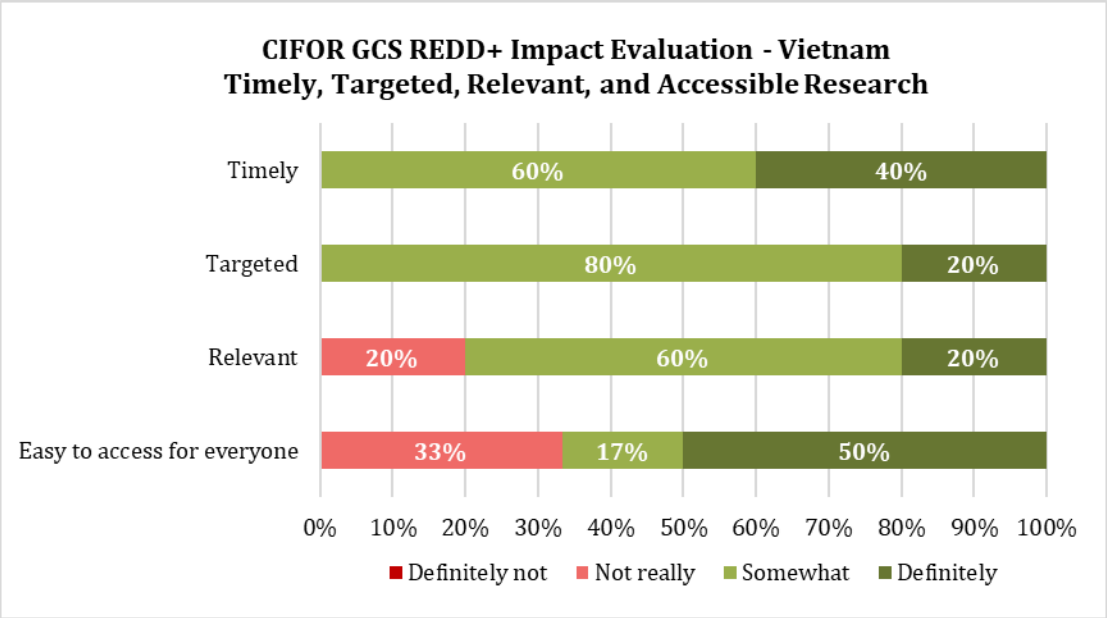

Figure 8: Vietnam specific survey results (question 20) – Timely, Targeted, Relevant and Accessible Research

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

2.2.1.1 Factors contributing to the relevance of the research to the Vietnam context

CIFOR worked closely with policy makers (VNFOREST, VNFF, MARD) so they could focus research to address their political demands (VIE02).

CIFOR conducted collaborative research on PFES and REDD+ with Vietnam universities (Vietnam National University of Forestry, Ho Chi Minh University of Agriculture and Forestry, Hue University, Nguyen Tat Thanh University), research institutes (Vietnamese Academy of Forest Sciences) and CSOs (Pannature, Centre of Research and Development in Upland Area, Centre for Sustainable Development in Mountainous Area) (VIE03, VIE05, VIE04).

CIFOR's long-term experience in working with decision makers in Vietnam (VNFOREST, VNFF, MARD) has been key, as it meant that CIFOR was often invited to discussions, policy dialogues and national workshops to provide scientific evidence and/or policy consultations on PFES and REDD+ (VIE02).

2.2.1.2 Factors hindering the relevance of the research to the Vietnam context

Policy making is a complicated process, and policy demands are always 'changeable', while this project proposal was designed (and 'fixed') for a period of four years. This might have hindered the relevance of the research. Therefore, the policy research needed to be flexible (VIE02).

Due to significant differences between Vietnamese CSOs in terms of capacity, action plans and vision, it was challenging for CIFOR to collaborate with them as well as building their own capacity on PFES, REDD+, FLEGT, etc. (VIE04).

In addition, as CIFOR is an international organization, some administrative aspects such as permission or acceptance by local communities during the project implementation were difficult as it was not easy for international organizations to work with some indigenous communities in remote areas of Vietnam due to lack of trust (VIE03). Moreover, study sites were often in remote and mountainous areas, thus there were many 'practical' difficulties in collecting data and connecting with local people (VIE03).

2.2.2 How did the research contribute to national and sub-national REDD+ processes?

2.2.2.1 Factors contributing to the relevance of the research nationally and sub-nationally

According to the Vietnam specific analysis of the survey results shown in the graph below, CIFOR's research approach worked well both at the national and international levels in Vietnam as 100% of the respondents thought that the research carried out by the CIFOR GCS REDD+ project in Vietnam 'somewhat' had an impact on REDD+ processes internationally. 75% of respondents thought that this was the case nationally, while the remaining 25% of respondents thought that GCS research 'definitely' had a high impact on REDD+ processes nationally. At the sub-national level, the results showed that, while 75% of respondents thought that the research either 'definitely' (25%) or 'somewhat' (50%) had an impact, the remaining 25% thought that the research was 'not really' impactful sub-nationally. Therefore, it seemed that, overall, the research was much more impactful at the national and international levels rather than the sub-national level in Vietnam.

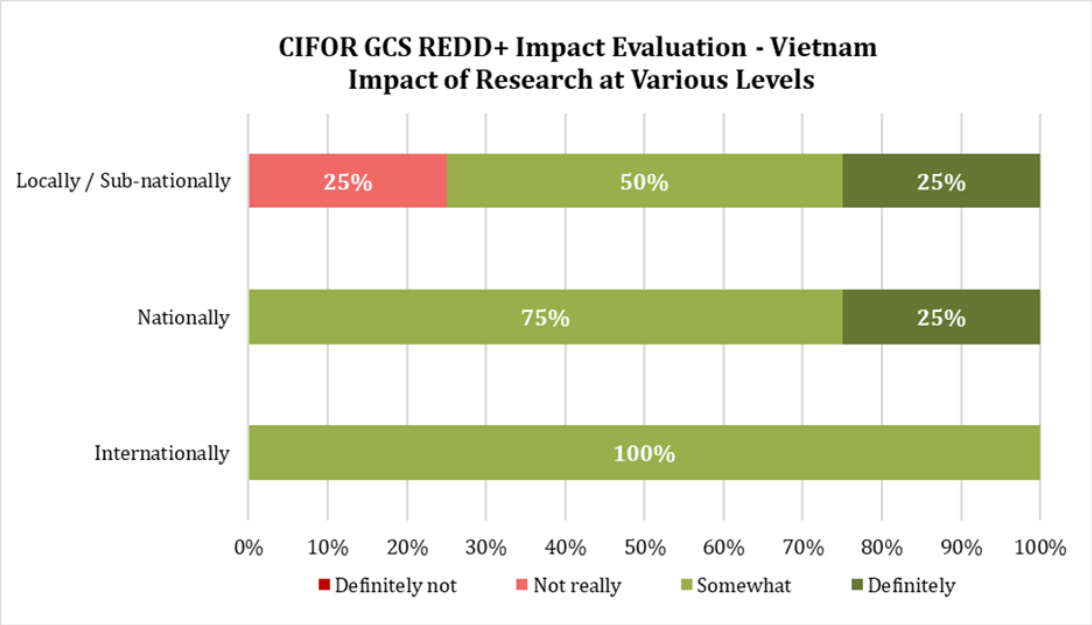

Figure 9: Vietnam specific survey results (question 18) – Impact of GCS research at various levels

Additionally, CIFOR also cooperated with UNREDD+ Vietnam on REDD+ implementation in Vietnam. However, this was not a long-term strategy for CIFOR since the Vietnamese government considered UNREDD+ as a project with an unspecified end date. PFES though is considered as a policy process which is binding by law (Viet Nam Administration of Forestry, 2018) and so CIFOR's research focused more on supporting the development of PFES policies in Vietnam, indirectly contributing to REDD+ processes nationally and sub-nationally (VIE02).

CIFOR's collaborations with policy makers from MARD, VNForest and MONRE helped CIFOR's research to be focused on policy makers' political and practical demands. As a result, together with Winrock and GIZ, CIFOR was one of the 'consultative' organizations for VNFOREST to discuss policies related to PFES and REDD+. In particular, CIFOR provided a global outlook and experience, as well as consultative reports on social safeguards, legal frameworks, and integration of gender related concerns in order to support the PFES process (VIE06, VIE07). This contributed to achieving effective long-term impacts through the implementation of PFES policies at national and sub-national levels in Vietnam (VIE02).

Strong linkages and partnerships with central agencies, particularly the VNFF and the VNForest, proved to be key, both prior to and whilst conducting studies. Consultation workshops with broad stakeholder participation were as important as deep consultations with central agencies in order to understand the needs of both sides and try to address them all (VIE04).

2.2.2.2 Factors hindering the relevance of the research nationally and sub-nationally

Capacity of some local stakeholders at the sub-national level was limited and therefore CIFOR needed to provide training before being able to collaborate with them. This led to extra time and extra budget required for unexpected activities (VIE02).

There were some changes in working positions of policy makers during the timeframe of the project. Thus, after any changes, CIFOR needed time for additional communications and networking in order to re-build collaboration and trust (VIE02).

Finally, CIFOR's research focused mainly on PFES in Vietnam, while there were many other aspects of forest protection and development that could be explored further in Vietnam (VIE03).

2.3 Vietnam key recommendations for 2021 and beyond

2.3.1 Continued validity of 2018 mid-term review recommendations

Respondents' comments in Annex 2 – 'Overview Context and Influence in Targeted Countries' of the mid-term review (Ducenne, et al., 2019) were partly still valid, especially on the following four points:

- As an international research organization, CIFOR focused on providing highly rigorous and scientific, globally comparative, comprehensive inputs for central government officers to support them in policy and/or decision-making processes. However, at least officially, CIFOR did not devote much attention to policy advocacy, potentially also because of resource and/or funding constraints (VIE01, VIE02).

- CIFOR Vietnam could use more social media channels, such as Facebook and Twitter, for communications since these channels are getting popular in Vietnam.
- CIFOR implemented collaborative research projects with universities and research institutes. These help to build up partners' capacity if promoted and maintained in the medium-long term.
- Although MRV was improved in phase 3 (Thuerer & Rouge, 2020), looking at the GCS theory of change to assess the project's progress (Young & Bird, 2015), stronger support to promote the implementation of MRV was still relevant at both national and sub-national levels in Vietnam.

In addition, respondents' comments in Annex 6 – 'Opportunities for improvements suggested by key informants' of the mid-term review (Ducenne, et al., 2019) continued to be widely shared by the stakeholders consulted in this current study. Please see the table below for more details.

Table 2: Opportunities for improvements suggested by key informants of the mid-term review (Ducenne, et al., 2019) that continue to be valid in Vietnam

Highlighted points	Still valid in Vietnam	Evidence
Knowledge Co-Producers		
Lose and gain and opportunity cost of REDD+ implementation should be carefully taken into account from governmental agency and policy maker's point of view	Valid	VIE02
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
Implementers		
More attention/research on private sector links, including agribusiness and international carbon markets	Valid	VIE06
Perform more research on financing aspects of REDD+ implementation (document possible domestic financing mechanisms, etc.) and straighten capacities in applying to funding calls	Valid	VIE03, VIE04, VIE06
Engage with private sector and/or minorities where many opportunities and issues reveal the true daily challenges of implementation	Valid	VIE02, VIE03, VIE08

2.3.2 2021 final evaluation review recommendations (phase 3)

CIFOR's science-based research approach has been praised as 'essential' to inform forest policies processes in Vietnam, including PFES and REDD+ (VIE01, VIE04). However, aside from PFES, REDD+ and FLEGT, CIFOR could expand its research to cover other aspects of forest protection and development in Vietnam, including, for example, silviculture, forest plantation, forest planning and forest certification (VIE03).

A couple of local stakeholders also suggested conducting more research on payments for new services such as forest carbon sequestration services, aquaculture, tourism, and water for industrial plants, to provide scientific evidence and inputs for institutionalizing these services through policies in Vietnam (VIE06, VI06). In addition, it was also suggested to conduct more research on the integration of PFES and solutions for sustainable livelihoods to help local communities to effectively use financial resources from PFES (VIE06).

Monitoring and evaluation indicators were established for the Vietnam Forest Protection and Development Fund, which is representative of forest owners. However, as forest owners are both service providers/sellers and forest protectors, they could be further involved when developing M&E indicators and frameworks (VIE06, VI03).

More specifically, a local stakeholder suggested that CIFOR could provide more financial and technical support, including on how to apply technologies such as GIS and remote sensing in PFES implementation (VIE03).

Further supporting and building capacity for CSOs to improve the voice of NGOs in policy making processes in Vietnam was also suggested by another local stakeholder (VIE04). In particular, CIFOR activities could further engage with and empower women, poor people, and ethnic communities, to increase their participation and awareness of their key roles (VIE04).

Supporting the set-up of the legal framework through consultation workshops, field surveys as well as technical and financial guidelines for Vietnam to be able to receive and use REDD+ funds, was also mentioned by a local stakeholder as a key area of work (VI04).

2.3.3 Learnings for the next phase of the project (phase 4)

Following CIFOR's positive impacts in Vietnam on PFES, and indirectly on REDD+ processes, future phases of the project could focus on building on work already undertaken in the country, understanding long-term impacts of project interventions, and fostering lesson sharing and learning exchanges between different countries participating in this project. This could include how to overcome barriers that need to be addressed for progress to be achieved in the forestry sector, such as the lack of financial and human resources, as well as the weak coordination and collaboration amongst different sectors, preferably through consultation workshops at national, provincial, district and community levels to gather feedback from different actor groups (VIE02, VIE04).

3 Peru Country Analysis

Eleven interviews with local stakeholders, plus a Stories of Change specific interview, were carried out in Peru. There were 6 survey responses.

Key summary points

- Information generated and disseminated by the GCS project contributed to support different areas of policy making.
- The project had more influence at the national level through engagement with the central government, and to a lesser extent at the sub-national level through engagement with regional governments, while local governments were generally not really influenced.
- There was wide recognition of the knowledge processes and products generated and disseminated by the GCS project.
- Tools developed and shared by the GCS were very well received in Peru and their use was incorporated, amongst others, by Natural Protected Areas, as they demonstrated a reduction in management costs and an improvement in the quality of planning.
- 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).
- Module 3 activities (MMRV) seemed to have been particularly successful in Peru, with for example, precise and reliable data gathering and data sharing on peatlands (*aguajales*) informing the update of the National Wetland Conservation Plan that was being developed.
- All survey respondents agreed the GCS had led to 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.
- During the development of the multi-stakeholder forums' participation analysis tool, there was coordination and alignment with the Ministry of Environment in order to generate information that would help fill gaps regarding social safeguards. However, a key official within the Ministry of Environment responsible for the development of the Wetland Conservation and Management Plan, seemed to be unaware of the project and its results.
- One success factor was that the CIFOR project team planned the implementation of the research and activities to disseminate the results with local stakeholders.
- Lack of knowledge and awareness on REDD+ by regional authorities and a low or slow participation of local authorities who considered REDD+ to develop from a sub-national level, has been 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.

3.1 Did the project achieve intended outcomes and what lessons were learned about policy engagement (nationally and sub-nationally)?

According to local stakeholders interviewed, decision makers at different levels were guided by scientific research to formulate public policies or propose changes to existing ones in Peru. In fact, there was consensus among most of those interviewed that the information generated and disseminated by the GCS project contributed to support different areas of policy making. New evidence also supported multi-stakeholder forums (MSFs) in Peru (PER02, PER04, PER05, PER06, PER07, PER08, PER09, PER10, PER11, PER12).

According to the interviewees, the project had more influence at the national level, through engagement with the central government, and to a lesser extent at the sub-national level through engagement with regional governments, while local governments were generally not really influenced (apart from in Loreto – to a certain extent). Similarly, influence on small forest users (i.e. communities, small companies) was limited.

Despite these results, and the general appreciation of the value of the project, it was not entirely clear, especially at the sub-national level, the extent to which public policy adjustments were a direct consequence of the GCS project, rather than the result of the concurrence of other efforts.

There seemed to be wide recognition of the knowledge processes and products generated and disseminated by the GCS project (PER02, PER04, PER05, PER06, PER07, PER08, PER09, PER10, PER11, PER12). However, the level of influence on policies or concrete actions was not clearly evidenced, either because there were still pending decision processes or because political changes have significantly affected the implementation or continuity of sub-national policies.

Additionally, the GCS project was very effective in showing the contributions of multi-stakeholder and multi-level forums to the effectiveness, efficiency and equity of local territorial management, especially in relation to Natural Protected Areas. In fact, the tools developed and shared by the GCS were very well received in Peru and their use was incorporated, amongst others, by the management teams of Natural Protected Areas since they demonstrated a reduction in management costs and an improvement in the quality of planning (PER06).

3.1.1 Were project outcomes realized?

In Peru, project activities covered all the 5 modules and generated a large number of publications. Module 4 (integration of REDD+ measures with development objectives at the landscape level) was particularly active in Peru through the work on multi-stakeholder forums and their potential to improve landscape management and on jurisdictional approaches. Module 3 (MMRV) related activities in Peru developed research on peatlands as carbon sinks, as well as providing improvements in the estimation of carbon stock from land use changes and a methodology for the analysis of deforestation drivers (Robiglio, et al., 2021). Module 1 (effective policies and measures at the national level) and Module 2 (assessment of sub-national and private REDD+ initiatives) were perceived to be less active in Peru.

According to the interviewees, as a result of project activities technical and political authorities' knowledge improved both at the national and sub-regional levels but not at the local level. However, this did not always translate into public policies, or, if it was the result of

collaboration between different actors working towards the same objectives (reduction of deforestation and forest degradation), then it was harder to attribute this to CIFOR GCS alone. An example of this was the jurisdictional approach in the regions of San Martin, Loreto, Amazonas and Huanuco, where international cooperation – either directly (Earth Innovation Institute) or through national NGOs (*Derecho*, *Ambiente y Recursos Naturales*) –promoted the jurisdictional approach and low emission development plans at the sub-national level.

Module 3 activities (MMRV) seemed particularly 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. As a result, at the regional level, Loreto's Concerted Regional Development Plan (PDCR) included concrete actions to improve the conservation and sustainable management of *aguajales*. In addition, the results of years of research on *aguajales* carried out by IIAP and CIFOR (including through the SWAMPS project) supported the officials of the National Service of Natural Protected Areas (SERNANP), under the Ministry of Environment (MINAM, *Ministerio del Ambiente*), who took part in the working group for the preparation of the NDCs implementation guidance report (Grupo de Trabajo Multisectorial, 2018). 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).

The extensive research and documentation on multi-stakeholder forums also informed and influenced technical officials at the regional level as well as the Heads of Natural Protected Areas (Sarmiento Barletti, et al., 2020a). This was confirmed to a certain extent by the Peru specific analysis of the survey responses, as shown in the third and second row from the bottom in the graph below, since the majority of local stakeholders perceived that the GCS project and its research either 'definitely' (33%) or 'somewhat' (50%) achieved Outcome 4.1 – multilevel governance – 'international actors and networks that support cross-sectoral landscape management were informed by evidence from multisectoral and multilevel governance analysis.'

It seemed less clear to survey respondents the extent to which 'decision makers in sub-national jurisdictions had information and tools to manage land use trade-offs and multi-stakeholder processes in the context of their Country's NDC as a result of project activities (Outcome 4.2 – informed landscape management). In fact, 67% of respondents thought that this was 'somewhat' the case, while 34% in total perceived that this was either 'not really' (17%) or 'definitely not' (17%) true in their own experiences. This might be due to the fact that some processes are still ongoing and therefore some local stakeholders might still not be fully aware of their impacts.

According to Peru stakeholders' survey responses (seventh row in the graph below), the GCS project either 'definitely' (40%) or 'somewhat' (60%) contributed to the achievement of Outcome 3.2 – improved AFOLU information – '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.'

Additionally, while the GCS project was generally perceived to have 'somewhat' (83%) influenced policies and practices related to REDD+ at the national level (Module 1 – Outcome

1.2 – transformational change – second row in the graph), Peru survey respondents indicated that GCS project activities had a greater impact on CSOs, as 50% of respondents 'definitely' thought that 'civil society organizations [could] more effectively monitor, through new tools and information, the commitments of governments and the private sector to avoid deforestation' (Module 1 – Outcome 1.3 – empowered CSOs – third row in the graph).

Interestingly, 100% of Peru survey respondents thought that 'partners [were 'somewhat'] aware of and used project knowledge in their decision-making' (Module 5 – Outcome 5.1 – partners engagement – last row in the graph below).

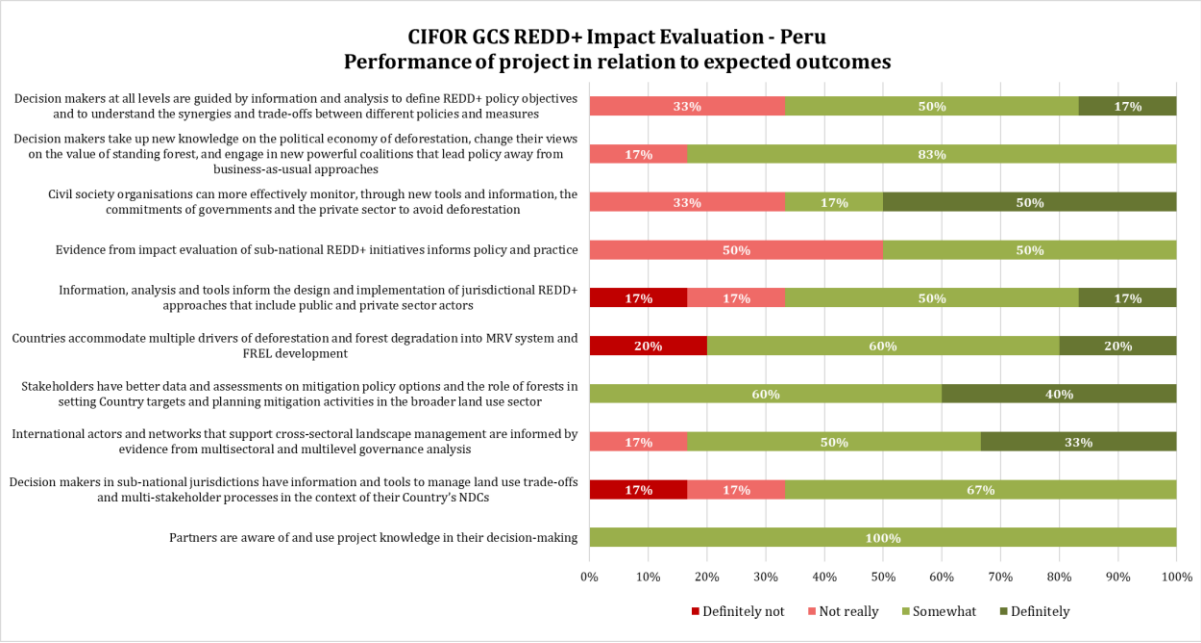

Figure 10: Peru specific survey results (question 7) – Performance of GCS project in relation to expected outcomes

3.1.2 Did project activities contribute to policy or practice change in Peru?

As evidence is limited, it is difficult to clearly see the influence of the project on public policy decisions and/or policy actions. This was potentially due to three reasons:

1. Several policy processes were still ongoing (such as the update of the Reference Level or the NDC, which was last submitted in December 2020 (WRI, 2020a).

2. Many were part of larger processes (such as the jurisdictional approach in the Ucayali, San Martin and Loreto regions).

3. There was no detailed description within a national or regional policy document that provided evidence of the direct contribution of the GCS project (such as the development plans of Loreto or the regional climate change strategies of San Martin and Ucayali).

However, many public and private stakeholders consulted confirmed the project's positive contribution while only a few private sector implementers of REDD+ initiatives disagreed, denying positive impacts on their own areas of interest or performance.

Looking at Module 3 impacts, following recommendations from the studies conducted by the GCS REDD+ project on peatlands, the recent Law of Multisectoral and Decentralized Management of Wetlands (November 2020) included Amazonian peatlands (*aguajales*). The elaboration of this law by MINAM (*Ministerio del Ambiente* – Ministry of Environment) seemed 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 *aguajales* (Amazonian palm forests) (PER10). This shows the close link between the Module 3 knowledge sharing activities on peatlands in Peru and the technical research on peatlands and greenhouse gas (GHG) dynamics in undisturbed and degraded palm-dominated swamp forests, which led to the acknowledgement by the Government of Peru (GoP) of the need to formally recognize and protect its peatlands – thus directly contributing to policy change. In practice, the primary CIFOR scientist involved in the technical side of the research on peatlands was requested by the GoP in 2019 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 Peatland Center (ITPC) (CIFOR, 2019).

Precise and reliable data gathering and data sharing on peatlands (*aguajales*) also informed the development of the National Wetlands Strategy of Peru (2015)[4] (PER12) (ECLAC-OECD, 2016). Therefore, it seemed that the understanding and 'response' of public officials involved in national and/or sub-national policy making improved recently, and it appeared that this was at least partly attributed to GCS project activities. In fact, the research on peatlands developed and disseminated through this project fed into the work of the technical teams of the Loreto regional government and the Ministry of the Environment.

The GCS project co-produced and shared valuable information to help reduce information gaps related to MMRV, conducting research with collaborators that responded to the needs of local stakeholders. However, one interviewee also pointed out that their organization had studied the carbon stock of the *aguajales* independently of the GCS project for years, both in collaboration with CIFOR's SWAMP project and through its own initiative (PER12).

Cross-module research on *aguajales* in Amazonia provided information and influenced regional public practices, motivating the expansion of the scope of the '*Pro Aguaje*' Conservation Project of the Regional Government of Loreto. Indeed, the research was incorporated in the budget and regional operational plan for the period 2020 - 2022. This was partly due to the fact that the ARA (Regional Environmental Authority) had increased its consideration of the *aguajales* as a result of the experiences gained through the activities of the GCS project, both regarding the conservation value of the *aguajales* and in 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

[4] In 1991 Peru ratified the Convention on Wetlands of International Importance, also known as the Ramsar Convention, and at the beginning of 2015 it adopted a National Wetlands Strategy to promote the conservation and sustainable use of such ecosystems. https://www.oecd.org/environment/country-reviews/16-00312-environmental%20performance%20review-peru-web.pdf

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).

In addition, the Module 4 tool '*How are we doing*?' for monitoring multi-stakeholder participatory processes was particularly successful in Peru as an ad hoc version of the tool was developed and formally adopted as an instrument to strengthen participatory management in SERNANP within MINAM (PER06). A result of the close working relationship and collaboration between CIFOR and SERNANP, the GCS REDD+ Module 4 reflexive learning tool for multi-stakeholder forums was developed for use by the 75 Management Committees of Peru's Protected Areas (13.7% of Peru's territory). In practice, in 2020, the tool, 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 then jointly piloted and implemented by CIFOR and SERNANP in the sub-national regions of San Martin and Madre de Dios, and more widely.

CIFOR collaborated with the Organización Nacional de Mujeres Indígenas Andinas y Amazónicas del Perú (ONAMIAP; Peru's only indigenous organization for women), and participated in their capacity development events. This collaboration also fed into the development of the MSFs tool, including co-developing indicators that were included in the MSFs tool. ONAMIAP has now 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).

GCS contributed to the greater visibility of community and gender issues within climate change mitigation measures reflected in the final report of the temporary Multisectoral Working Group in charge of generating technical information to guide the implementation of the Nationally Determined Contributions (Grupo de Trabajo Multisectorial, 2018). This was mirrored by the Peru specific analysis of the survey results (answers to questions 16 and 17 shown in the graph below), according to which, 50% of Peru survey respondents thought that project activities 'definitely' fostered an improvement in gender and/or power imbalances, while 33% of respondents agreed that this was 'somewhat' the case.

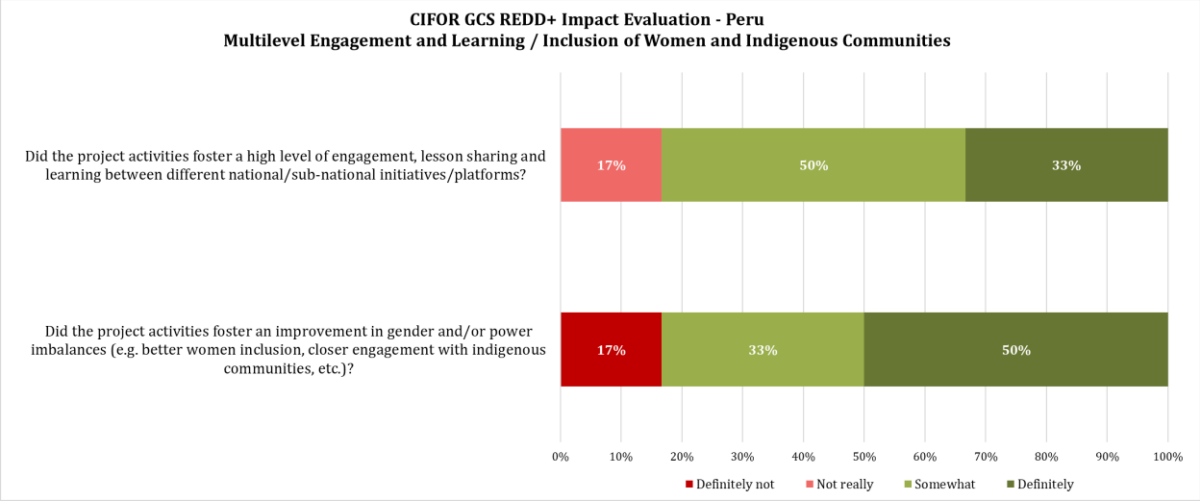

Figure 11: Peru specific survey results (questions 16 and 17) – Multilevel engagement and learning / Inclusion of women and indigenous communities

83% of survey respondents agreed that project activities fostered a high level of engagement, lesson sharing and learning between different national/sub-national initiatives/platforms. Nonetheless, although the research on the impacts of the REDD+ project in the Brazil nut 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).

Regarding Module 2 activities and outcomes, Peru was one of the priority countries for both the evaluation of the impacts of local REDD+ initiatives on forests and people (linked to Outcome 2.1 – please see more details further down below), and the global survey of subnational REDD+ and private sector initiatives (linked to Outcomes 2.1, 2.2 and 4.3[5]). The latter built on two tools: the jurisdictional profile survey, which was implemented by CIFOR in five regions in Peru (San Martin, Loreto, Ucayali, Madre de Dios and Amazonas), and the CCBA Sustainable Landscapes Rating Tool (SLRT), which was also implemented in five regions in Peru (CIFOR, 2017; CIFOR, 2018; CIFOR, 2019).

The global survey of subnational REDD+ and private sector initiatives[6] is a partnership between CIFOR, Earth Innovation Institute (EII), the Governors' Climate and Forests (GCF) Task Force and the Climate Community and Biodiversity Alliance (CCBA). Preliminary findings were presented at the 2017 GCF Task Force Annual Meeting in Balikpapan, Indonesia, as well as at the Oslo Tropical Forests Forum (June 2018), while the full report on the state of jurisdictional sustainability (Stickler, et al., 2018) was launched in September 2018 at the Global Climate Action Summit and the GCF Task Force Meeting in San Francisco, California (CIFOR, 2018).

[5] Both private sector outcomes (2.2 and 4.3) were integrated into this jurisdictional sustainability assessment work in 2018 (2018 Annual Progress Report).

[6] Also referred to as the assessment of jurisdictional sustainability across the tropics.

Since the assessment findings were incorporated into the GCF Task Force Knowledge Database and EII's Tropical Forest Champions Platform, these had the potential to inform and possibly influence policy and or practice change, particularly in the jurisdictions involved in this study, including those Peruvian provinces (CIFOR, 2019).

CIFOR's database on REDD+ policies as well as on Policy Network Analysis (PNA) was also 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). This showed the impact of CIFOR high-quality scientific research in improving research practices in targeted countries.

3.1.3 Positive unexpected outcomes in Peru

One local stakeholder interviewed noted that the multi-stakeholder forums and the '*How are we doing?*' tool were implemented in areas beyond those initially included within the project's scope, involving groups of stakeholders from natural protected areas on the coast as well as from the highlands (PER06).

Additionally, regarding jurisdictional approaches, one interviewee noted that the information produced exceeded expectations at the beginning of the study. Although integration analysis for these data sets has yet to be carried out, these data made it possible to provide regional governments with useful and easy-to-use information to guide their decisions (PER08).

More specifically in the Loreto region, research and knowledge sharing on the importance of '*aguajales*' (palm tropical forest peatlands) had an impact on local governments, who were previously unaware of the importance of these ecosystems, not only environmentally but also economically and socially for the local population, especially for rural women (PER10).

3.1.4 Negative unexpected outcomes in Peru

One interviewee mentioned that the expectations of benefits from REDD+ have generated some level of speculation, but this comment did not refer to the GCS project itself (PER02). Additionally, another stakeholder pointed out a few negative impacts of the study, as he questioned its methodology and its results, but not really the impacts of the GCS project (PE03).

3.1.5 Were decision makers equipped by the project's knowledge processes and products in Peru?

According to several local stakeholders interviewed, it seemed that the tools, publications and knowledge sharing activities of the GCS project informed public officials and policy makers (PER10, PER12, PER06, PER07). For instance, Earth Innovation Institute (EII), one of CIFOR's partners, developed materials for information sharing on jurisdictional approaches with regional authorities. These Jurisdictional Sustainability Profiles allowed rapid and effective

communication with the highest political authorities in the Loreto, Madre de Dios and San Martin regions. These materials were the result of close collaboration between EII, CIFOR, GCF Task Force and CCBA (Module 2).

In other cases, CIFOR published summary notes and info-briefs, which were also distributed at events and meetings to share the results with national and sub-national authorities, as well as with a broader public (forestry and environmental sector in particular). These materials were perceived to be of high quality and easy to use by non-specialized users (Sarmiento Barletti, et al., 2020).

Additionally, between November and December 2020, CIFOR organized and ran four digital sessions entitled '*REDD+ in Peru – Lessons from a decade of research and collaborative work*', during which the results from six studies, as well as the experiences on the testing and implementation of the MSF tool were shared. All the materials were then made available both on video platforms (CIFOR, 2020) and on CIFOR's website (CIFOR, 2020a).

Findings from the analysis of Peru specific survey results (illustrated in the graph below) confirmed interviewees' perspectives on the influence of the GCS project on the public sector as 83% of survey respondents thought that central government was influenced at the national level (and 17% sub-nationally). 50% of Peru survey respondents perceived regional/local government to be influenced nationally, and the remaining 50% sub-nationally. Both donors (60%) and research/academia (50%) were perceived to be primarily influenced at the international level, whereas, according to local stakeholders, NGOs (50%) and CBOs (60%) were mainly influenced at the sub-national level. However, overall, some Peru survey respondents thought that cooperative/producer associations (75%), small scale business/industry (75%), large scale business/industry (60%) and, to a lesser extent, CBOs (20%) were 'not influenced at all' by GCS project activities, even though some local stakeholders disagreed and perceived these sectors to be at least partially influenced at the sub-national level – CBOs (60%), large scale business/industry (40%), small scale business/industry (25%) and cooperative/producer associations (25%).

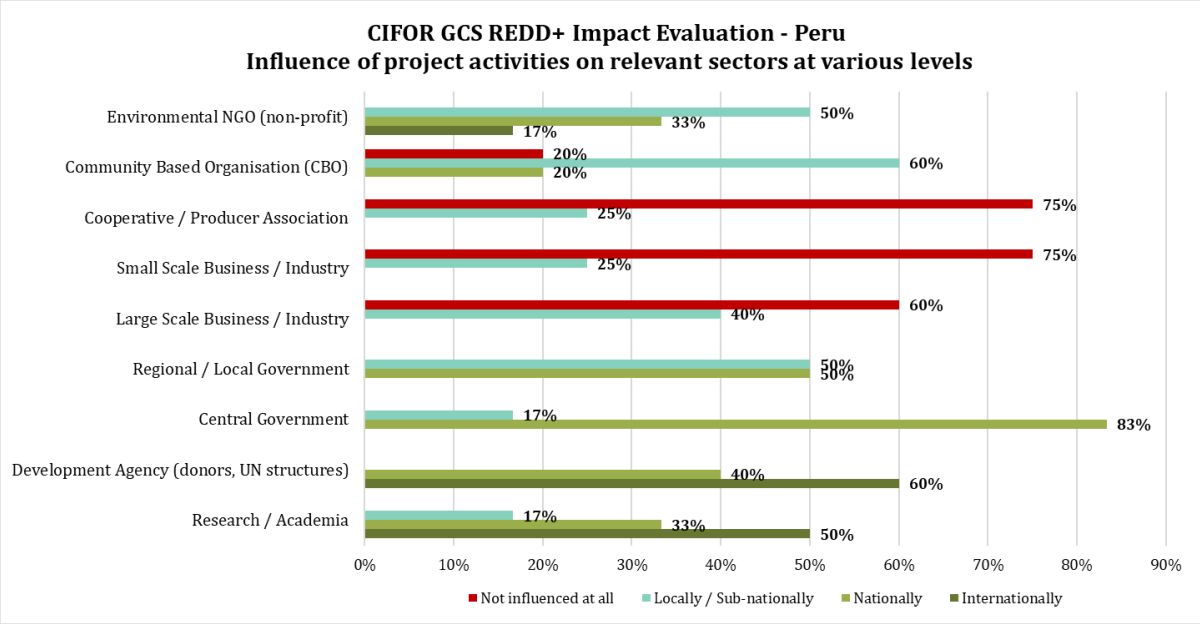

Figure 12: Peru specific survey results (question 11) – Influence of GCS project activities on relevant sectors at various levels

3.1.6 Lessons learned about engaging decision makers in Peru

In order to provide decision makers with the information, analysis and tools needed to design and implement REDD+, efficient communication based on rigorous evidence was key. According to local stakeholders interviewed, authorities seemed to be more inclined to use research products when they had co-created them and been involved in discussions from the design stage (PER02). Furthermore, a couple of stakeholders interviewed highlighted that they had the opportunity to adapt the workplan and the application of the tools (not the methodology itself) to their own local contexts and needs (PER06, PER10). Although local stakeholders also pointed out that the information generated from sub-national governments (regions) was not always valued by the central government, the synergy between a well-respected research partner like CIFOR and local researchers helped to overcome this often unfair barrier (PER10). Additionally, it was mentioned by a local stakeholder that it was a source of regional pride to have achieved impact in Lima with studies carried out by regional professionals.

Another interviewee, who worked on the jurisdictional approach with regional governors, highlighted that information at this level of public management needed to be concrete, rigorous and quick to read. Therefore, high technical quality of the research was also critical (PER08).

The willingness of officials in high level positions to be 'open' to new approaches and change their points of view, to move away from BaU scenario, was also mentioned as very important (PER07). This could be achieved through close coordination between various levels of government and sectors (e.g. academia, international cooperation, private actors, investors), supported and backed up by rigorous data and research (PER07).

However, the frequent change of high-level management officials made it difficult to maintain (and build on) the level of training and information sharing with decision makers overtime, as well as influence on public policy (Larsson, et al., 2019). It was therefore critical for the

technical staff working 'under' these positions to be equally informed about the issues and/or influenced by the research.

A concern shared by all interviewees was that the information needed to reach decision makers and other stakeholders beyond the local level where the research was conducted. Thus, information/knowledge sharing was deemed as very important, starting from the research design stage, through to the dissemination of the final results, to increase awareness and build trust from the beginning. In practice, according to local stakeholders, summary documents, factsheets, graphic information, as well as various meetings, workshops, interviews and seminars – in some cases repeated overtime – were successful in seeding the results and the conclusions of the research, which were thus incorporated by decision makers in their technical work.

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

According to local stakeholders, the main limitation of GCS research has been the accessibility of its publications. While 50% of respondents thought that the research was 'definitely' relevant (and the remaining 50% 'somewhat' relevant), 17% pointed out that the research was 'definitely not' easy to access for everyone (although 17% thought that it was 'definitely' easy to access for everyone). In addition, 17% of respondents also noted that the research was 'not really' timely, whereas 33% disagreed, affirming that the research was 'definitely' timely. Finally, all stakeholders agreed that the research was either 'definitely' (17%) or 'somewhat' targeted (83%).

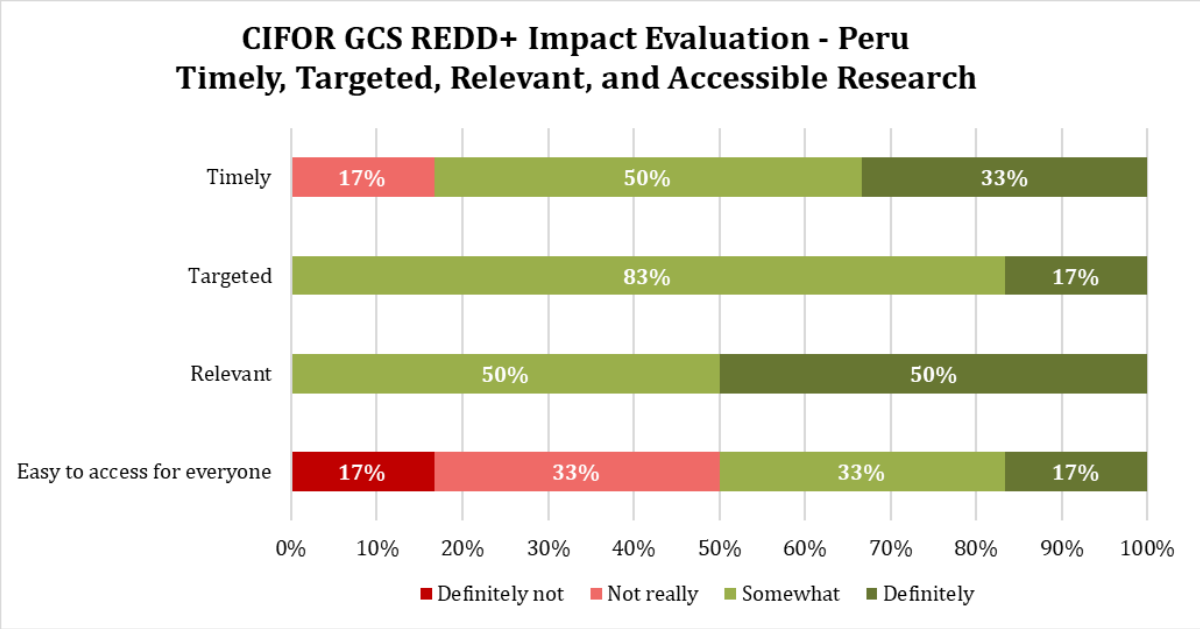

Figure 13: Peru specific survey results (question 20) – Timely, targeted, relevant and accessible research

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

Although there was no evidence of direct or systematic prior involvement with first level policy makers (i.e. ministers, vice ministers) to frame the expected results of the project within the priorities of the country for REDD+, there was coordination between the development of the research and its alignment with the sectoral needs of those involved in the project, namely second level officials (general directors). In general, there was consensus amongst local stakeholders that the research was very relevant and well oriented towards addressing the country's priorities, but it is not clear whether it was previously agreed with policy makers, to ensure that the country's priorities were covered from the beginning, or not.

According to SERNANP, sanitary and phytosanitary (SPS) measures were addressed as a priority issue (PER06). Similarly, according to the Regional Government of Loreto, the research on peatlands was jointly planned from the beginning (PER10). The research co-creation aspect was confirmed to be the case by the National Forest and Wildlife Service (SERFOR), as this directorate was involved from the beginning, providing opinions on and guidance for the research on carbon stock estimation (PER04) (Málaga Durán, 2018; Hergoualc'h, et al., 2019).

Similarly, another local stakeholder interviewed confirmed that, during the development of the multi-stakeholder forums' participation analysis tool, there was coordination and alignment with the Ministry of Environment in order to generate information that helped to fill gaps regarding social safeguards (PER07).

However, another potentially key official within the Ministry of Environment, and responsible for the development of the Wetland Conservation and Management Plan, seemed to be unaware of the project and its results. This might imply 'disconnection' between management levels within the Ministry of Environment.

Furthermore, a couple of local stakeholders interviewed pointed out that, even if the research was relevant and well targeted, CIFOR had not been perceived to be closely engaged with some local stakeholders, including academics (PER05, PER11).

However, in general, there seemed to be consensus that, during project implementation, partners and local stakeholders were involved and participated in discussions to adapt the research to the needs of the country, as well as to analyze the results and draw conclusions, while the involvement of policy makers before the design of the studies remains unclear.

3.2.1.1 Factors contributing to the relevance of the research to the Peru context

CIFOR is recognized by all stakeholders as a very serious and trustworthy institution, conducting high quality studies and activities related to forest, land use and REDD+ issues, and with a long presence in Peru. Previous projects also provided awareness on REDD+ issues locally, such as the SWAMP project on palm forest wetlands as well as research on Brazil nuts in Madre de Dios (Willem, et al., 2019).

A success factor that was pointed out by several of the interviewees was 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.

3.2.1.2 Factors hindering the relevance of the research to the Peru context

REDD+ often seemed primarily associated with conservation measures at the sub-national government level, which might have led local authorities to 'keep a certain distance'. This was 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). Another interviewee also further highlighted the lack of knowledge and awareness on REDD+ by the regional authorities as the main reason for low or slow participation (PER08). These project partners' perceptions seemed to be in line with what was expressed by CIFOR in Working Paper 209, which argued that the empowerment of regional governments, as a result of decentralization, does not always seek to achieve sustainable environmental policies or social equity (Kowler, et al., 2016).

3.2.2 How did the research contribute to national and sub-national REDD+ processes?

According to local stakeholders, the main contribution seemed to have been the generation of objective and rigorous information, and its use by key public and private actors.

Through multiple knowledge sharing activities, public officials at the national and sub-national levels (and occasionally local governments) were informed of and influenced by the results of the research, as key findings were incorporated into their work. All the public officials interviewed (with only one exception) agreed.

3.2.2.1 Factors contributing to the relevance of the research nationally and sub-nationally

As previously mentioned, the topics addressed by CIFOR were perceived as relevant and targeted to the local context, and the quality of the studies was very high. Additionally, the

active involvement of local stakeholders (including academia and regional governments) also had a positive impact on the research. Methodologies and tools were tested, including to identify and evaluate the main causes of deforestation (Robiglio, et al., 2021), while field experiments evaluated the impact of payments for environmental services in terms of the 3E framework, including analysis of participation to improve equity and inclusion. Other research focused on filling information gaps, such as carbon stock in *aguajales*.

According to the Peru specific analysis of survey results illustrated in the graph below, the research was perceived to have 'definitely' had a high impact internationally (60%), but slightly less so at the national (33%) and sub-national (20%) levels, with a few local stakeholders implying that the research was 'not really' impactful either nationally (17%) or sub-nationally (20%).

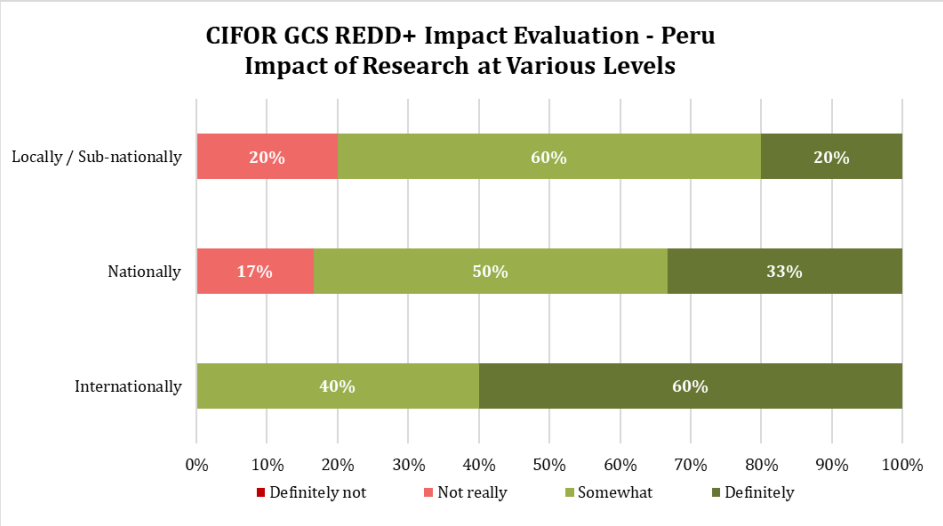

Figure 14: Peru specific survey results (question 18) – Impact of GCS research at various levels

3.2.2.2 Factors hindering the relevance of the research nationally and sub-nationally

According to local stakeholders, there was consensus that the high turnover of policy makers, but also technicians, constituted the highest risk for the use of information and the improvement of public policies on REDD+ (Module 1). Several national policy instruments were affected by high national political instability and frequent changes in senior positions in the national public administration, with considerable delays in the publication of policy documents. Furthermore, in 2020, the COVID-19 pandemic further exacerbated these issues.

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

In relation to Module 2, the analysis of private initiatives was linked to one experience in Madre de Dios (Amazonian Forests – Brazil nut forests) where the representative of the implementing partner thought that the design did not sufficiently take into account important variables (PE03). Nonetheless, building on CIFOR's partnership agreement with REDD+ project implementers, CIFOR had shared draft publications regarding this site with the project

implementers, as well as gathering and integrating their feedback and inputs into the revision process prior to publication. Therefore, the disagreement on the design of the research was not due to a lack of CIFOR's engagement with local stakeholders.

Finally, regarding Module 4, governors' limited knowledge and understanding of REDD+ hindered their attention to this issue and their support to related management proposals (PER08). One interviewee pointed out the perceived bias by MINAM with respect to the technical information produced in the regions as a limiting factor for advocacy for improvements in public policies from the sub-national to the national level (PER10).

3.3 Peru key recommendations for 2021 and beyond

3.3.1 Continued validity of 2018 mid-term review recommendations

The majority of the comments made in the 2018 MTR seem to still be relevant, although it was noted that the national REDD+ group had lost strength in recent years, and no longer had the regularity of meetings that it had up to 2016-2017.

In addition, respondents' comments in Annex 6 – 'Opportunities for improvements suggested by key informants' of the mid-term review (Ducenne, et al., 2019) continued to be widely shared by the stakeholders consulted in this current study. Please see the table below for more details.

Table 3: Opportunities for improvements suggested by key informants of the mid-term review (Ducenne, et al., 2019) that continue to be valid in Peru

Highlighted points	Still valid in Peru	Evidence
Knowledge Co-Producers		
Closer connections to local government and clarity of relationships	Valid	PER05, PER09
Common agreement between related stakeholders in the forest management to ensure fairness and equitability between these actors	Valid	PE03
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
Supporters		
Presence/access to processes at local/microlevel to inform research	Valid	PER06
More engagement with private sector, explore and support payment for performance issues and solutions	Valid	PE01, PER02
Make the research scope / findings more pragmatic and deliver clear messages easy to understand by all stakeholders, including policy makers	Valid	PER08
Implementers		
More attention/research on private sector links, including agribusiness, and international carbon markets	Valid	PE01, PER02
Strengthen capacity in communication to improve awareness of government staff and local communities in REDD+ implementation	Valid	PE02, PER08
Researchers		
Attention to agriculture and deforestation drivers	Valid	PER02

3.3.2 2021 final evaluation review recommendations (phase 3)

A particularly relevant recommendation was to involve national and sub-national authorities from the design of the new phase to ensure the alignment of objectives (PER05).

Also, in general, the pandemic has greatly affected the working groups and 'spaces' for discussion and coordination by limiting their face-to-face meetings.

3.3.3 Learnings for the next phase of the project (phase 4)

The recommendations are generally aimed at deepening or extending the scope of work, building on existent research previously undertaken, with some exceptions aimed at developing REDD+ pilots or putting some specific policies into practice. A broad evaluation of the benefits generated by REDD+ by actor and role in each project has also been suggested, after more than 10 years of implementation.

Local stakeholders interviewed suggested the following recommendations for the future phase of the GCS project:

- Increase the linkages with the private sector (PE01, PER02).
- Undertake research on communities' sustainable livelihoods (PE02).
- Conduct more research on deforestation drivers, and work more closely with other ministries – i.e. not just with the Ministry of Environment (PER02).
- Clarify the linkages (and coexistence) between the project's emission reductions and the NDC (at the national level), as well as other results-based payment programs, including research on fair benefit sharing mechanisms (PE03).
- Focus on authorities' decision-making processes (especially by first order public officers) in order to identify and understand their motivations as well as their sources of information (PE04, PER04).
- Deep dive on Amazonian peatlands, its importance and conservation strategies (PE05).
- Engage more with national authorities (since the project design phase) in order to assess how to continue to provide research and support to policy makers (PER05).
- Involve more REDD+ projects' implementers in the design of the research, aiming to develop tools for medium and micro implementation levels (PER06).
- Increase awareness raising activities nationally, sub-nationally and locally (PER08).
- Engage more closely with the high levels of public administration (since the project planning phase) in order to maximize opportunities to influence national policies (PER09).
- Involve more provincial and district governments in the conservation and sustainable management of palm swamps (PER10).
- Extend research and activities to include more communities and regions (PER11).

- Conduct a study on carbon emission factors for land use change (PER12).
- Assess REDD+ projects, their benefits distribution, and their impacts on various stakeholders (PER07).
- Develop a pilot of a REDD+ project – as a model (PER08).

4 Brazil Country Analysis

A total of 8 interviews with local stakeholders were carried out in Brazil as planned. There were 8 survey responses.

Key summary points

- GCS project activities and outcomes focused mainly on Module 2 in Brazil with some activities for Modules 1 and 4.
- Work linked to Outcomes 2.1, 2.2 and 4.3 was built mainly on two tools: the jurisdictional profile survey, which was implemented by CIFOR in eight states in Brazil, and the Climate Community and Biodiversity Alliance (CCBA) Sustainable Landscapes Rating Tool (SLRT).
- CIFOR's work on jurisdictional approaches has been influential in Brazil, particularly as jurisdictional approaches can be helpful in tailoring actions at the sub-national level, trying to address the gaps at the national level, especially in a country as vast as Brazil.
- Research on multi-stakeholder forums (Module 4) was also undertaken in three Brazilian states (Acre, Mato Grosso and Para).
- 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.
- The lack of a CIFOR office in Brazil hindered opportunities for engagement with local stakeholders.
- Closer engagement with decision makers would require clarity on the aims of the collaboration and the benefits for the actors involved (e.g. financial or institutional benefits), as decision makers might not be willing to get involved if they did not see potential benefits.
- For engagement with local stakeholders to be successful, the communication channel needed to be quite simple, with outputs in plain language (in English and Portuguese), quick and easy enough to comprehend, without too many technical details.
- According to local stakeholders, the national government's perspective was that REDD+ was mainly a private mechanism, and this lack of engagement by the federal government, especially the Ministry of the Environment itself, on environmental issues and topics at the national level had a trickle-down effect at the sub-national level.
- Closer collaboration between the GCS and successful REDD+ projects on the ground (including private sector ones) could have further contributed to the relevance of the research sub-nationally (e.g. by highlighting dynamics of regional deforestation).
- Lack of technical capacity of state managers and government changes limited the participation of policy makers, as each major change in government's teams working on environmental issues often meant that the new actors involved were ill informed or poorly prepared. Therefore, there was no continuity (or 'institutional memory') within the public sector. This greatly hindered GCS engagement with policy makers.

4.1 Did the project achieve intended outcomes and what lessons were learned about policy engagement (nationally and sub-nationally)?

4.1.1 Were project outcomes realized?

According to stakeholders interviewed in Brazil, one of the main achievements of the GCS project was the collection and compilation of high-quality data (particularly under Module 2 – Outcome 2.1). Between 2018 and 2019, CIFOR collected detailed endline livelihoods data at different sites, using Before-After-Control-Intervention (BACI) research approach to evaluate the impacts of program interventions on rural smallholders (CIFOR, 2019). This research was part of the valuation of the impacts of local REDD+ initiatives on forests and people study, to better understand what drives individual behaviors related to deforestation (CIFOR, 2019).

CIFOR's work supported capacity building in Brazil, particularly for the measurement of social impacts of REDD+, having shared data, methods and findings with in-country policy and practice partners as well as having trained four graduate students to lead the data collection in the Brazilian study sites.

In addition, Brazil was one of the priority countries for the global survey of subnational REDD+ and private sector initiatives (linked to Outcomes 2.1, 2.2 and 4.3[7]). This built on two tools: the jurisdictional profile survey, which was implemented by CIFOR in eight states in Brazil, and the Climate, Community and Biodiversity Alliance (CCBA) Sustainable Landscapes Rating Tool (SLRT), which, according to the 2019 Annual Progress Report, had already been implemented in four states in Brazil, while results were still being validated in other three Brazilian states (CIFOR, 2017; CIFOR, 2018; CIFOR, 2019)

The global survey of subnational REDD+ and private sector initiatives[8] is a partnership between CIFOR, Earth Innovation Institute (EII), the Governors' Climate and Forests (GCF) Task Force and the Climate Community and Biodiversity Alliance (CCBA). Preliminary findings were presented at the 2017 GCF Task Force Annual Meeting in Balikpapan, Indonesia, as well as at the Oslo Tropical Forests Forum (June 2018), while the full report on the state of jurisdictional sustainability (Stickler, et al., 2018) was launched in September 2018 at the Global Climate Action Summit and the GCF Task Force Meeting in San Francisco, California (CIFOR, 2018).

Since the assessment findings were incorporated into the GCF Task Force Knowledge Database and EII's Tropical Forest Champions Platform, these had the potential to inform and possibly influence policy and or practice change, particularly in the jurisdictions involved in this study, including those Brazilian states (CIFOR, 2019).

Following engagement with the Government of Acre and The Nature Conservancy (TNC) in previous phases of the GCS project in Brazil – particularly in designing the socio-environmental

[7] Both private sector outcomes (2.2 and 4.3) were integrated into this jurisdictional sustainability assessment work in 2018 (CIFOR, 2018).

[8] Also referred to as the assessment of jurisdictional sustainability across the tropics.

monitoring systems for their respective jurisdictional programs, 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, 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 GCS tools.

Regarding Module 1 activities and outcomes in Brazil, the REDD+ Policy Network Analysis (PNA) database was refined 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).

Research on multi-stakeholder forums undertaken under Module 4 was also conducted in Brazil. The Realist Synthesis Review on multi-stakeholder forums (Output 4.2.4) – published in *World Development* (Sarmiento Barletti, et al., 2020a)– was based on 13 in-depth field reports on research of sub-national multi-stakeholder forums in Peru, Brazil, Indonesia and Ethiopia. In addition, research summaries (with translation into relevant languages) were published for the case studies including three Brazilian jurisdictions (CIFOR, 2019). In addition, research and a report were also completed for a national coordination platform, the PPCDAM. More broadly, this research on MSFs covered both national and cross-country analysis and provided materials for various publications, including a special issue on MSFs accepted by the *International Forestry Review* (CIFOR, 2019).

88% of Brazilian survey respondents thought that, as a result of project activities, 'Civil society organizations [either 'definitely' (50%) or 'somewhat' (38%)] more effectively monitored, through new tools and information, the commitments of governments and the private sector to avoid deforestation' (third row in the graph below). Similarly, according to 86% of respondents, 'partners [were either 'definitely' (29%) or 'somewhat' (57%)] aware of and used project knowledge in their decision-making' (last row in the graph below). 71% of respondents thought that, as a result of project activities, 'decision makers in sub-national jurisdictions had information and tools to manage land-use trade offs and MSH processes in the context of their country's NDCs' (penultimate row in the graph below).

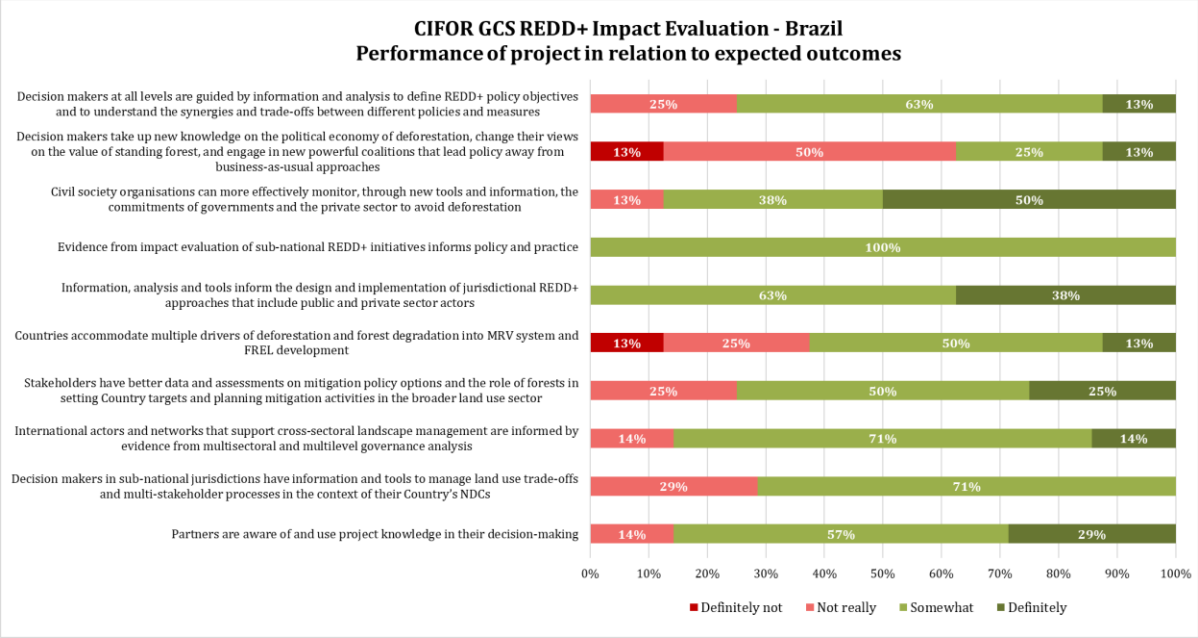

Figure 15: Brazil specific survey results (question 7) – Performance of GCS project in relation to expected outcomes

Similarly, as 100% of respondents agreed, Brazil specific survey results demonstrated that the GCS project contributed to generate 'Information, analysis and tools [to] inform the design and implementation of jurisdictional REDD+ approaches that include public and private sector actors' (fifth row in the graph above).

These findings were triangulated by local stakeholders interviewed, who 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 was not enough to change policies as well as practices nationally – even if CIFOR's influence in the state of Acre was seen as a successful example (BRA04, BRA01).

4.1.2 Did project activities contribute to policy or practice change in Brazil?

CIFOR's work on jurisdictional approaches was influential in Brazil (BR06), particularly as jurisdictional approaches can be helpful in tailoring actions at the sub-national level, trying to address the gaps at the national level, especially in a country as vast as Brazil (BRA01).

Specifically, CIFOR's research had an impact in the state of Acre, where it contributed to the empowerment of indigenous peoples. This built on the willingness of Acre's government to focus its attention and interventions on forestry issues. As a result, in 2019, Acre's indigenous peoples were actively engaged and involved in discussions on their participation in REDD+ benefit sharing mechanisms (BRA05).

CIFOR also facilitated cooperation, coordination and integration between different actors and stakeholders, aiming to address and resolve REDD+ related issues towards the achievement of Effective, Efficient, Equitable outcomes. This process also included a 'resilience' aspect to it, as CIFOR continued the dialogue on REDD+ at the sub-national level even following the general

lack of interest in REDD+ discussions due to the perceived lack of financial resources flowing into the country, which had been previously promised/expected (BRA06).

In addition, the GCS project was developed to build on and feed into existing projects, adding value (e.g. research), without hindering their progress to date (BRA04), but contributing to the development of a transformational process at various levels (BRA01).

4.1.3 Positive unexpected outcomes in Brazil

The GCS, as a long-term, vast project, contributed to the development of a dialogue on REDD+ related themes in Brazil (BRA02). As such, it was also likely that it influenced Floresta+, the federal program for the valorization of standing forests by promoting a national carbon market. Although this was not a direct result of the project, it could be seen as an indirect impact of discussions started under the GCS project (BRA02). Similarly, the discussion process initiated by CIFOR indirectly facilitated the creation of a carbon market by contributing to the development of some of the enabling conditions necessary for the flow of resources on the ground (BRA03).

4.1.4 Negative unexpected outcomes in Brazil

No negative unexpected outcomes were identified in Brazil.

4.1.5 Were decision makers equipped by the project's knowledge processes and products in Brazil?

CIFOR's high-quality data and research was acknowledged as important by over 60% of the stakeholders interviewed (5 out of 8 interviewees), many of whom recognized CIFOR as a key reference in the forest carbon area (BRA02).

In particular, CIFOR's reputation seemed to be especially high amongst civil society in Brazil (BRA05). For instance, The Nature Conservancy (TNC) used CIFOR's research to inform the development of baselines and monitoring plans for projects on the ground, and CIFOR's influence was particularly significant in the states of Mato Grosso and Pará (BRA06).

However, the extent to which decision makers were informed and influenced seemed to vary depending on their responsibilities (national versus sub-national). According to the analysis of Brazil survey results, it seemed that there was more engagement at the sub-national level (60% of respondents agreed that regional/local government was influenced by GCS project activities), compared to the national level (75% of respondents thought that central government had not been influenced at all by GCS project activities).

From the Brazil survey results in the graph below, apart from central government, other sectors were 'not influenced at all' according to some Brazilian stakeholders: cooperative/producer association (75%), small scale business/industry (71%), large scale business/industry (67%), community-based organization (67%) and environmental NGO (25%).

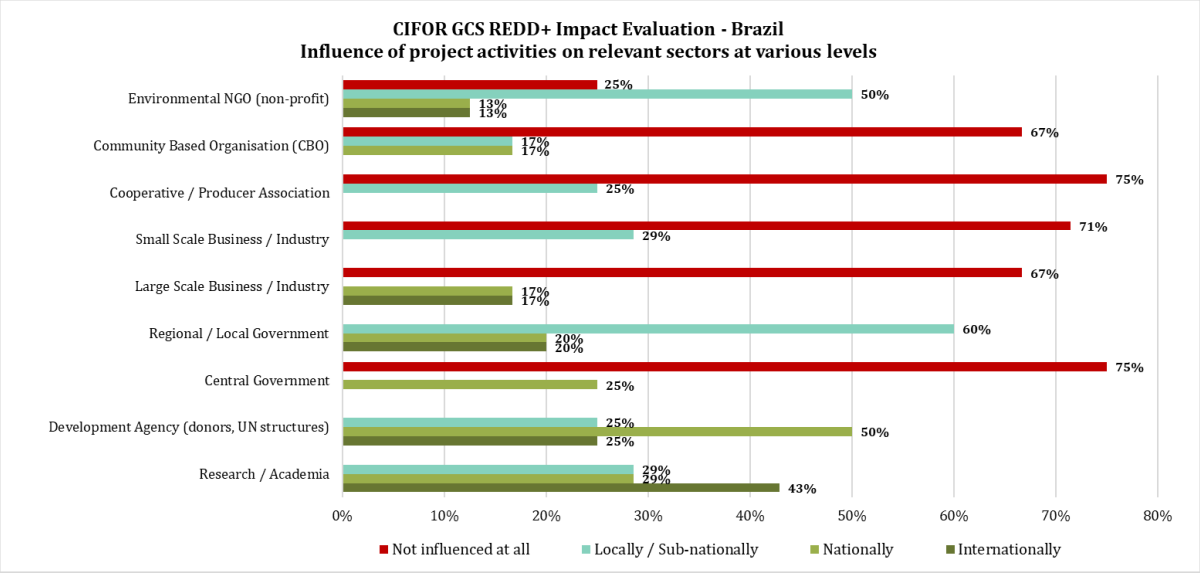

Figure 16: Brazil specific survey results (question 11) – Influence of GCS project on relevant sectors at various levels

4.1.6 Lessons learned about engaging decision makers in Brazil

Engagement with decision makers at the national level might have been facilitated by having a CIFOR local, in-country presence. The lack of a CIFOR office in Brazil hindered opportunities for engagement with local and national stakeholders, especially regarding social issues, as there was often a low level of trust towards a foreign institution operating in Brazil (BRA05, BRA02). Stronger engagement at the national/local level could also strengthen the relevance of the research to the local context (BRA08).

Closer engagement with decision makers would require clarity on the aims of the collaboration and the benefits for the actors involved (e.g. financial or institutional benefits), as decision makers might not be willing to get involved if they did not see potential benefits (BRA06). For instance, it was thought that decision makers could be particularly interested if they could see the potential flows of financial resources from REDD+ initiatives (BRA06). The latter would be facilitated by the development of a regularized national and/or sub-national carbon credits market for REDD+ projects (also described as a 'REDD+ super-fund'), as it would attract financiers and investors (BRA03). This is an area that could be further explored by CIFOR in future research.

In addition, for the engagement to be successful, the communication channel needed to be quite simple, with outputs in plain language (in English and Portuguese), quick and easy enough to comprehend, without too many technical details.

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

According to local stakeholders, the main limitation of GCS research was the accessibility of its publications. This aspect was noted in the analysis of Brazil specific survey responses, according

to which, while almost 90% of the respondents thought that the research was relevant, 50% pointed out that the research was 'not really' easy to access for everyone.

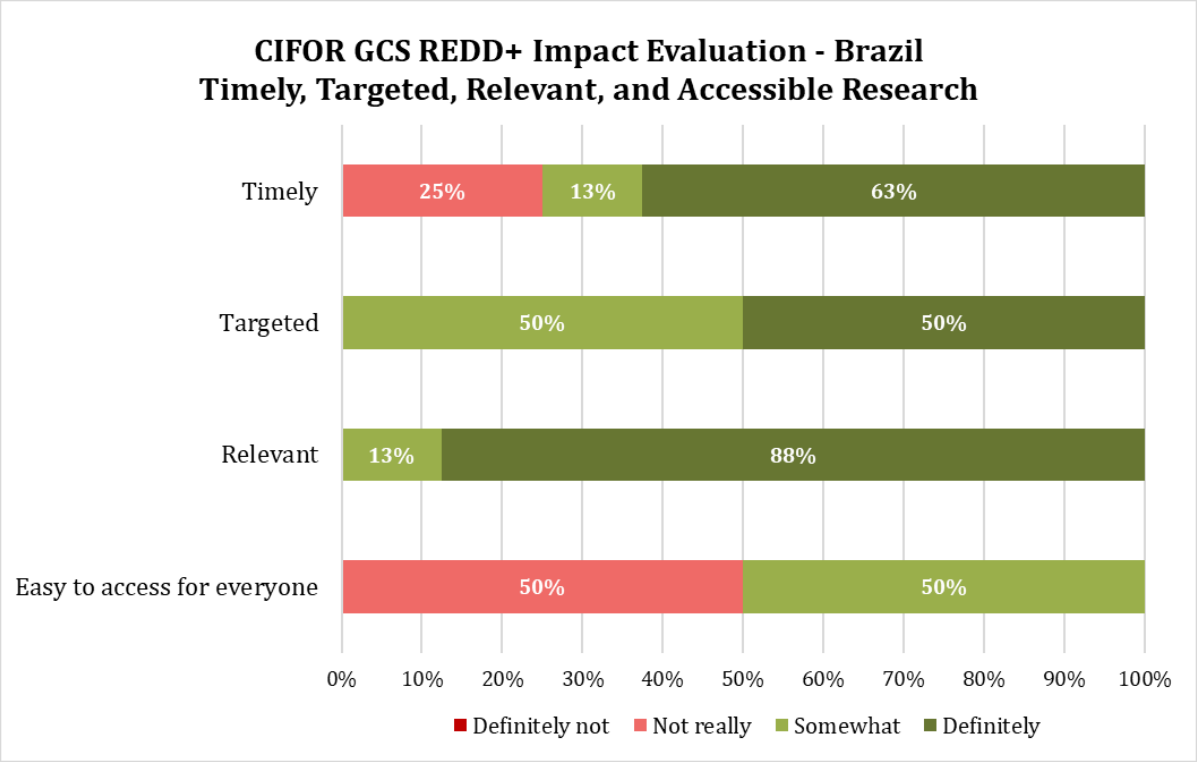

Figure 17: Brazil specific survey results (question 20) – Timely, targeted and relevant research

Interviewees confirmed that CIFOR's papers and reports were very 'academic', 'technical' and 'scientific' for decision makers, while another key limitation was the fact that several publications were not available in Portuguese (BRA02, BRA03). Therefore, although the research (especially on safeguards material) was very relevant, local leaders, local politicians and decision makers' engagement was constrained by a language barrier (BRA02, BRA03). Additionally, some delays in publishing data and reports were also mentioned as a limiting factor by interviewees (BRA02).

Finally, some local stakeholders also suggested more focus on practical recommendations, as these kinds of recommendations would make the reports more useful for policy makers and those institutions involved with REDD+ projects (BR07). Local stakeholders wanted clearer messages, information easier to understand, but also more emphasis on how to prevent bottlenecks and how to access opportunities (BRA07).

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

4.2.1.1 Factors contributing to the relevance of the research to the Brazil context

CIFOR's research has greatly contributed to identify and partly address national priorities. This was crucial as, according to local stakeholders, the national government's perspective was that REDD+ was mainly a private mechanism (BR04).

However, closer collaboration between the GCS and successful REDD+ projects on the ground (including private sector ones) could have further contributed to the relevance of the research sub-nationally. Therefore, preliminary consultations (before data collection) with several local actors (including city halls, producers, etc.) could have been helpful for targeting the research to better understand the dynamics of regional deforestation and further support REDD+ processes (BRA07).

4.2.1.2 Factors hindering the relevance of the research to the Brazil context

The lack of engagement by the federal government, especially the Ministry of the Environment itself, on environmental issues and topics at the national level had a trickle-down effect at the sub-national level. Some stakeholders argued that deforestation increased as a consequence of a reduction of dedicated budget (BRA05), while some policy makers also promoted the expansion of agricultural production and/or pasture for cattle, and thus, although indirectly, deforestation (BRA05).

From a REDD+ perspective, the dialogue at the federal level seemed to be more advanced than at the state level. There seemed to be a gap between REDD+ scientific research and what could be done in practice by state agencies at the sub-national level (BRA05), with only few positive exceptions (e.g. Acre).

Government changes limited the participation of policy makers, as each major change in government's teams working on environmental issues often meant that the new actors involved were ill informed or poorly prepared. Therefore, there was no continuity (or 'institutional memory') within the public sector (BRA05). This greatly hindered GCS engagement with policy makers.

In addition, it was mentioned that the global nature of the project sometimes limited research on some very specific topics and/or local issues such as land title regularization in Brazil (BRA03). The need to address these very specific issues was also highlighted during the December 2020 National Stakeholder Workshop as one of the main challenges to be addressed in order to promote REDD+ at the sub-national level in Brazil.

4.2.2 How did the research contribute to national and sub-national REDD+ processes?

4.2.2.1 Factors contributing to the relevance of the research nationally and sub-nationally

The research undertaken by the CIFOR GCS REDD+ project contributed to widen the focus of REDD+ technical discussions in order to include social and political issues, which needed to be integrated and addressed within REDD+ processes (BRA02).

However, as pointed out during the December 2020 National Stakeholder Workshop, further work was needed to ensure that all the relevant stakeholders were involved in those discussions and processes and the benefits were and/or will be equally and fairly distributed among them.

4.2.2.2 Factors hindering the relevance of the research nationally and sub-nationally

There was a lack of 'harmony' of priorities between the federal and state levels which hindered CIFOR's work and engagement (BRA02). The government and civil society tended to have polarized views, thus creating the feeling of a lack of consensus on common interests and objectives in relation to climate change, deforestation and REDD+ (BRA03).

Other stakeholders suggested that the main limitation to forest protection in Brazil was the lack of financial resources, and the lack of a reliable Measurement, Reporting and Verification (MRV) system (BRA06). This in turn discouraged the authorities to engage with the GCS project, due to the discredit and the despondency arising from the lack of resources (BRA04).

4.3 Brazil key recommendations for 2021 and beyond

4.3.1 Continued validity of 2018 mid-term review recommendations

Respondents' comments in Annex 6 – 'Opportunities for improvements suggested by key informants' of the mid-term review (Ducenne, et al., 2019) continued to be widely shared by the stakeholders consulted in this current study. Please see the table below for more details.

Table 4: Opportunities for improvements suggested by key informants of the mid-term review (Ducenne, et al., 2019) that continue to be valid in Brazil

Highlighted points	Still valid in Brazil	Evidence
Knowledge Co-Producers		
Faster return of results and feedback to participants. Participant fatigue due to interviewing as main strategy for data collection	Valid	BRA02, BRA05
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
Supporters		
More engagement with private sector, explore and support payment for performance issues and solutions	Valid	BRA06, BRA07
Attention to language barriers e.g. Spanish or Portuguese	Valid	BRA02, BRA03
Make the research scope / findings more pragmatic and deliver clear messages easy to understand by all stakeholders, including policy makers	Valid	BRA07
Implementers		
More attention/research on private sector links, including agribusiness, and international carbon markets	Valid	BRA03, BRA06, BR07
Explore how to better inform and reach key decision makers and wider audiences at jurisdictional level	Valid	BRA02, BRA03, BRA06, BRA07, BRA08
Perform more research on financing aspects of REDD+ implementation (document possible domestic financing mechanisms, etc.) and straighten capacities in applying to funding calls	Valid	BRA01, BRA03, BRA08
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

Perform less "scientific" (time consuming to read and understand) but more practical/accessible research, test applicability, relevance and practicality of results	Valid	BRA02, BRA03
Researchers		
Attention to agriculture and deforestation drivers	Valid	BRA05
More attention needed at local and jurisdictional level	Valid	BRA07, BRA08

4.3.2 2021 final evaluation review recommendations (phase 3)

Stakeholders interviewed suggested to strengthen the way in which CIFOR presented the results from the research, potentially through workshops during which all the actors involved in the research could have the opportunity to understand and learn from the findings. In order to achieve this, the communication channel would need to be as accessible as possible (i.e. in Portuguese and using simple language) to ensure wide uptake (BRA02).

This has become even more important due to the current COVID-19 pandemic, as field work was put on hold (BRA03, BRA04), and there could therefore be an opportunity to re-package and re-share results from previous research in a more accessible, engaging and (if possible) interactive way (including through virtual workshops, short videos, newsletters, info briefs, etc.), but also to reflect on the findings themselves and their implications in order to develop a plan for future engagement on the ground.

Timings are also important, as stakeholders tend to be more willing to be involved if the research is not too long and if the results from the research can be shared in a timely (as well as accessible) manner (BRA05, BRA02). In addition, at least in some cases, it may have been perceived that, when the research was carried out by external consultants (non CIFOR staff), the quality of these knowledge products may have appeared as less high than CIFOR's high-quality research standards (BRA08).

In order to facilitate the implementation of REDD+ processes, there needs to be cooperation between all the institutions working at different levels. Therefore, CIFOR could play a bigger role in identifying the gaps and the blockages, as well as providing options on how to address and tackle 'common problems' in a strategic and collaborative way (BRA03). In particular, the discrepancies between national and state priorities and policies were mentioned above as key barriers, and further research on this subject has the potential to facilitate coordination strategies between different levels (BRA02).

4.3.3 Learnings for the next phase of the project (phase 4)

One of the biggest challenges in Brazil was the lack of cooperation between different actors, including international institutions (BRA01). Amongst other topics, a more collaborative environment would facilitate discussions around benefit sharing mechanisms, which is a crucial issue to be addressed for an equitable implementation of projects on the ground (BRA05). Additionally, strong deforestation reduction policies (including enforcement mechanisms) at the local level would also be needed to avoid unintended consequences and support REDD+ implementation. From this perspective, REDD+ should be considered as a way to promote those policies, but it cannot substitute them, as solid command and control policies are crucial.

Following Brazil's pioneering initial efforts to reduce deforestation, the current political situation seems to be going in the opposite direction, so that the efforts made to date will not be sustained without political reforms and stronger commitments (Gallo, et al., 2020). As a consequence, it is now challenging to attract investors or donors for emission reduction initiatives, as the federal government is not currently providing enough guarantees (BRA04). Although there are several REDD+ related interesting initiatives at a state level, the federal government controls state's budgets and finances. Therefore, actions and initiatives at the state level are constrained by federal government's priorities and resource allocation.

CIFOR could play a role in promoting the necessary integration to create a national carbon market for industries to compensate their emissions by buying carbon credits from projects or jurisdictions. A mechanism would need to be developed for different national initiatives and local projects to interact at the national and/or sub-national level.

This was also mentioned by several interviewees, as themes suggested for future phases of the project included addressing the issue of financing and the economic sustainability of a national REDD+ (BRA08), as well as continuing to promote research around global financial mechanisms to compensate countries like Brazil for all the efforts related to climate change mitigation and adaptation (BRA01).

Moreover, as it has been mentioned above, REDD+ is often seen as a private sector mechanism by the public sector in Brazil. Therefore, CIFOR could play a role in encouraging policy and decision makers to include REDD+ within their environmental management agendas. In fact, as REDD+ is not a separate issue, its inclusion into each state's environmental management agenda could help to create synergies and foster collaborations (BRA05). Additionally, the REDD+ National Strategy has yet to clarify the role of different actors, especially the private sector (May, et al., 2016).

5 Ethiopia Country Analysis

A total of 7 interviews with local stakeholders were carried out in Ethiopia as planned. There were 10 survey responses.

Key summary points

- According to local stakeholders' feedback, Modules 1, 3 and 5 were more successful than Modules 2 and 4 in Ethiopia.
- The GCS project seemed 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. 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 were often noted.
- 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.
- CIFOR's continuous engagement with stakeholders at federal and regional level was highlighted as the key success factor.
- One of the key contributions of the GCS projects was CIFOR's involvement in the revision of the 2007 Forest Law in 2018.
- CIFOR 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.
- 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.
- A REDD+ related negative outcome (not necessarily GCS REDD+ project specific) was linked to local communities' expectations to get considerable REDD+ payments for conserving existing natural forests. 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. Therefore, managing REDD+ expectations is key, 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).
- One stakeholder also highlighted that the research did not articulate why the reward payments from selling carbon credits had not yet been granted, as previously promised, also providing recommendations and possible solutions to address and solve this gap in the future, as local stakeholders demand 'a way forward'.

- Forest tenure rights related issues, land use policy and private forest land use ownership were mentioned by local stakeholders as potential limitations in Ethiopia. In addition, the lack of clear and pragmatic regulations, as well as institutional capacity at lower administration levels to correctly interpret policies, enforce laws and monitor forestry programs with some level of accountability and transparency was another critical problem that challenged the effectiveness and equity of REDD+ processes.
- Another key limiting factor in Ethiopia seemed to be the policy – implementation gap. Although this has not been clearly identified yet, it seemed that policy revisions were undertaken prior to implementation of previous policies, thus hindering progress in practice. Additionally, it was 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 were mentioned as other potential limiting factors.
- Additional challenges mentioned by local stakeholders included the political unrest that was seen in many parts of the country, which, unless fully managed, could hinder travelling to field sites for project activities, as well as the spread of COVID-19, also considered as a threat to direct, face-to-face engagement with local stakeholders.
- CIFOR GCS REDD+ project activities were focused on the high forests of the country, as a result the woodland vegetation, which covers a significant area of the country, was not included.
- The global comparative nature of the GCS project was also criticized by another stakeholder as a potential limitation of the effectiveness of the research in Ethiopia. Other limiting 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.
- CIFOR had a limited human capacity in the country.
- There is a need for an exit strategy, as there are no plans to continue phase 4 in Ethiopia, unless other CIFOR projects could continue the work there.

5.1 Did the project achieve intended outcomes and what lessons were learned about policy engagement (nationally and sub-nationally)?

5.1.1 Were project outcomes realized?

The GCS project seemed 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, just to name a few examples (Ducenne, et al., 2019).

In Ethiopia, the legal and institutional arrangements for REDD+ implementation are in line with the country's environmental policies, strategies and development programs. In this regard, no new institutions have been created, but 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).

In order to achieve this, one of the key contributions of the GCS projects was CIFOR's involvement in the revision of the 2007 Forest Law in 2018. In fact, findings and recommendations from the GCS project supported the federal Environment, Forest and Climate Change Commission (EFCCC), in revising the national forest law, informing (and influencing) the development of the REDD+ National Strategy (ETH01, ETH03). In particular, CIFOR 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 (ETH04).

In addition, CIFOR introduced participatory forest management (PFM) models in the forestry sector, and lessons learned from the implementation of PFM in selected forest areas were used in the revision of the national forest law - the Ethiopian government consulted the CIFOR independent evaluation of the implementation of PFM (ETH02). Furthermore, the PFM models, as well as receiving wider positive feedback nationally, were also used in the development of the national forest restoration map (ETH03).

Therefore, CIFOR has co-produced research which contributed to strengthen institutional and technical capacity in Ethiopia. As part of REDD+ readiness activities, technical studies were conducted, including on the identification of drivers of deforestation and forest degradation, and on the analysis of the legal and institutional environment and its gaps. These studies supported the development of a national forest monitoring system for REDD+ MRV purposes, a significant step amongst Ethiopia's REDD+ readiness activities (Bekele, et al., 2018). Ethiopia's national MRV system was developed with offices at the federal and regional levels, receiving CIFOR support, technical assistance and funds through UN-REDD (FAO) and the Forest Carbon Partnership Facility (Ducenne, et al., 2019).

This was confirmed by the Ethiopia specific analysis of the survey responses to question 7 (as shown in the sixth row in the graph below), according to which local stakeholders perceived the GCS project and its research to have either 'definitely' (70%) or 'somewhat' (30%) contributed

to Outcome 3.1 – 'Countries accommodated multiple drivers of deforestation and forest degradation into MRV system and FREL development' (Module 3).

According to Ethiopia's survey responses (fifth row in the graph below), it seemed that GCS project activities in Ethiopia also either 'definitely' (86%) or 'somewhat' (14%) contributed to Outcome 2.2 – 'Information, analysis and tools informed the design and implementation of jurisdictional REDD+ approaches that include public and private sector actors' (Module 2 – although, according to the mid-term review, this was not a 'priority' in Ethiopia).

Additionally, looking at the first three points under question 7 (as shown in the graph below), the GCS project was generally perceived by many local stakeholders to have either definitely' (between 13% and 44%) or 'somewhat' (between 44% and 75%) contributed to Outcomes 1.1, 1.2 and 1.3, thus informing and influencing decision makers (1.1. and 1.2) as well as civil society (1.3 – even though to a slightly lower extent) at the national and sub-national levels (Module 1).

In 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).

Furthermore, 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).

Overall, Ethiopia survey respondents thought that 'partners were [either 'definitely' (33%) or 'somewhat' (67%)] aware of and used project knowledge in their decision-making' (Module 5 – Outcome 5.1 – last row in the graph below).

As an example, in 2019, a media workshop 'Let's Talk Trees: Change our language, change our world' for partners and journalists was conducted in Ethiopia. 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 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).

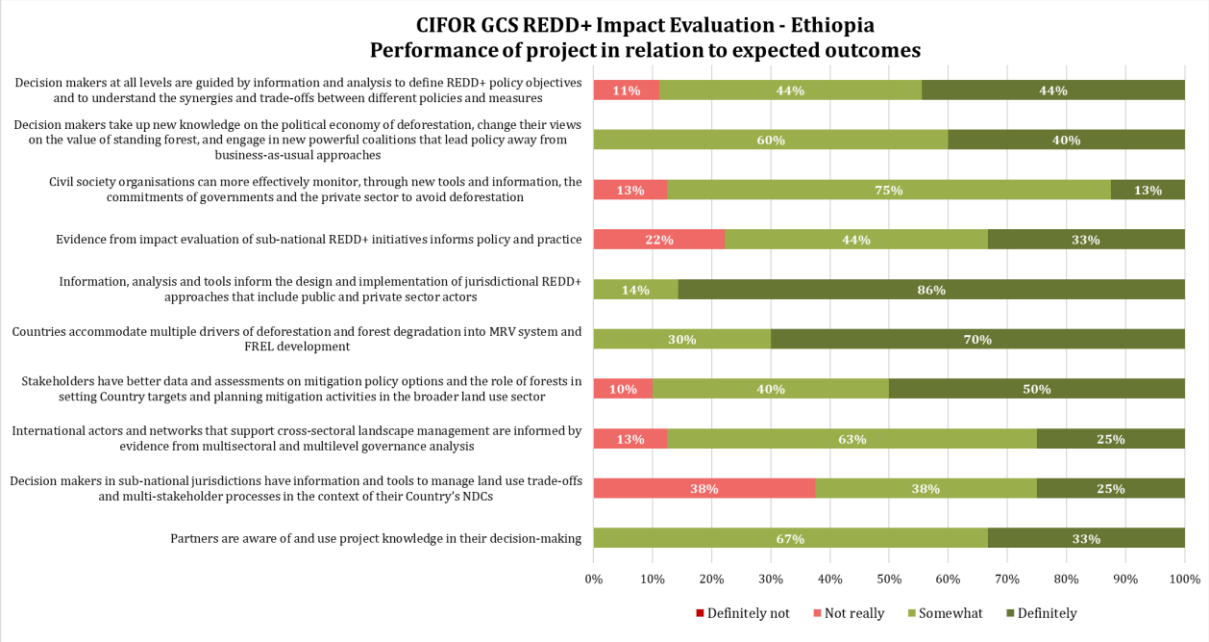

Figure 18: Ethiopia specific survey results (question 7) – Performance of GCS project in relation to expected outcomes

In addition, Ethiopia was one of the priority countries for the jurisdictional profile survey, which was implemented by CIFOR in one province in Ethiopia. This Module 2 related work was part of the global survey of subnational REDD+ and private sector initiatives (linked to Outcomes 2.1, 2.2 and 4.3[9]), also referred to as the assessment of jurisdictional sustainability across the tropics, a partnership between CIFOR, Earth Innovation Institute (EII), the Governors' Forests and Climate (GCF) Task Force and the Climate Community and Biodiversity Alliance (CCBA) (CIFOR, 2019).

Similarly, research on multi-stakeholder forums undertaken under Module 4 was also conducted in Ethiopia. The Realist Synthesis Review on multi-stakeholder forums (Output 4.2.4) – published in *World Development* (Sarmiento Barletti, et al., 2020a)– was based on 13 in-depth field reports on field research of sub-national multi-stakeholder forums in Peru, Brazil, Indonesia and Ethiopia (Oromia – two cases). This research on MSFs covered both national and cross-country analysis and provided materials for various publications, including a special issue on MSFs accepted by the *International Forestry Review* (CIFOR, 2019).

5.1.2 Did project activities contribute to policy or practice change in Ethiopia?

CIFOR contributed to building institutional capacities both directly, through co-production of research, and indirectly, thanks to training on the stepwise approach conducted by a CIFOR's partner in Ethiopia.

[9] Both private sector outcomes (2.2 and 4.3) were integrated into this jurisdictional sustainability assessment work in 2018 (CIFOR, 2018).

REDD+ is one of the four pillars of the green economy component of the CRGE strategy: 'Forestry –Protecting and re-establishing forests for their economic and ecosystem services, including as carbon stocks (increased GHG sequestration in forestry)' (FDRE, 2011). Therefore, REDD+ is seen as an opportunity and a viable source of sustainable finance for investment in forest management, forest conservation, and forest restoration to enhance multiple benefits of forests, including but not limited to biodiversity conservation, watershed management, increased resilience to climate change, improved livelihoods, and reduced poverty.

CIFOR advised the Government of Ethiopia (GoE) on a number of forest related policy development issues, including the formulation of the new national forest regulation, and CIFOR was a key institution in assisting the GoE to revise its forest policy. Furthermore, through the GCS REDD+ project, CIFOR organized a series of consultative sessions, including on benefit sharing mechanisms (BSM) and other related REDD+ topics. However, the level of uptake by decision makers and other stakeholders to turn the engagement into policy action was deemed as very low by one local stakeholder (ET08).

Nevertheless, research findings from the CIFOR GCS REDD+ project seemed to contribute to enhance mainstreaming of other sector policies such as incorporating diversified income generating activities via payment/incentive for afforestation and reforestation interventions by local communities (ETH05).

During the previous phase of the GCS project, CIFOR scientists observed that, in national-level REDD+ events, the role of local communities and their participation in the national MRV system was not a topic of discussion among national-level REDD+ actors, which GCS REDD+ Module 3 work highlighted could result in undue burden to forest communities (i.e. through forced participation). Therefore, GCS project activities also focused on Participatory MRV (PMRV), engaging with experts actively working in Ethiopia's national MRV system, through workshops and dialogues, but also by co-producing an occasional paper that reviewed the development of Ethiopia's REDD+ MRV system, its national architecture and policies, progress made so far, and plans for the future (CIFOR, 2019). This research informed collaboration between Ethiopia's REDD+ secretariat, CIFOR and FAO on PMRV, while the Environment, Forest and Climate Change Commission (EFCCC) also endorsed a project on Transparent Monitoring funded by the International Climate Initiative (IKI) that included a study on understanding the role of local communities in MRV (CIFOR, 2019).

5.1.3 Positive unexpected outcomes in Ethiopia

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

The media workshop '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. (CIFOR, 2019). The 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 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).

5.1.4 Negative unexpected outcomes in Ethiopia

No negative unexpected outcomes were identified in Ethiopia.

5.1.5 Were decision makers equipped by the project's knowledge processes and products in Ethiopia?

Local stakeholders interviewed confirmed the importance of communications and engagement between government officials and projects like the GCS (ETH01, ETH06).

Through one of CIFOR's research partners, CIFOR research findings and data were used at the national level, following the step-wise approach, which motivated Ethiopia to improve its national capacity using the latest technology.

CIFOR's engagement covered a range of stakeholders from global to local levels, thus requiring complex, multi-sectoral coordination, but this wider engagement contributed to spread research findings and technical knowledge for more sustainable forest sector management. Amongst other topics, information on drivers of deforestation and forest degradation, as well as MRV was very useful in designing further capacity building activities in Ethiopia (ETH01, ET06).

More generally, CIFOR's knowledge products and research outputs seem to be well known and respected in Ethiopia. They have informed national REDD+ processes, in particular the formulation of the national REDD+ strategy as they were used by technical experts in developing and implementing Ethiopia's Climate Resilient Green Growth Strategy, as well as the analysis of policy actors' networks/coalitions (ET07). Similarly, knowledge co-producers also recognized their benefits from CIFOR's work, especially in terms of new methods, rigorous research practices, increased knowledge, and improved networks.

Engagement with decision makers and other stakeholders in Ethiopia was particularly successful. This was also confirmed by the Ethiopia specific analysis of the survey results (shown in the graph below), which showed that all the survey respondents agreed that no sector at all was 'not influenced at all' by GCS project activities. According to local stakeholders, central government was influenced by the research of the GCS project at the national level (100%), while regional/local government was influenced either nationally (29%) or sub-nationally/locally (71%). Similarly, 100% of respondents thought that both research/academia and large-scale business/industry were influenced at the national level, whereas small scale business/industry was influenced at the sub-national levels (100% of respondents agreed). Furthermore, only donors (50%) and NGOs (38%) seemed to have been influenced at the international level, while CBOs and producer associations/cooperatives appeared to have been influenced mainly either nationally (CBOs – 67%) or sub-nationally (cooperatives – 75%).

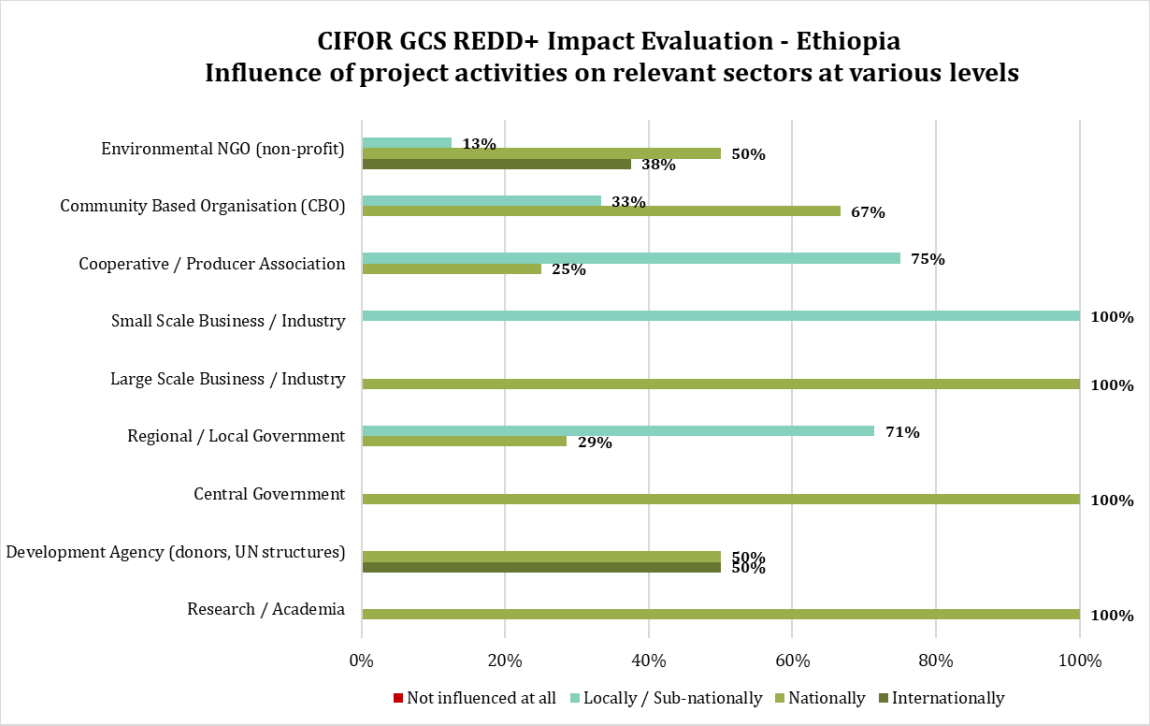

Figure 19: Ethiopia specific survey results (question 11) – Influence of GCS project activities on relevant sectors at various levels

5.1.6 Lessons learned about engaging decision makers in Ethiopia

According to an interviewee, CIFOR consulted 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.

Additionally, 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 was 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).

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

Looking at the Ethiopia specific analysis of the survey results in the graph below, according to local stakeholders, GCS research was 'definitely' relevant (90%), targeted (80%), easy to access for everyone (56%) and timely (50%). In fact, in Ethiopia, only 10% of respondents pointed out that the research was 'not really' timely or easy to access for everyone (11%).

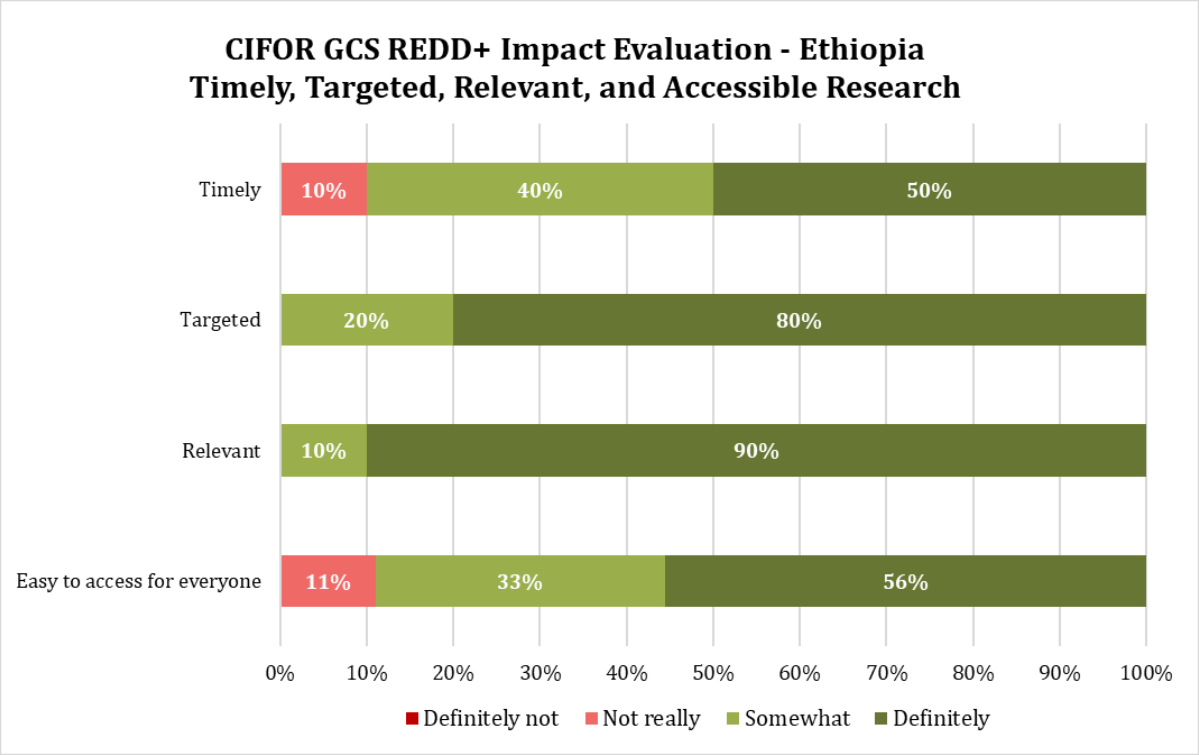

Figure 20: Ethiopia specific survey results (question 20) – Timely, targeted, relevant and accessible research

For instance, as a result of GCS research, the Government of Ethiopia had tools to be able to identify carbon pools from forest degradation and deforestation in the REDD+ context, as per IPCC guidelines. The research also provided relevant recommendations to foster the success of REDD+ processes in the country (ETH01). In addition, several stakeholders agreed that GCS research was particularly timely for the implementation of the Climate Resilient Green Economic (CRGE) development strategy, and relevant to contribute to achieve its goals under the forestry pillar (ETH02, ETH03, ETH04, ETH05, ETH06), including reducing emissions from deforestation and forest degradation (ETH02).

GCS research was conducted in close collaboration with the Ministry of Environment and Forest (MEF) and the National REDD+ Coordination within MEF, and this contributed to tailor the research to help the country to fill its knowledge gaps. Regional Bureau representatives were also involved in workshops and provided their views (ETH01).

Therefore, following the identification of national priorities by the national government (ETH02, ETH06), CIFOR GCS research and project activities contributed to capacity building through workshops and trainings for higher and middle-level officials, thus positively influencing decision-makers by targeting them as the main audience of the research on, for example, benefit sharing mechanisms (BSM) and REDD+ policy developments (ET08, ET10). This was achieved as the technical experts and researchers undertaking the research were able to transfer knowledge to local stakeholders and decision makers (ET06).

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

5.2.1.1 Factors contributing to the relevance of the research to the Ethiopia context

As Ethiopia recognized the country's vulnerability to climate change impacts and the urgency for a national adaptive response to climate change effects, REDD+ policy was embedded within a national Clean Resilient Green Economy (CRGE) strategy, which aims to bring the country to middle income status with net zero emissions by 2030 (Bekele, et al., 2015) In order to achieve this, reducing emissions from deforestation and forest degradation, and enhancing forest conservation, sustainable forest management and carbon stocks is key as, under BAU scenario, the forestry sector is the largest contributor to land-based emissions, mainly due to forest loss caused by agriculture, livestock and energy (FDRE, 2011).

One stakeholder pointed out that the GoE currently has 'sound' REDD+/forestry related policy instruments (ET08), while another mentioned the importance of creating a participatory process, ensuring multi-stakeholder engagement in the comprehension of REDD+ and development of the MRV system (ET06). FREL/FRL has also been developed. Overall, CIFOR's continuous engagement with stakeholders at federal and regional level was highlighted as a key success factor (ETH06).

Amongst others, the Forest-Farm interface research concept and the REDD+ MRV documents were described as very interesting research outputs by one interviewee (ETH03), while areas of work identified and suggested for further research included the importance of jurisdictional REDD+ for federated countries like Ethiopia (ET06).

In addition, the need for policy to address the drivers of deforestation and forest degradation as well as the implementation of appropriate safeguard instruments in REDD+ activities was also referred to as key (ET07). In particular, in Ethiopia, four safeguard instruments were developed to reduce potential environmental and social risks and enhance benefits. These were: Strategic Environmental and Social Assessment (SESA), Environmental and Social Management Framework (ESMF), Resettlement Policy Framework (RPF) and Process Framework (PF) (Bekele, et al., 2018). Similarly, clear definitions of responsibilities and benefit-sharing arrangements were also mentioned as potentially able to enhance afforestation and restoration interventions and, consequently, as possible success factors (ETH04), together with the enhanced participatory forest management scheme and improved ownership attitudes (ETH05).

5.2.1.2 Factors hindering the relevance of the research to the Ethiopia context

Forest tenure rights related issues, land use policy and private forest land use ownership were mentioned by local stakeholders as potential limitations in Ethiopia. In addition, the lack of clear and pragmatic regulations, as well as institutional capacity at lower administration levels to correctly interpret policies, enforce laws and monitor forestry programs with some level of accountability and transparency, was another critical problem that challenged the effectiveness and equity of REDD+ processes in Ethiopia (Bekele, et al., 2015).

Additional challenges mentioned by local stakeholders included the political unrest that was seen in many parts of the country, which hindered travelling to field sites for project activities, as well as the spread of COVID-19 which was a threat to direct, face-to-face engagement with local stakeholders (ETH02).

Moreover, political instability, in combination with increasing population, could be a long-term barrier for positive change, to shift away from a 'business as usual scenario' (ETH04).

However, one stakeholder also highlighted that the research did not articulate why the reward payments from selling carbon credits had not yet been granted, as previously promised, also providing recommendations and possible solutions to address and solve this gap in the future, as local stakeholders demand 'a way forward' (ETH05). Finally, the global comparative nature of the GCS project was also criticized by another stakeholder as a potential limitation of the effectiveness of the research in Ethiopia (ETH06).

5.2.2 How did the research contribute to national and sub-national REDD+ processes?

One interviewee confirmed that CIFOR GCS REDD+ activities were believed to contribute to one of the four pillars of the Climate Resilience Green Economy Strategy (CRGE), namely protecting and re-establishing forests for their economic and ecosystem services, including as carbon stocks (ETH02).

At the sub-national level, there are several REDD+ projects, including the Oromia Forest Landscape Program, which benefited from World Bank REDD+ start-up funding. Policy frameworks were also established through the readiness process, while a national MRV system was also developed, with offices at the federal and regional levels. This was implemented in 2018 by CIFOR in close collaboration with EFCCC and other stakeholders, both at the federal and regional levels (ETH06).

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 (ETH04, ETH06). In addition, the publication entitled 'REDD+ in a green economy: global symposium report' (UN-REDD, 2013) was mentioned as a particularly impactful research output by one interviewee, because its findings improved and enhanced sectors' capacity to plan and implement their sectoral plan towards a green economy path (ETH05).

Therefore, according to local stakeholders interviewed, CIFOR's research outputs, as well as their capacity building activities, such as trainings and workshops, highly contributed to national and sub-national REDD+ processes. These included the identification of the drivers of forest degradation and deforestation, support to the development of the REDD+ national strategy, and contributions to participatory forest management plans (high forests). Additionally, it also included clarifications about 'forest not farm' areas principles (farm-forest interface) and the support to the development of the MRV system, as well as providing clear definitions of both deforestation and forest degradation (ETH03).

The Ethiopia specific analysis of the survey results shown in the graph below confirmed that for 50% of the respondents the research carried out by the CIFOR GCS REDD+ project 'definitely'

had a high impact on REDD+ processes internationally, while 60% of respondents thought that this was the case nationally. In both cases, the remaining 50% and 40% of respondents respectively thought that GCS research 'somewhat' had an impact on REDD+ processes either nationally or internationally. Similarly, at the sub-national level, the results showed that, while 57% of respondents thought that the research 'definitely' had an impact, the remaining 43% thought that the research was 'somewhat' impactful sub-nationally. Therefore, it seems that, overall, the research was impactful at all levels in Ethiopia.

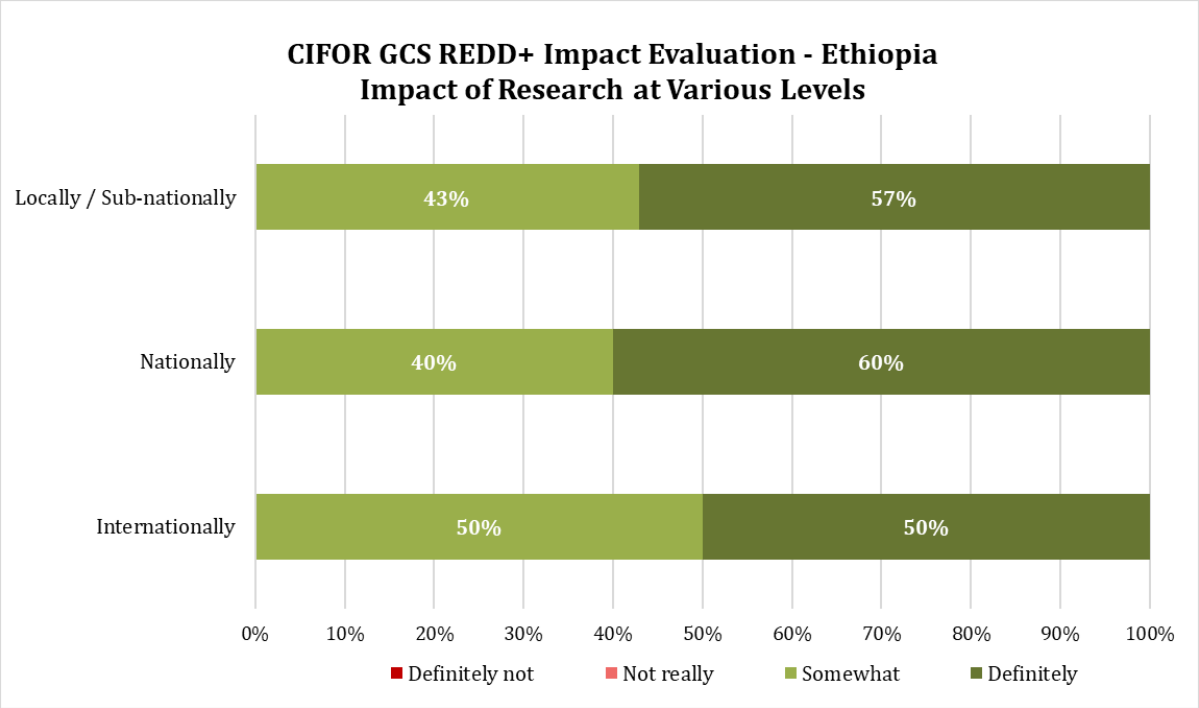

Figure 21: Ethiopia specific survey results (question 18) – Impact of GCS research at various levels

As an example, one local stakeholder mentioned women's engagement with and empowerment through seedling preparation and plantation activities for afforestation/reforestation activities for climate change mitigation measures at the sub-national level, since they earned technical skills and leadership, as well as being able to diversify their income – economic/financial incentive (ET09).

5.2.2.1 Factors contributing to the relevance of the research nationally and sub-nationally

Landscapes in Ethiopia can be very diverse, from extremely harsh growing conditions to quite fertile and woody areas. These differences are mirrored in the natural flora and fauna, thus offering good opportunities to conduct REDD+ related research projects, aiming to promote sustainable forest management to reduce emissions from deforestation and forest degradation.

As well as contributing to capacity building through workshops and trainings to inform and influence higher decision makers and middle-level officials (ETH04), CIFOR also mobilized relevant expertise from both the academia and research institutes to perform different activities. This contributed to pooling the available knowledge base of the country. In particular, CIFOR also tried to 'integrate' agricultural activities with environmental protection, providing

capacity building training to relevant stakeholders for the effective performance of forest management. Linked to this, a platform with steering and technical committees was established providing a forum for high level engagement in REDD+ as well as a learning network for local stakeholders (ETH03).

5.2.2.2 Factors hindering the relevance of the research nationally and sub-nationally

As previously mentioned, one interviewee pointed out that the project's emphasis on global comparisons might have limited a more detailed investigation of REDD+ processes at the national level (ETH06), while, according to another stakeholder, GCS project activities contributed to closer engagement with indigenous communities, but not to improvements towards gender balance (ET02), although ET09 thought otherwise (please see above).

Other limiting factors mentioned by stakeholders interviewed included 'bureaucracy' barriers as well as the complexity of the applicability of science (in practice) on the ground. Additionally, the lack of a forestry data center as a point of reference and source of information for the public sector was also mentioned by one interviewee. A number of relevant studies and consultative works conducted outside the formal sector seemed to remain 'unused' though. This also included relevant documents produced by CIFOR, as well as other consultative works at the country level, which were not made readily available for users (ETH01).

Furthermore, at the country level, CIFOR had limited human capacity (two staff members involved in GCS REDD+ activities and a country leader). According to local stakeholders, this limited the full-scale implementation of its activities. In addition, it was highlighted that transport and industry sectors, which are the major contributors of GHG, were not addressed by the CIFOR GCS REDD+ project. Although these sectors are arguably out of scope, an interviewee suggested that future emission reduction activities should consider not only forestry but also transport and industry sectors. Another local stakeholder interviewed also mentioned other sectors which CIFOR has not yet engaged with, including education (climate educational strategy), energy and water, wildlife and tourism (ETH03). Moreover, CIFOR GCS REDD+ project activities were focused on the high forests of the country. As a result, woodland vegetation, which covers a significant area of the country, was not included (ETH02).

Another key limiting factor in Ethiopia was the policy – implementation gap. According to one stakeholder, policy revisions were undertaken prior to implementation of previous policies, thus hindering progress in practice. Additionally, it was 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 could be other limiting factors (ETH03).

Moreover, in Ethiopia, the country's ethnic politics has been a barrier to research work as it has created an unstable situation both in the towns and in the countryside, thus constituting a key challenge to conduct field level research (ETH01, ETH06).

A REDD+ related negative outcome (not necessarily GCS REDD+ project specific) was linked to local communities' expectations to get considerable REDD+ payments for conserving existing natural forests. Climate finance was ambitiously announced, resulting in 'big' expectations by

local communities. However, when these expectations were not met, it led to community dissatisfaction, and negatively impacted communities' customary forest management practices, as local communities cleared nearby forests for agriculture in South Western Ethiopia (ET02).

5.3 Ethiopia key recommendations for 2021 and beyond

5.3.1 Continued validity of 2018 mid-term review recommendations

Respondents' comments in Annex 6 – 'Opportunities for improvements suggested by key informants' of the mid-term review (Ducenne, et al., 2019) continued to be widely shared by the stakeholders consulted in this current study. Please see the table below for more details.

Table 5: Opportunities for improvements suggested by key informants of the mid-term review (Ducenne, et al., 2019) that continue to be valid in Ethiopia

Highlighted points	Still valid in Ethiopia	Evidence
Knowledge Co-Producers		
Common agreement between related stakeholders in the forest management to ensure fairness and equitability between these actors	Valid	ETH05
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	ETH03
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	ETH02, ETH03
Supporters		
More engagement with private sector, explore and support payment for performance issues and solutions	Valid	ET01, ET06, ET07, ET08
Knowledge management matters as much as knowledge production, especially with the focus on REDD+ implementation; develop country specific solutions relevant to implementation; knowledge management: translating knowledge base into practice	Valid	ETH05
Implementers		
More attention/research on private sector links, including agribusiness, and international carbon markets	Valid	ET01, ET06, ET07, ET08
Explore how to better inform and reach key decision makers and wider audiences at jurisdictional level	Valid	ET06
Perform more research on financing aspects of REDD+ implementation (document possible domestic financing mechanisms, etc.) and straighten capacities in applying to funding calls	Valid	ETH02
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
Researchers		
Attention to agriculture and deforestation drivers	Valid	ET02

5.3.2 2021 final evaluation review recommendations (phase 3)

Ethiopia local stakeholders provided various recommendations through several interviews and survey responses – indeed, the survey response rate in Ethiopia was the highest amongst all the priority countries.

Research on transport and industry sectors was suggested, together with other topics, such as pollution in the urban environment, and urban and peri-urban forests (ETH02), but at least some of these areas might be out of scope.

More engagement to share and promote research findings was also suggested, particularly in cooperation with the National REDD+ Secretariat (ET06). More generally, several local stakeholders suggested even closer interactions and stronger engagement with various kinds of stakeholders, including decision makers (government), technical experts, civil society (CSOs), private sector, and also local people, for capturing diverse viewpoints (ET01, ET06, ET07, ET08). From the perspective of local stakeholders, this could be part of an Ethiopia specific focus on REDD+ project implementation, to consider the national challenges and opportunities, potentially also focusing on certified forest area and land use planning, amongst other topics for Ethiopia specific research (ETH06, ET06). Apart from forest certification, a national (rather than global) focus could also allow to further explore and address issues like community rights and legal gaps for result-based payment (ET07). This could in turn facilitate further engagement locally, particularly if discussions are framed around topics related to forest benefits, creation of job opportunities in the forest sector, and capacity building for relevant stakeholders (ETH03).

Further suggestions on potential, additional or continued areas of work included:

- laying the foundation for REDD+ preparedness;
- informing and influencing policy processes (e.g., national REDD+ programs and donor partners such as NICFI);
- summarizing, reviewing and assessing existing systems, analytically, and providing references;
- further supporting the National Forest Monitoring System (NFMS) and the Measurement, Reporting and Verification (MRV), as well as carbon accounting;
- further analyzing the underlying drivers of deforestation and forest degradation, as well as conducting policy actors' network analysis;
- exploring the need for a multi-level, multi-stakeholder coordination platform for REDD+ implementation (ET06, ET07);
- engaging in capacity building for forest degradation quantification and forest ecosystem service valuation (ET03, ET04), quantifying emissions from forest degradation using Remote Sensing technology and GIS techniques, and enhancing country specific monitoring and evaluation tools, including the Ethiopian Biodiversity Institute Geoportal (Ethiopian Biodiversity Institute, 2021) (ET09);

- providing more technical support on MRV (ET08);
- considering biodiversity issues via agro-biodiversity;
- developing Ethiopian LULC classification scheme using Remote Sensing and GIS technology;
- assessing management effectiveness of forests using standard methods and tools such as Rapid Assessment and Prioritization of Protected Areas Management (RAPPAM) methodology;
- forest fire detection and quantification using RS and GIS techniques.

5.3.3 Learnings for the next phase of the project (phase 4)

As REDD+ is not just about forests but also about people's empowerment and good governance, indigenous people's rights over forest resources as well as erosion of biodiversity resources due to various factors (including policies' unintended consequences and corruption) could be further explored (ETH01).

In addition, CIFOR GCS REDD+ project activities were limited to high forest areas. However, as Ethiopia is also rich in woodland vegetation, the project could have also considered the small-leaved and the broad-leaved woodland vegetation of the country, expanding interventions to the South Western bamboo forests and the North Western dry forests, along with high forests (ETH04).

More generally, a few key learnings from the experience in Ethiopia could be helpful for the next phase of the project, including the need to identify financing sources for REDD+ investment activities and result based payments (for REDD+ results), as well as exploring the meaning and operationalization of the Paris Agreement for driving effective REDD+ mechanisms globally (ET06).

In fact, to date, REDD+ has been supported on a project basis, lacking grounded institutional arrangements (e.g. UN arrangements). Therefore, it seems that international institutions might be needed to support the implementation of REDD+. From an Ethiopia specific perspective, the country achieved the REDD+ readiness phase and tried to 'jump' into the second phase, which is the REDD+ investment phase, but the expected/promised finance for the investment phase was not obtained, and this negatively affected REDD+ implementation.

Thus, at least in Ethiopia, it seemed that traditional communities were willing to implement REDD+ on the ground, but the lack of finance has been the major bottleneck in this endeavor. From this perspective, it also seems that international institutions could have an opportunity to further support REDD+, both in terms of availing finance and by providing technical support. For instance, the publication of the REDD+ MRV document was mentioned as one of CIFOR's most impactful activities in Ethiopia, but further focus on finance was also suggested (ETH07).

Finally, a local stakeholder interviewed also mentioned that local communities' benefit sharing modalities should comply with the Nagoya Protocol on Access and Benefit Sharing (UN, 2011) (ETH05).

6 DRC Country Analysis

A total of 6 interviews with local stakeholders were carried out in DRC. There were 7 survey responses.

Key summary points

- According to stakeholders' feedback, CIFOR's workshops were considered useful for exchanging experiences and learning lessons, aiming to improve the REDD+ framework (including the implementation of MRV at the provincial level).
- In October 2019, CIFOR co-facilitated a national workshop in Kinshasa with the Ministry of Natural Resources and the REDD+ Coordination Agency which focused on REDD+ policies, progress in DRC, and sharing lessons from the global comparative work. 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.
- Awareness of the importance of the preservation of peatlands has 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.
- In July 2019, a knowledge-sharing event was organized by the DRC Peatland Unit, in Kinshasa, and CIFOR was invited to present its experience on peatlands. This example shows CIFOR's engagement and collaboration with the DRC public sector on peatlands.
- 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 provided stakeholders with an analysis of the issues affecting the REDD+ policy environment in DRC, highlighting the main implementation challenges and opportunities.
- CIFOR's research outputs published under the GCS REDD+ project did not seem to be very well known in DRC, even if CIFOR was recognized as an important actor. Therefore, although local stakeholders acknowledged the quality of the research carried out by CIFOR, they were reluctant to share definitive answers on the GCS REDD+ project in particular, while still highlighting CIFOR's important role in informing (and thus improving) REDD+ processes.
- As CIFOR's GCS website is not organized on a country basis, this did not help local stakeholders to quickly access research papers particularly relevant to the DRC context, and be aware of activities currently being undertaken, including their timelines and objectives.
- DRC survey responses and interviews confirmed local stakeholders' trust in CIFOR, as well as their desire for a stronger CIFOR presence in the country, particularly in Kinshasa, for better visibility.

6.1 Did the project achieve intended outcomes and what lessons were learned about policy engagement (nationally and sub-nationally)?

6.1.1 Were project outcomes realized?

The GCS project contributed to the creation and transmission of knowledge, thus supporting REDD+ processes in DRC. Together with GCS activities, CIFOR also coordinated other REDD+ related projects, including REAFOR, REFORCO, FCCC and FORETS. By linking up with these other projects and several partnerships, the GCS had a good network of knowledge creation and lesson sharing at the national level in DRC.

As shown in the first two rows in the graph below (illustrating DRC survey responses to question 7), according to DRC stakeholders, the GCS project was generally perceived to have either 'definitely' (43% - 29%) or 'somewhat' (57% - 71%) informed and influenced policies and practices related to REDD+ at the national level (Module 1 – Outcomes 1.1 and 1.2 respectively).

However, looking at the DRC specific analysis of the survey results in the graph below, it seemed that the GCS project might have been less effective in its engagement with CSOs, as 57% of DRC respondents thought that, as a result of project activities, 'civil society organizations [could 'somewhat'] more effectively monitor, through new tools and information, the commitments of governments and the private sector to avoid deforestation' (Module 1 – Outcome 1.3), while the remaining 43% of stakeholders thought that this was 'not really' the case (third row in the graph below).

DRC survey respondents had mixed views regarding CIFOR's contributions towards the achievement of Outcome 3.1 'countries accommodate multiple drivers of deforestation and forest degradation into MRV system and FREL development' (Module 3), as 29% of respondents 'definitely' agreed, 43% 'somewhat' agreed and 29% thought that it was 'not really' the case (sixth row in the graph below).

Several local stakeholders thought that 'partners [were either 'definitely' (33%) or 'somewhat' (50%)] aware of and used project knowledge in their decision-making' (Module 5 – Outcome 5.1), while 17% of DRC survey respondents (one stakeholder) disagreed (last row in the graph below).

The stakeholders interviewed were uncertain regarding the linkages with the GCS (as opposed to CIFOR) and, therefore, the impact of the activities and the research carried out under the GCS project (DRC02, DRC05). For instance, Outcome 4.1 – 'international actors and networks that support cross-sectoral landscape management were informed by evidence from multisectoral and multilevel governance analysis' (third row from the bottom in the graph below) scored well in DRC even if it was not one of the priority project outcomes there.

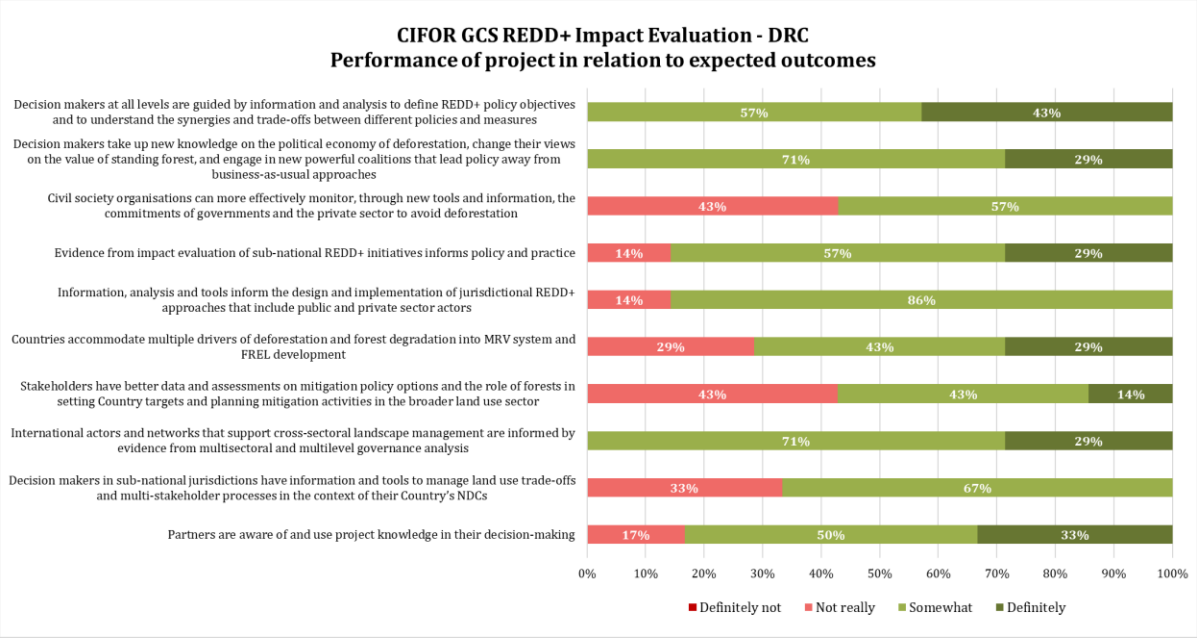

Figure 22: DRC specific survey results (question 7) – Performance of GCS project in relation to expected outcomes

6.1.2 Did project activities contribute to policy or practice change in DRC?

In November 2020, CIFOR held a virtual national stakeholder workshop focusing on DRC (*Analyser et transformer la REDD+ en RDC*). Amongst other topics, CSOs' more prominent role and greater influence were discussed during the workshop. This evolution has been supported by FONAREDD and the emergence of the GTCRR (*Groupe de Travail Climat REDD – Rénové*), which is particularly active on social networks and in national and/or sub-national workshops. However, according to some interviewees, CSOs could be more involved in REDD+ processes to stimulate the Government to act in a timelier manner (DRC05, DRC06) (Pallares, 2020; Ngeunga, 2020).

According to stakeholders' feedback, CIFOR's workshops were considered useful for exchanging experiences and learning lessons, aiming to improve the REDD+ framework (including the implementation of MRV at the provincial level).

In October 2019, a workshop on 'Multilevel governance and implications for provincial level MRV in DRC' was organized by CIFOR in Kinshasa. This workshop (linked to Module 3) brought together 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). In addition, CIFOR also co-facilitated another national workshop with the Ministry of Natural Resources and the REDD+ Coordination Agency in Kinshasa in October 2019. The latter workshop (linked to Module 1) was focused on REDD+ policies, progress in DRC and 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).

However, according to two local stakeholders, at least in one case, following the successful GCS REDD+ Module 1 and Module 3 national stakeholders' workshops held in October 2019, CIFOR had not followed up to collaborate with the national REDD+ coordinator (CNREDD) to support the implementation of the MRV mechanism in the Mai-Ndombe province (DRC02, DRC04), where a large carbon project should be further developed in 2021. This was thought to be largely due to Covid, which inhibited several in-country activities planned for 2020.

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 was involved in the ITPC together with Indonesia and Republic of Congo (CIFOR, 2019). In addition, in July 2019 in Kinshasa, a knowledge-sharing event was organized by the DRC Peatland Unit where 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.

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

6.1.3 Positive unexpected outcomes in DRC

CIFOR's support in MRV capacity development at provincial and national levels, including in assessing the national REDD+ strategy in 2020 was not 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 (CIFOR, 2019).

6.1.4 Negative unexpected outcomes in DRC

No negative unexpected outcomes were identified in DRC.

6.1.5 Were decision makers equipped by the project's knowledge processes and products in 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 provided stakeholders with an analysis of the issues affecting the REDD+ policy environment in DRC, highlighting the main implementation challenges and opportunities (Kengoum, et al., 2020).

However, it is difficult to estimate to what extent this and other DRC focused publications[10] (a good proportion of which has also been published in French), influenced decision and policy

[10] Topics covered by DRC focused publications included low-emission rural development (LED-R) and commodities such as palm oil and cocoa.

makers and supported the implementation of the REDD+ National Strategy and the REDD+ Investment Plan.

Looking at the DRC specific analysis of the survey results in the graph below, it seemed that the majority of the respondents thought that regional/local government was more influenced at the sub-national level (60%), while central government was more influenced at the national level (57%). However, 14% of the DRC survey respondents thought that central government was 'not influenced at all' by the research of the GCS project. Similarly, the other two sectors which some stakeholders thought were 'not influenced at all' by the research were cooperative/producer associations (20%) and large scale business/industry (17%), while both small scale business/industry and community based organizations seemed to be influenced mainly at the sub-national level (80% and 75% respectively) and, to a lesser extent, at the national level (20% and 25% respectively). Both NGOs and donors seemed to have been primarily influenced at the national level (according to the DRC specific analysis of the survey results shown in the graph below).

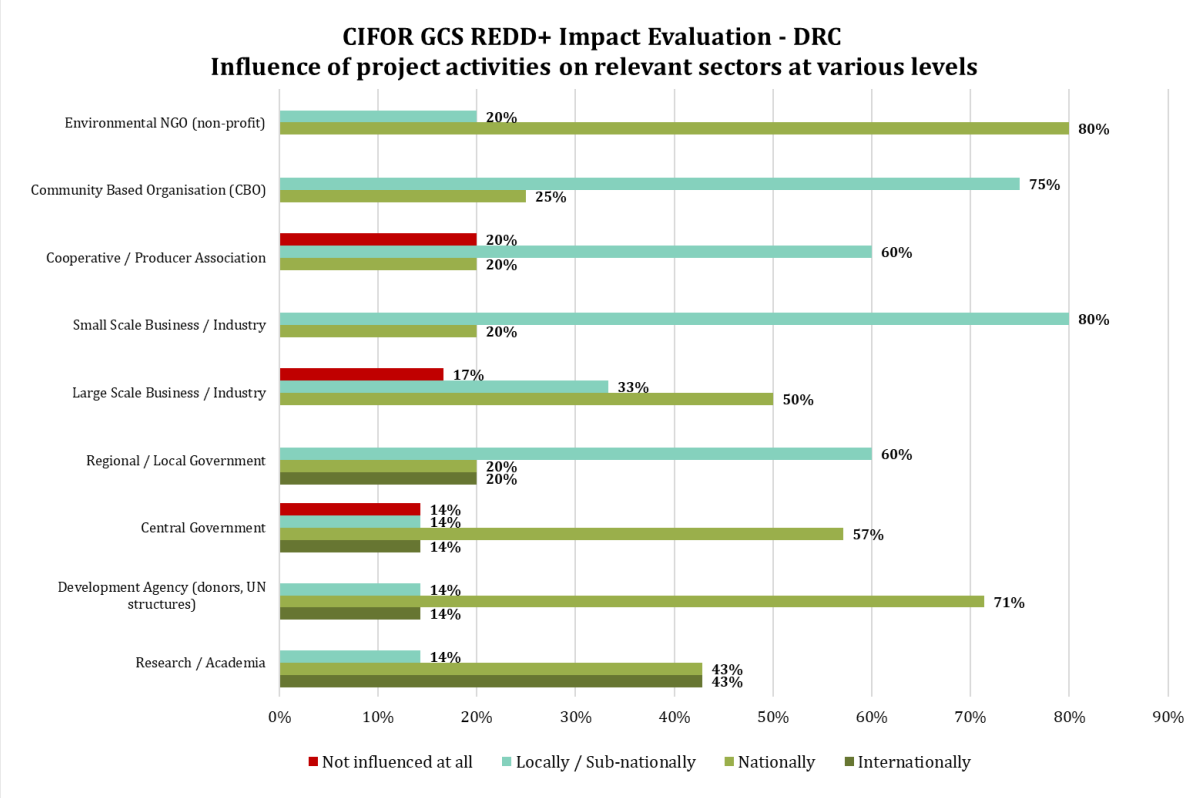

Figure 23: DRC specific survey results (question 11) – Influence of GCS project activities on relevant sectors at various levels

6.1.6 Lessons learned about engaging decision makers in DRC

Policy and decision makers' engagement in the REDD+ process in DRC was limited mainly through other international actors, rather than led by local stakeholders.

According to the interviewees, at the national level, even if the FONAREDD Steering Committee involved all the relevant ministries, not all of them 'actively' worked on REDD+. In addition, the levels of engagement and involvement to lead the political reforms needed to address DRC

REDD+ priorities vary between different ministries. On the other hand, at the provincial level, some decision makers complained about their lack of involvement in the REDD+ process (e.g. PIREDD financial management).

Finally, it is important to note that in DRC, as in other countries, when the bureaucratic arrangement of the State changes, it 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.

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

According to DRC specific survey results, as well as DRC stakeholder interviews, CIFOR's research outputs published under the GCS REDD+ project did not seem to be well known, even if CIFOR was recognized as an important actor. Therefore, although local stakeholders acknowledged the quality of the research carried out by CIFOR, they were reluctant to share definitive answers on the GCS REDD+ project in particular, and often provided more general answers, while still highlighting CIFOR's important role in informing (and thus improving) REDD+ processes.

In addition, as CIFOR's GCS website is not organized on a country basis, this did not help local stakeholders to quickly access research papers particularly relevant to the DRC context, and be aware of activities being undertaken in the country, as well as their timelines and objectives.

This was confirmed by the DRC specific analysis of the survey responses to question 20, according to which the main limitation of GCS research was the accessibility of its publications. 43% of the respondents thought that the research was 'not really' easy to access for everyone, while only a few local stakeholders thought that the research was 'not really' targeted (17%) or relevant (14%). On the other hand, 43% of respondents thought that the research was 'definitely' relevant, and 29% that it was 'definitely' timely.

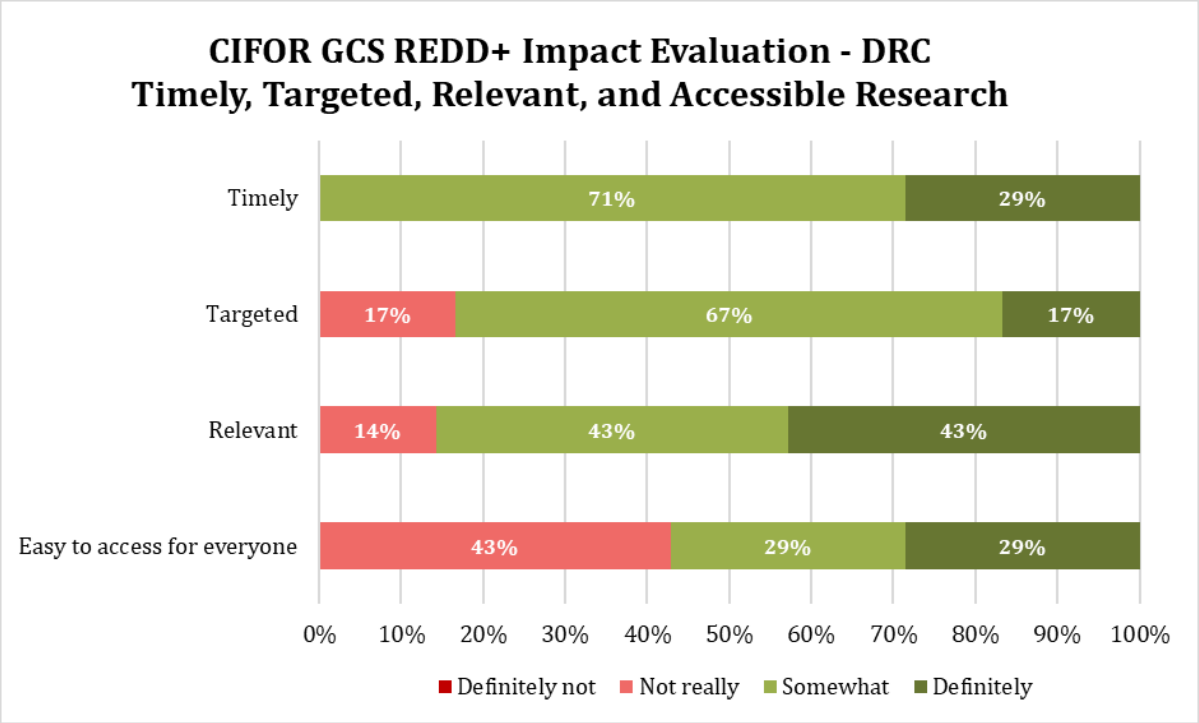

Figure 24: DRC specific survey results (question 20) – Timely, targeted, relevant and accessible research

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

6.2.1.1 Factors contributing to the relevance of the research to the DRC context

In 2012, DRC adopted its National REDD+ Framework Strategy. Then, in 2015, the 2020 DRC REDD+ Investment Plan, which included sectoral approaches and integrated programs, was finalized. This was the basis for the Letter of Intent signed with CAFI in 2016, when the prerequisites for accessing CAFI funds were achieved and the DRC's REDD+ National Fund (FONAREDD) was created, thus allowing to start the programming phase for implementing the 2015-2020 Investment Plan. However, while these mechanisms provide the necessary basis for REDD+ implementation, the latter remains a complex and challenging activity in DRC.

It is recognized that research activities can inform and influence policies and priorities, but the extent to which GCS project activities informed and/or influenced policy and decision makers with respect to the DRC REDD+ National Strategy was less clear.

The impacts of other CIFOR projects, in particular the FORETS (*FOrmation, Recherche, Environnement dans la TShopo*) project in Kisangani, seemed to be more tangible, mainly due to the diverse nature of different projects.

6.2.1.2 Factors hindering the relevance of the research to the DRC context

In DRC there seemed to be a lack of political willingness to implement REDD+ objectives. For example, implementation mechanisms for the Mai-Ndombe carbon pilot project were repeatedly postponed due to issues with NERF (*Niveau des emissions de reference pour les*

forets) values, as well as a lack of clarity in the carbon benefit sharing mechanism, and a lack of budget.

In addition, decision makers' awareness of the GCS project seemed to be low, and resource/funding issues might have hindered opportunities for further engagement by local stakeholders, even if collaboration with CIFOR, and the GCS project in particular, could support them in their own activities while pursuing the implementation of the GCS theory of change.

Therefore, it seemed that stakeholders often failed to acknowledge and be aware of their role towards the development and implementation of REDD+ processes, while CIFOR was recognized but not always seen as present and active as it could be. Additionally, as mentioned above, according to local stakeholders consulted, awareness of the GCS project in particular (as opposed to CIFOR as an organization) was quite low too.

The impact on COVID pandemic in 2020 prevented field trips by project teams to develop and implement REDD+ activities (DRC04, DRC06).

6.2.2 How did the research contribute to national and sub-national REDD+ processes?

6.2.2.1 Factors contributing to the relevance of the research nationally and sub-nationally

CIFOR is well known and well respected in DRC. For instance, the program led by CIFOR offering training support at UNIKIS contributed to the creation of knowledge through PhD and MSc research work. Some of these students now continue to share their knowledge as teachers (DR01, DR07), raising awareness and providing training to future generations.

Additionally, according to the DRC specific analysis of the survey results shown in the graph below, it seemed that, for 40% of the respondents, the research carried out by the CIFOR GCS REDD+ project 'definitely' had a high impact on REDD+ processes sub-nationally, while 29% of respondents thought that this was the case nationally. In both cases, the remaining 60% and 71% of respondents thought that GCS research 'somewhat' had an impact on REDD+ processes, sub-nationally and nationally respectively. At the international level, instead, the results showed that, while 80% of respondents thought that the research either 'definitely' (20%) or 'somewhat' (60%) had an impact, the remaining 20% thought that the research was 'not really' impactful internationally. Therefore, it seemed that, overall, the research was impactful at sub-national and national levels in DRC, but not all the stakeholders agreed that local research also had an impact internationally.

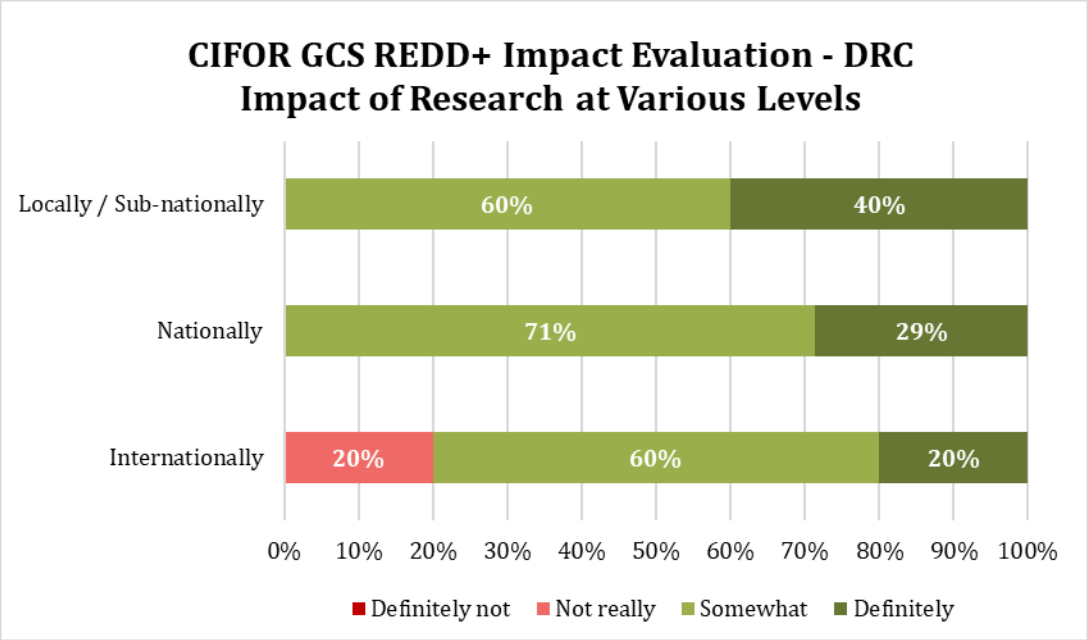

Figure 25: DRC specific survey results (question 18) – Impact of GCS research at various levels

6.2.2.2 Factors hindering the relevance of the research nationally and sub-nationally

The country has undergone major political changes since 2015, including those relating to the electoral process, land tenure, territorial management, and the enlargement of the number of provinces and their operational status (CIFOR, 2018). These changes might have shifted priorities and responsibilities between different levels (i.e. national versus sub-national), thus preventing targeted engagement, actions and focus. In addition, in March 2020, a revision process of the current forest policy was also launched. This could have been an opportunity for CIFOR to further engage with policy makers, aiming to better inform political processes and encourage coordination strategies between different sectoral policies to avoid unintended consequences and foster collaboration.

However, according to DRC stakeholders interviewed, there was a lack of convergence of sectoral policies (e.g. forestry, agriculture, land management, energy, etc.), and REDD+ was not included within different sectoral policies (DRC01, DRC06), thus limiting and/or slowing the development and implementation of REDD+ policies and processes. However, REDD+ implementation requires multi-sectoral processes, facilitated by inter-ministerial coordination, and stronger political leadership to ensure the long-term sustainability (both politically and financially) of REDD+ processes (DRC05, DRC06).

There was a lack of 'national' budget to implement administratively the REDD+ process (DRC03), while 'national' researchers often depended on donors' funds to carry out research (DRC04, DRC05, DRC06), as there might not always be enough budget for field trips in the provinces, where priorities might be different to those in Kinshasa (DRC01, DRC06).

Apart from funding related issues, access to data retained in administration offices remained challenging as unfortunately it was difficult to obtain data from State agents, who might be fearing that the data may be over-scrutinized by researchers (DRC06). Similarly, in universities,

senior researchers might not encourage or facilitate new and innovative work by younger researchers (or students), particularly if on topics they worked on themselves (DRC05).

6.3 DRC key recommendations for 2021 and beyond

6.3.1 Continued validity of 2018 mid-term review recommendations

Respondents' comments in Annex 6 – 'Opportunities for improvements suggested by key informants' of the mid-term review (Ducenne, et al., 2019) continued to be widely shared by the stakeholders consulted in this current study. Please see the table below for more details.

Table 6: Opportunities for improvements suggested by key informants of the mid-term review (Ducenne, et al., 2019) that continue to be valid in DRC

Highlighted points	Still valid in DRC	Evidence
Knowledge Co-Producers		
New strategies for dissemination of data and non-academic formats and other languages e.g., magazines. Budget allocation and time for this	Valid	DR07; DRC03; DRC05
Closer connections to local government and clarity of relationships	Valid	DRC02; DRC03; DRC05
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	DRC01; DRC06
Supporters		
Presence/access to processes at local/microlevel to inform research	Valid	DRC01
Implementers		
Explore how to better inform and reach key decision makers and wider audiences at jurisdictional level	Valid	DRC02; DRC04; DRC06
Attention to language barriers and technical language and more availability of documents in local language	Valid	DR07

6.3.2 2021 final evaluation review recommendations (phase 3)

DRC survey responses and interviews have confirmed local stakeholders' trust in CIFOR, as well as their desire for a stronger CIFOR presence in the country, particularly in Kinshasa, for better visibility.

However, some stakeholders thought that the research was quite detached from development and did not offer an 'easy' implementation in the field (DRC02, DRC04). Nevertheless, this might be due to the way in which the results of the research were communicated. If the same findings could be packaged in a more practical way, stakeholders might feel more engaged and thus see how research findings could also be useful for the field application of REDD+ activities (DRC03, DRC04, DRC05).

6.3.3 Learnings for the next phase of the project (phase 4)

Some local stakeholders would like to see CIFOR more involved to support technical analyses, including clarifying the benefits and limitations of different methodologies and benefit sharing mechanisms to be implemented at different levels. Other research topics suggested by

stakeholders included the convergence of sectoral reforms, the coherence between PIREDD and the National Strategy, governance, factors that hinder the sustainability of REDD+ processes, and even support in defining (and addressing) DRC REDD+ priorities (DRC01, DRC02, DRC03, DRC06). This demonstrates DRC stakeholders' trust in CIFOR, and their interest in REDD+ related research, as well as their desire for a stronger CIFOR presence in the country, particularly in Kinshasa, for better visibility and further support capacity building nationally.

CIFOR could further collaborate with more graduate students, who could deep dive on some 'ad hoc' topics, while being trained and supported by CIFOR's scientists. In fact, although CIFOR is already working with UNIKIS, according to DRC stakeholders interviewed, there are still not enough national experts to pilot REDD+ mechanisms in DRC (DRC02, DRC03, DRC04).

Additionally, different communications channels could be explored to increase the impact of the research, including on decision and policy makers (DRC02, DRC03, DRC04, DRC05). This could be achieved through bespoke support, directly reaching out to key stakeholders, ensuring they have paper copies of the most relevant papers if reliable internet access is problematic locally. This could also be implemented by a DRC specific page on CIFOR's website, potentially linked to a social media campaign to share the links to key publications, including multi-media materials such as short videos that summarize conclusions and take-away points from at least some research papers, thus contributing to 'simplify' the key messages for a broader range of stakeholders (i.e. beyond researchers and academics). Additionally, according to several stakeholders interviewed, materials should be available in French to ensure a wider uptake.

Research carried out to date has been focused mainly on one province (Tshopo). If the research could be expanded to other provinces as well (perhaps starting from following up in the Mai-Ndombe province), then the overall influence at the national level would be greater (DRC02, DRC03, DRC05), and CIFOR could also further support capacity building at the sub-national level.

7 Guyana Country Analysis

A total of 7 interviews with local stakeholders were carried out in Guyana. There were 2 survey responses.

Key summary points

- In Guyana, the GCS project aimed to achieve outcomes 1.1, 1.2, 1.3, 3.1, 3.2 and 5.1. According to local stakeholders' feedback, outcomes 3.1 and 3.2 were achieved (to a certain extent also outcome 3.3), while evidence was limited regarding outcomes 1.1, 1.2, 1.3, mainly due to changing political circumstances and potential indirect influences, and 5.1, mainly due to the complexity of publications.
- CIFOR's collaboration with the Guyana Forestry Commission (GFC) on MRV (Module 3) seemed to have been particularly successful.
- 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.
- The GCS project was successful in training GFC staff (technical training plus capacity building), so that the GFC had, over the project period, taken on the responsibility of sharing MRV data with other agencies and organizations. This was challenging for the GFC as this 'data sharing' role exceeded GFC's resource capacity. Reporting commitments under the Guyana Norway Agreement were also time and resource intensive, accounting for nearly 30% of GFC staff time. This reduced GFC ability to develop and support capacity building within government agencies (time constraint).
- The Forest Carbon Partnership Facility (FCPF) collaborated with the GFC 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. Therefore, the GCS project indirectly engaged with local communities through the GFC and the FCPF.
- GCS project activities experienced some delays in conducting the research, which were at least partly due to the transition from one national administration to the next, which resulted in changes in national policies. It also hindered collaborations, working relations and ultimately progress achieved to date, primarily capacity building.
- Although the project still contributed to capacity building and knowledge sharing, it was also highlighted that, even if publications were 'reliable and frequently referenced' by academics and researchers, they weren't easily applicable as they were too long and complex to be 'absorbed', particularly at the political level.
- Two CIFOR field missions were undertaken in 2015 and 2017 and, as the GFC participated in both, these contributed to their technical capacity building and, as a consequence, to the development of the REDD+ process nationally. However, one interviewee mentioned that field visits were very short and did not allow much time for collaboration between partners.

- CIFOR's collaboration with IWOKRAMA, through the FORENET project, helped to establish and strengthen the link between CIFOR, the 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.

- Other 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.

- Although published reports were useful, local stakeholders suggested to focus more on briefs and summaries to foster engagement with a wider group of stakeholders, thus creating a learning platform for those who needed to use the information, but also for those who just wanted to keep informed.

- Local 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. Nevertheless, transformational change requires nationwide stakeholder engagement and consultations which are resource intensive and require considerable funding/financial resources, as well as human capacity.

Please note that due to the limited number of Guyana specific survey responses, survey data was not included in this country level analysis.

7.1 Did the project achieve intended outcomes and what lessons were learned about policy engagement (nationally and sub-nationally)?

7.1.1 Were project outcomes realized?

In Guyana, the GCS project aimed to achieve outcomes 1.1, 1.2, 1.3, 3.1, 3.2 and 5.1. According to local stakeholders' feedback, outcomes 3.1 and 3.2 were achieved and to a certain extent also outcome 3.3. Evidence was limited regarding outcomes 1.1, 1.2, 1.3, mainly due to changing political circumstances and potential indirect influences, and 5.1, mainly due to the complexity of publications.

According to local stakeholders interviewed, one of the main impacts of the GCS REDD+ project was CIFOR's contribution to identify challenges and opportunities relating to policies. The previous government drafted a national REDD+ strategy identifying five strategic options. However, this work was not translated into actual policy as the proposal was not approved by Parliament. In 2018, CIFOR representatives met with the Minister and with the Green Climate Fund to advance discussions on collaborations (GUY01). CIFOR was then asked to support in a number of areas, including on LIDAR and on safeguards.

CIFOR contributed to build the capacity to access information, conduct assessments and reporting, through various trainings delivered to the Guyana Forestry Commission (GFC)[11], as well as providing technical support, particularly on safeguards, which were very important for local stakeholders (GUY02). As a result, GFC's in-house capacity and skills grew with the preparation and submission of reports and financial management documents, as well as the implementation of MRVS activities (LTS International Limited (UK), 2020).

In addition, CIFOR, in collaboration with GFC, provided support to develop roadmaps towards establishing a national MRV system, looking both at safeguards and at various technologies to strengthen monitoring capacity (GUY01). In particular, the GFC, with CIFOR's support, created a system for continuously generating data. This was achieved by maximizing the use of the data shared with other agencies, and through support (GUY01).

The need for real time or updated information on land cover changes was demanded by both government agencies and non-governmental organizations as part of MRV's second phase (2015-2020). The key objective of Phase 2 was to improve the system and to continue to

[11] The Guyana Forestry Commission (GFC) falls under central government, whose level of focus is at the national level. The GFC is a project partner in the capacity of technical implementer of REDD+ under the CIFOR GCS programme. The GFC undertook studies for CIFOR in collaboration with Wageningen University, to determine the best allometric models used in determining forest cover. In 2017 – 2018 the allometric models LIDAR and Chave 2005 were tested to determine how they corresponded in the determination of forest cover.

monitor forest change in the event of 'non-REDD+ payment' (LTS International Limited (UK), 2020).

This work was undertaken following collaboration and consultation with several agencies including the Guyana Gold Mining Commission (GGMC) board on MRV's data usage, as well as on outputs for forest monitoring and management. Furthermore, as these data also informed decision makers, when fires were identified as the largest driver of deforestation, these data contributed to steer decision making towards combating forest fires (GUY01).

7.1.2 Did project activities contribute to policy or practice change in Guyana?

To date, Guyana has adopted a number of climate change and sectoral policies that aim to promote sustainable development, including the Low Carbon Development Strategy (LCDS) and the Green State Development Strategy (GSDS), the former being currently implemented by the newly elected regime (LTS International Limited (UK), 2020).

In this context, 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 V, 2020). Additionally, the main findings from the Guyana country profile were 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). Researchers in Iwokrama were also trained on data analysis and engaged as co-authors on a global comparative REDD+ policy paper (Korhonen-Kurki et al. 2019). Furthermore, in 2019, CIFOR also 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.

Regarding Module 3 related activities and impacts, CIFOR supported the technical staff in Guyana in adopting CIFOR's stepwise approach to MRV GHG mitigation. CIFOR also provided direct forest monitoring support to 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 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. Therefore, CIFOR, together with other partners supported the GFC in data generation and capacity building for their national forest monitoring system, as well as with their REDD+ safeguard information system.

7.1.3 Positive unexpected outcomes in Guyana

The GCS project created a 'platform' not just for discussing issues but also for further engagement and collaboration in Guyana (GUY02).

The MRV system improved linkages between more isolated indigenous communities (hinterland) and more populated coastal regions (LTS International Limited (UK), 2020). In fact, there was consistent capacity building within indigenous communities under the Community MRV System (CMRVS) on GPS use, data collection and report writing (LTS International Limited (UK), 2020). This also 'trained' communities for Payment for Ecosystem Services (PES) (LTS International Limited (UK), 2020).

In addition, according to local stakeholders, REDD+ approaches also inspired and influenced the Guyana Lands and Surveys Commission – GLSC (GUY05). In fact, whilst it appeared that the GLSC had no direct contact with CIFOR, the latter's engagement with the Ministry of Natural Resources, as well as other consultants and/or partners working on REDD+ related projects, seemed to have an indirect positive influence (potentially through the FLEGT Secretariat or the Ministry of Natural Resources) (GUY05). Consultations on REDD+ under the GCS project coincided with the implementation of the REDD+ funded Sustainable Land Development and Management (SLDM) project by the GLSC, with similar benefits overall (GUY05).

Land titling issues arose from REDD+ implementation activities (GUY05) and, as a consequence, the grievance mechanism under REDD+ became really helpful for the GLSC, which benefited from the shared experiences in its development and implementation, especially on how to deal with land conflicts that may arise in Guyana (GUY05).

Furthermore, research undertaken under the GLSC explored the potential benefits from carbon credits (if sold on the carbon market), with different agencies providing different estimates (GUY05), and CIFOR's publications might have informed this research.

7.1.4 Negative unexpected outcomes in Guyana

The GCS project trained GFC staff, who over the project period, took on the responsibility of sharing MRV data with other agencies and organizations. However, it was also noted that this has been particularly challenging for the GFC as this 'data sharing' role exceeded GFC's resource capacity (LTS International Limited (UK), 2020).

Similarly, reporting commitments under the Guyana Norway Agreement were also reported as being time and resource intensive, accounting for nearly 30% of GFC staff time. This might have reduced GFC ability to develop and support capacity building within government agencies (time constraint).

In 2019, due to restricted resources for funding and personnel to organize a GCS communications workshop in Guyana, the planned workshop in Guyana was replaced with one in Ethiopia (CIFOR, 2019).

7.1.5 Were decision makers equipped by the project's knowledge processes and products in Guyana?

CIFOR's country representatives met with policy makers and supported in high-level international discussions, as well as in setting guidelines. Overall, the collaboration between CIFOR and the GFC was of great influence according to a local stakeholder interviewed (GUY02). The main objective of this collaboration was to strengthen the reliability and robustness of the MRV system (GUY01).

The established MRV system informed decision makers and planners in a number of sectors, both at the policy and agency level (LTS International Limited (UK), 2020).

7.1.6 Lessons learned about engaging decision makers in Guyana

Following engagement with CIFOR, it seemed that decision makers from the GFC were more informed regarding technical aspects, as well as being interested in exploring ways in which CIFOR supported strengthening the MRV including using technologies to improve its monitoring capacity (GUY01). Additionally, it was recommended that the GFC signed MoUs (memorandums of understanding) with various agencies who requested MRV data for their own use.

The Forest Carbon Partnership Facility (FCPF) collaborated with the GFC to provide technical support between 2017 and 2019. This included engagement with various indigenous and forest dependent communities on the MRV, as well as on REDD+ more generally (GUY01). Therefore, the GCS project indirectly engaged with local communities through the GFC and the FCPF (GUY04).

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

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

GCS REDD+ Module 3 research helped to strengthen the work of the GFC during the development of the MRV system. In particular, CIFOR's determination of biomass in the forest guided some of the work, so this research helped to strengthen the methods of measurement under the MRV (GUY01).

CIFOR's research with the University of Wageningen was impactful in Guyana as the methods for assessing carbon storage themselves, as well as CIFOR's training on those methods, helped build local capacity. In order to achieve this, partnering with GFC was crucial for the information gathering process for the research. It also provided a platform for sharing experiences and knowledge, with (technical) inputs from CIFOR representatives (GUY02).

Thus, the research was important, timely and targeted to the context, with researchers and lecturers using MRV data in research and funding proposals, and the Inter-American Development Bank using MRV printed data (LTS International Limited (UK), 2020).

7.2.1.1 Factors contributing to the relevance of the research to the Guyana context

At the country level, some workshops created opportunities for multi-stakeholder engagement and knowledge sharing, including raising awareness of GCS project publications, which were also available on CIFOR's website (GUY02).

Furthermore, more 'global' forums (including in Indonesia) offered the possibility to hear lessons learnt from other countries and share information, which was helpful for Guyanese stakeholders (GUY02).

7.2.1.2 Factors hindering the relevance of the research to the Guyana context

According to local stakeholders, the capacity of government agencies needed to be strengthened in order to properly access, manage and make effective use of grants. Therefore, this was a significant funding limitation at the national level.

Furthermore, GCS project activities experienced some delays in conducting the research, partly due to changes in national policies as a result of the transition from one national administration to another. This caused a period of uncertainty on the political direction some of the issues on REDD+ and climate change may have taken even in the short term during the research period itself (GUY02).

Although the project still contributed to capacity building and knowledge sharing (GUY02), it was also highlighted that, even if publications were 'reliable and frequently referenced' by academics and researchers, they were not easily applicable as they were too long and complex to be 'absorbed', particularly at the political level (LTS International Limited (UK), 2020).

7.2.2 How did the research contribute to national and sub-national REDD+ processes?

GCS research included looking at the experiences learnt and identifying the challenges and opportunities in designing the REDD+ strategy. Field work was also used to strengthen carbon estimation methods, as the equations were verified in the field (GUY01).

A publication on the allometric equation was also compiled, primarily from research conducted in Guyana. Two CIFOR field missions were undertaken in 2015 and 2017 respectively, and the GFC participated in both, which contributed to their technical capacity building and, as a consequence, to the development of the REDD+ process nationally (GUY01).

GFC was able to utilize CIFOR's expertise to assist the country in further developing areas of the MRV in order to strengthen national reporting (GUY01). The development of the MRV system and its continuous improvement enabled a high standard of reporting, which has been used to secure result-based payments, as well as to report to other international bodies, since the demand for data has increased at all levels – internationally, nationally and across sectors (LTS International Limited (UK), 2020).

GCS research has been a useful source of information for land use policy makers and across various sectors and value chains. The research appeared to be used as a basis for integrating the necessary systems at the institutional level, as well as for the allocation of domestic funding (LTS International Limited (UK), 2020).

7.2.2.1 *Factors contributing to the relevance of the research nationally and sub-nationally*

The research was designed and developed as an integral part of the process, aiming to use it both for publication and to strengthen Guyana's work on carbon estimation (GUY01). These monitoring activities also contributed to better safeguards on carbon stocks and the improvement of forests' capacity to store carbon.

This process was facilitated by CIFOR's collaboration with IWOKRAMA, CIFOR's partner in Guyana, and also through the FORENET project, which helped to establish and strengthen the link between CIFOR, the GFC and the University of Guyana (GUY02). For example, the GFC partnered with IWOKRAMA to host workshops during which the GFC provided updates on the REDD+ process and progress to date in Guyana (GUY02).

Regarding GCS research more specifically, three workshops were held to engage with local stakeholders, including government agencies and NGOs – GGMC, GLSC, WWF, Guyana Wildlife Conservation and Management Commission, Guyana Marine Conservation Society, academia (UG), FPA, GMSA and other associations (GUY02).

One stakeholder interviewed highlighted the value of these workshops, aside from the quality of the research (e.g. rigorous data collection, etc.), since they provided a platform for exchanging experiences and sharing knowledge. CIFOR's involvement in these consultations was seen as crucial to ensure this knowledge sharing aspect, presenting how REDD+ was being implemented in Peru, Vietnam and Indonesia, and sharing lessons learned in other countries with stakeholders in Guyana. The workshops were considered an excellent opportunity to learn from the challenges faced in other countries and how these challenges were addressed (GUY02).

7.2.2.2 *Factors hindering the relevance of the research nationally and sub-nationally*

According to one stakeholder interviewed, reliable and timely access to funding was the main limitation in Guyana (GUY01). Furthermore, linkages between the main agencies needed to be further harmonized, including their funding, as some processes ran 'on parallel tracks rather than in synergy' (LTS International Limited (UK), 2020). Another stakeholder interviewed also reiterated this, recommending that the thematic areas under the national strategy were assigned to specific agencies (along with funding), so that country priorities could be mainstreamed into their workplans, and resources more efficiently allocated (GUY05). A communication strategy that targeted both politicians and agencies for greater commitment and more efficient allocation of revenue (at the national level) to forest protection and monitoring was suggested (LTS International Limited (UK), 2020).

In addition, further coordination, collaboration and cooperation between different agencies also was needed at the national level. One local stakeholder noted that two agencies (GLSC and GFC) had already improved their collaborative ties, showing how inter-agency collaboration could be fostered for other agencies as well (GUY05).

A major challenge was caused by political changes due to changes in government. This hindered collaborations, working relations, capacity building and progress achieved to date, as even if different political parties shared similar concerns on climate change and saw REDD+ as a priority, engagement needed to be 're-started' with new people in power (GUY01).

In practice, it was not clear whether the 'new' government would continue working on a low carbon development pathway. This uncertainty was problematic for the research. However, with the Green State Development Strategy (GSDS), in 2018, the government confirmed that the LCDS was a building block towards the GSDS (GUY02).

One interviewee thought that the length of time of two field visits from CIFOR in 2015 and 2017 was too short and did not allow much time for partners to collaborate and strengthen the work that was being undertaken (GUY01).

COVID 19 negatively impacted MRV work in 2020, particularly regarding Community MRV and indigenous communities' trainings, including the delay of some follow up work by the University of Wageningen. This could be partly due to the fact that technical work via Zoom might not be as efficient and as effective as in-house training (GUY01).

7.3 Guyana key recommendations for 2021 and beyond

7.3.1 Continued validity of 2018 mid-term review recommendations

Looking at the recommendations of the 2018 mid-term review, the following recommendations are still valid in Guyana (Ducenne, et al., 2019):

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

In addition, there may be opportunities to capitalize on links to national universities such as the University of Guyana in order to promote capacity building opportunities for students and others (e.g. making some of the data available for masters or PhD students).

7.3.2 2021 final evaluation review recommendations (phase 3)

Despite the engagement to date at the national level, there seems to be scope for further support to policy development (GUY01), including on good governance, and by enabling decision makers to assign an economic value to forests (as well as by increasing the reach of the MRV system).

Furthermore, more time allocated to technical training was seen as needed, including providing support in developing policies that are aligned with climate change goals (GUY01). This would require more CIFOR presence in the country (GUY01).

7.3.3 Learnings for the next phase of the project (phase 4)

One stakeholder interviewed suggested that a more holistic, long-term REDD+ strategy would be helpful, particularly to address key limitations such as funding (GUY01). This could also include setting up processes to ensure that projects do not stagnate but evolve if environmental or political conditions change overtime (GUY01).

Additionally, although published reports are useful, local stakeholders suggested to focus more on briefs and summaries to foster engagement with a wider group of stakeholders, thus creating a learning platform for those who need to use the information, but also for those who just want to keep informed (GUY01).

This could also be strengthened by information sharing beyond the stakeholder groups already involved in REDD+ related activities, potentially linking up with other existing platforms targeted to other sectors. For example, stakeholders within the fisheries sector may not be aware of their REDD+ linkages, including their responsibilities and potential roles. It was suggested by one stakeholder interviewed that this outreach beyond sectors already currently engaged in REDD+ processes could be developed and undertaken by (or in collaboration with) local agencies, who might be able to 'package' the information to target their specific audiences (GUY02).

Therefore, the knowledge sharing aspect of the project (Module 5) was considered as valuable by local stakeholders. Also, it was hoped that the research scope itself could be widened to include in-depth studies into some of the other elements in relation to REDD+ implementation, aiming to provide an analytical perspective to help to inform policy makers as well as technicians in the implementation of REDD+ (GUY02).

Nevertheless, it was also noted by an interviewee that, particularly when engaging with policy makers, having clear objectives and knowing exactly what you want to do and how to achieve it is key. Therefore, the materials need to be concise and strategic, as policy makers tend to be mainly (if not only) interested in the outcomes and the impacts that can be achieved in terms of change and/or benefit. Thus, the mode of engagement is also of crucial importance and, when engaging with politicians, an elevator pitch approach seems to generally work best (GUY05).

Amongst other topics, local stakeholders suggested to conduct more research on 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. In other words, this kind of transformational change requires a process, and cannot happen in a 'vacuum', as nationwide stakeholder engagement and consultations are needed, but these are also very resource intensive and, therefore, require considerable funding/financial resources, as well as human capacity (GUY02).

A study 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 was suggested (GUY02). This could 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 (GUY02).

8 Myanmar Country Analysis

There was 1 survey response in Myanmar.

Key summary points

- Very limited engagement and activities in Myanmar – mainly relating 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.
- Other activities included a knowledge sharing event in 2017 and other 'method' training sessions for government agencies and CSOs.
- CIFOR supported capacity building in the country, particularly through training of national researchers on political science and gender research methods.
- Myanmar's first NDC, submitted in 2017, already focused on forestry and the energy sector as main areas – with REDD+ playing a critical role.
- 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.
- The lack of interconnectivity and alignment between different sectoral policies (cross-sectoral coordination) limited the development and implementation of REDD+ processes.
- Feedback from a local stakeholder 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.
- It was recommended to conduct 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).
- Due to the current political situation in the country, further engagement with any policy or decision makers would be extremely difficult if not impossible.
- If Myanmar is not included as a priority country in phase 4, then an exit strategy potentially including some limited lesson sharing opportunities could be helpful.

Please note that, due to the very limited number of Myanmar specific survey responses, survey data could not be included in this country level analysis. Additionally, no interviews were conducted with local stakeholders due to limited resources.

8.1 Did the project achieve intended outcomes and what lessons were learned about policy engagement (nationally and sub-nationally)?

8.1.1 Were project outcomes realized?

Despite project activities only starting in 2017, the GCS project was successful in capturing political interest and attention on REDD+ and the main drivers of deforestation in Myanmar (MY01) (CIFOR, 2016a).

Towards the achievement of Outcomes 1.2 and 1.3, a knowledge sharing event and 'method' training sessions for government agencies and CSOs were organized in Myanmar (CIFOR, 2017; CIFOR, 2018). These also contributed to Outcome 5.1, partly because the knowledge sharing event in February 2017 was co-organized with the Forest Research Institute (FRI), but also because key materials from that workshop were uploaded to CIFOR's website, including the presentation on Myanmar's country profile guidelines (Brockhaus, et al., 2017).

The most important contribution towards Outcome 1.2 in Myanmar was the publication of the Myanmar REDD+ country profile (Oo, et al., 2020), developed in collaboration with Myanmar Department of Forestry, Myanmar Forest Research Institute, National Forestry University, UNDP and experts working for the Center for People and Forests (RECOFTC) (CIFOR, 2019). Key findings were also shared in a national workshop in March 2019 and, according to participants' feedback, half of respondents (51%) 'reported useful learning on CIFOR's 3E framework and assessment of the political economy of deforestation and forest degradation', while 79% of respondents 'stated that they would apply this knowledge in their current work'.

8.1.2 Did project activities contribute to policy or practice change in Myanmar?

Myanmar policy makers recognize the role of forests in climate change mitigation and adaptation (MY01). In fact, Myanmar's first NDC, submitted in 2017, already focused on forestry and the energy sector as main areas (WRI, 2020a). REDD+ critical role within Myanmar NDC was also highlighted in the 2017 Annual Progress Report (CIFOR, 2017).

Although not enough evidence could be gathered in order to assess the impact of GCS project activities on decision-making processes related to REDD+ in Myanmar, CIFOR supported capacity building in the country, particularly through training of national researchers on political science and gender research methods (CIFOR, 2019).

8.1.3 Positive unexpected outcomes in Myanmar

There is no evidence of positive unexpected outcomes in Myanmar.

8.1.4 Negative unexpected outcomes in Myanmar

There is no evidence of negative unexpected outcomes in Myanmar.

8.1.5 Were decision makers equipped by the project's knowledge processes and products in Myanmar?

Through Module 1, CIFOR's engagement with the Department of Forestry and the Forest Research Institute started in 2017 for the development of the REDD+ country profile for Myanmar, focusing on direct and indirect deforestation and forest degradation's drivers, but also on policies and measures to address them (CIFOR, 2017).

The Department of Forestry also asked CIFOR to undertake an assessment of community forestry benefit sharing mechanisms related to REDD+ to inform REDD+ policy design in Myanmar (CIFOR, 2017). This research was conducted jointly by CIFOR and Myanmar Forest Research Institute and, according to the 2018 Annual Progress Report, preliminary findings illustrated that the benefits from community forestry were 'captured by only a small number of powerful actors', while there were no participatory processes in place to inform and influence decision-making related to the distribution of those benefits (CIFOR, 2018).

8.1.6 Lessons learned about engaging decision makers in 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.

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

The number of Myanmar focused research outputs seemed very limited, with the exception of the Myanmar REDD+ country profile, whose finalization process took longer than planned (CIFOR, 2019c).

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

8.2.1.1 Factors contributing to the relevance of the research to the Myanmar context

According to the local stakeholder who completed the survey, forests (and REDD+) played a vital role in Myanmar's NDC (MY01). This potentially demonstrated some interest at the political level in the GCS project.

In addition, in 2018, the Government of Myanmar identified benefit sharing mechanisms as one of the areas that needed to be defined in order to finalize the REDD+ strategy (CIFOR, 2018).

8.2.1.2 Factors hindering the relevance of the research to the Myanmar context

Political circumstances as well as lack of engagement at different levels, especially by some ethnic groups, limited the relevance of the research to the local context (CIFOR, 2018).

8.2.2 How did the research contribute to national and sub-national REDD+ processes?

8.2.2.1 Factors contributing to the relevance of the research nationally and sub-nationally

Between 2018 and 2019, the Government of Myanmar, with support from UN-REDD+, organized several consultation workshops on safeguards in all the six provinces (CIFOR, 2018). It seemed that some ethnic groups were much more active than others in these consultations, raising their concerns on various issues, including on land grabbing and indigenous rights, while others did not engage at all in these consultations (CIFOR, 2018).

However, following these consultations in 2018 and 2019, and the draft of a safeguard information system (in collaboration with UN-REDD), the REDD+ national strategy has not yet been finalized.

8.2.2.2 Factors hindering the relevance of the research nationally and sub-nationally

The lack of interconnectivity and alignment between different sectoral policies (cross-sectoral coordination) limited the development and implementation of REDD+ processes. There seemed to be the need to mainstream forest conservation into national development policies and sectoral development plans, especially into those on agriculture, hydropower and infrastructure development (MY01) (CIFOR, 2017).

8.3 Myanmar key recommendations for 2021 and beyond

8.3.1 Continued validity of 2018 mid-term review recommendations

Due to limited data availability, there were no recommendations suggested specifically for Myanmar, although some more general recommendations could be pertinent, such as increased CIFOR's presence in the country for closer engagement with local stakeholders.

8.3.2 2021 final evaluation review recommendations (phase 3)

There seemed to be appetite for a future phase of the GCS project in the country (MY01).

8.3.3 Learnings for the next phase of the project (phase 4)

Feedback from the local stakeholder suggested the implementation of pilot projects to address the main drivers of deforestation and forest degradation in Myanmar (MY01). Furthermore, it was also recommended to host in-country consultations for co-designing the project with local stakeholders (MY01).

Following from analysis undertaken in 2018, 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 interesting for a future phase of the GCS project.

However, if Myanmar was not included as a priority country in phase 4, then an exit strategy potentially including some limited lesson sharing opportunities could be helpful.

Bibliography

Angelsen, A. et al., 2019. *REDD+: la transformation - Enseignements et nouvelles directions.* Bogor, Indonesia: CIFOR.
Anon., s.d. [En ligne].
Bekele, M. et al., 2015. *The context of REDD+ in Ethiopia: Drivers, agents and institutions. Occasional Paper 127..* Bogor, Indonesia: CIFOR.
Bekele, M., Zewdie, S., Boissiere, M. & Atmadja, S., 2018. *REDD+ MRV implementation in Ethiopia: Review of the context, framework and progress. Occasional Paper 192,* Bogor, Indonesia: CIFOR..
Belcher, B. & Hughes, K., 2020. Understanding and evaluating the impact of integrated problem-oriented research programmes: Concepts and considerations. *Research Evaluation,* Issue rva a024, pp. 1-15.
Benn V, P. T. M. M. M. C. T. R. C. P. D. B. H. C., 2020. The context of REDD+ in Guyana: Drivers, agents and institutions.
Bos, A. et al., 2020. Integrated assessment of deforestation drivers and their alignment with subnational climate change mitigation efforts. *Environmental Science & Policy,* Volume 114, pp. 352-365.
Brockhaus, M., Di Gregorio, M. & Pham, T., 2017. *Presentation - Country profile guidelines: Myanmar.* [En ligne]
Available at: https://www.cifor.org/knowledge/slide/7986
[Accès le 23 April 2021].
CIFOR, 2016. *A global comparative study for achieving effective, efficient and equitable REDD+ results. Midterm Review 2016. ,* Bogor, Indonesia: CIFOR.
CIFOR, 2016a. *A global comparative study for achieving REDD+ results (2016-2020). Annual Progress Report 2016.,* Bogor, Indonesia: CIFOR.
CIFOR, 2016b. *Project Proposal: A global comparative study for achieving effective, efficient and equitable REDD+ results (2016-2020).,* Bogor, Indonesia: CIFOR.
CIFOR, 2017. *A global comparative study for achieving REDD+ results (2016-2020). Annual Progress Report 2017. ,* Bogor, Indonesia: CIFOR.
CIFOR, 2018. *A global comparative study for achieving REDD+ results (2016-2020). Annual Progress Report 2018.,* Bogor, Indonesia: CIFOR.
CIFOR, 2019. *A global comparative study for achieving REDD+ results (2016-2020). Annual Progress Report 2019. ,* Bogor, Indonesia: CIFOR.
CIFOR, 2019b. *Midterm Review of GCS REDD+: CIFOR's Management Response.,* Bogor, Indonesia: CIFOR.
CIFOR, 2019c. *CIFOR Annual Norad Project Meeting. 15th August 2019..* s.l.:s.n.
CIFOR, 2020a. *SESIÓN IV: Contribuyendo al MRV REDD+ y contabilidad de GEI en el Perú.* [En ligne]
Available at: https://onlive.pe/cifor-livestream/
[Accès le 13 March 2021].
CIFOR, 2020b. *Workshop «Analyser et transformer la REDD+ en RDC». 8 Powerpoint Presentations. 12th November..* s.l.:s.n.
CIFOR, 2020c. *Draft Final: Stories of Change Report,* Bogor, Indonesia: CIFOR.
CIFOR, 2020. *REDD+ in Peru - Lessons from a decade of research and collaborative work.* [En ligne]

Available at: https://www.youtube.com/channel/UCTy7VCNF12CBicFGCkxDajA
[Accès le 13 March 2021].
Ducenne, Q. et al., 2019. *A global comparative study for achieving effective, efficient and equitable REDD+ results (2016-2020). Midterm Review 2018 Draft Final Report,* Bogor, Indonesia: CIFOR.
Duong, N. T. & De Groot, W. T., 2020. The impact of payment for forest environmental services (PFES) on community-level forest management in Vietnam.. *Forest Policy and Economics,* Volume 113.
ECLAC-OECD, 2016. *Environmental Performance Reviews - Peru,* Santiago, Chile: United Nations Economic Commission for Latin America and the Caribbean (ECLAC); Organisation for Economic Co-operation and Development (OECD).
Ethiopian Biodiversity Institute, 2021. *Ethiopian Biodiversity Institute Geoportal.* [En ligne]
Available at: http://196.188.40.146/
[Accès le 23 April 2021].
FDRE, 2011. *Ethiopia's Climate-Resilient Green Economy Green economy strategy,* Addis Ababa: Federal Democratic Republic of Ethiopia.
Gallo, P., Brites, A. & Micheletti, T., 2020. *REDD+ achievements and challenges in Brazil Perceptions over time (2015–2019),* Bogor, Indonesia: CIFOR.
Global Landscapes Forum, 2020. *One World One Health GLF Biodiversity Digital Conference.* s.l., Global Landscapes Forum.
Grupo de Trabajo Multisectorial, 2018. *Informe Técnico para orientar la implementacion de las Contribuciones Nacionalmente Determinadas.,* Lima, Peru: s.n.
Guyana Forestry Commission, 2019. *Guyana REDD+ Monitoring Reporting and Verification System (MRVS) MRVS Report -Assessment Year 2019,* Georgetown: GFC.
Hergoualc'h, K. et al., 2019. Impacts of Mautia flexuosa degradation on the carbon stocks of freshwater peatlands in the Pastaza-Marañon river basin of the Peruvian Amazon.. *Mitigation and Adaptation Strategies for Globan Change. A Global Comparative Studio for Achieving effective, efficiente and equitable REDD+ results,* 4(24), pp. 645 - 668.
Kengoum, F. et al., 2020. *The context of REDD+ in the Democratic Republic of Congo, Drivers, agents and institutions. Occasional Paper 207..* 2nd éd. Bogor, Indonesia: CIFOR.
Kowler, L. et al., 2016. *Análisis de la gobernanza. Working Paper 209.,* Bogor, Indonesia: CIFOR.
Larsson, A., Sarmiento, J., Ravikumar, A. & Korhonen-Kurki, K., 2019. Gobernanza Multinivel. Algunos problemas de coordinación no se resuelven con coordinación. Dans: A. Angelsen, éd. *REDD+: la transformación. Lecciones y nuevas direcciones.* Bogor, Indonesia: CIFOR, p. 337.
Lopez Gonzales, M. et al., 2020. *¿Qué sabemos sobre las turberas peruanas?.* Bogor, Indonesia: CIFOR.
LTS International Limited (UK), 2020. *Guyana MRV Support - Mid Term Evaluation,* s.l.: Norad.
Málaga Durán, N., 2018. *Changes in ecosystem carbon stocks from the conversion of disturbed forest to oil palm plantation in Ucayali, Peru. thesis for sustentation of Degree of Master of Science in Tropical Forestry and Management. Technic University of Dresde.* s.l.:s.n.
May, P. et al., 2016. *The context of REDD+ in Brazil: Drivers, actors and institutions – 3rd Edition. Occasional Paper 160,* Bogor, Indonesia: CIFOR.
Ngeunga, M., 2020. *Coordonner les actions pour garantir le succès de la REDD+ en RDC.* [En ligne]
Available at: https://forestsnews.cifor.org/69710/coordonner-les-actions-pour-garantir-le-succes-de-la-redd-en-rdc?fnl=fr
[Accès le 23 April 2021].

Oo, T. et al., 2020. *The context of REDD+ in Myanmar: Drivers, agents and institutions,* Bogor, Indonesia: CIFOR.
Pallares, G., 2020. *Faire le bilan de la REDD+ en RDC.* [En ligne]
Available at: https://forestsnews.cifor.org/69725/faire-le-bilan-de-la-redd-en-rdc?fnl=en
[Accès le 22 April 2021].
Peru, 2018. *Los enfoques transversales en la adaptación y mitigación frente al cambio climático al 2030,* Lima, Peru: Peru.
Pham, T. et al., 2019. *Payment for Forest Environmental Services (PFES) policy learning tool: A case study from Vietnam,* Bogor, Indonesia: CIFOR.
Pham, T. T. et al., 2013. *Payments for forest environmental services in Vietnam: from policy to practice. Occasional Paper 93,* Bogor, Indonesia: CIFOR.
Pham, T. T. et al., 2014. Local preferences and strategies for effective, efficient, and equitable distribution of PES revenues in Vietnam: Lessons for REDD+. *Human Ecology,* 42(6), pp. 885-899.
Robiglio, V., Reyes, M. & Makui, P., 2021. *DriveNet: una metodología para el análisis participativo de las causas y mecanismos causales de la deforestación y cambio de uso,* Lima, Peru: Centro Internacional de Investigación Agroforestal (ICRAF)..
Sarmiento Barletti, J. et al., 2020. *¿Cómo vamos? Una herramienta para reflexionar sobre los procesos, los avances y las prioridades de nuestros Comités de Gestión de las Áreas Naturales Protegidas. Documento de Trabajo no 45,* Lima, Peru: Servicio Nacional de Áreas Naturales Protegidas por el Estado (Sernanp) and Centro para la Investigación Forestal Internacional (CIFOR)..
Sarmiento Barletti, J., Larson, A., Hewlett, C. & Delgado, D., 2020a. 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. *World Development,* Volume 127.
Servicio Nacional de Areas Naturales Protegidas por el Estado-SERNANP, 2020. *Una herramienta para reflexionar sobre los procesos, los avances y las prioridades de nuestros Comités de Gestión de las Áreas Naturales Protegidas. Documento de Trabajo N°45.* Lima, Perú: CIFOR.
Stickler, C. et al., 2018. *The State of Jurisdictional Sustainability.,* San Francisco, USA; Bogor, Indonesia; Boulder, USA: Earth Innovation Institute; CIFOR; Governors' Climate & Forests Task Force Secretariat.
Sukri, W. et al., 2020. *The State of Jurisdictional Sustainability: Synthesis for Practitioners and Policymakers,* Bogor, Indonesia: Earth Innovation Institute (EII) and Center for International Forestry Research (CIFOR).
Thuerer, T. & Rouge, J.-C., 2020. *Global Comparative Study for achieving effective, efficient and equitable REDD+ results (phase 3): Monitoring, Evaluation, Learning and Impact Assessment (MELIA) Plan,* s.l.: CIFOR.
Thuy, P. T. et al., 2018. *Tác động của chi trả dịch vụ môi trường rừng (PFES) tại Sơn La, Việt Nam. Occasional Paper 188,* Bogor, Indonesia: CIFOR.
UN, 2011. *The Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization to the Convention on Biological Diversity,* Montreal, Canada: Secretariat of the Convention on Biological Diversity United Nations Environmental Programme.
UN-REDD, 2013. *REDD+ in a Green Economy. Global Symposium Report. 19-21 June 2013, Jakarta, Indonesia.* Jakarta, Indonesia, UN-REDD.

Van Hung, T., Thu Thuy, P. & Thi Lin Chi, D., 2020. *Vietnam Forestry Development Strategy: Implementation results for 2006–2020 and recommendations for the 2021–2030 strategy. Occasional Paper 213,* Bogor, Indonesia: CIFOR.
Viet Nam Administration of Forestry, 2018. *Vietnam Law on Forestry.* Hanoi, Vietnam: Hanoi Publishing House.
Willem, H. V., Ingram, V. & Guariguata, M., 2019. Las concesiones forestales de castaña de la Amazonía peruana: ¿un éxito o un fracaso?. *CIFOR Infobrief,* Issue 262.
World Resources Institute (WRI) Climate Watch, 2020. *WRI Climate Watch.* [En ligne]
Available at: https://www.climatewatchdata.org/countries/PER#ndc-content-overview
[Accès le 13 March 2021].
WRI, 2020a. *World Resources Institute (WRI) Climate Watch - Peru.* [En ligne]
Available at: https://www.climatewatchdata.org/countries/PER#ndc-content-overview
[Accès le 23 April 2021].
WRI, 2020. *World Resources Institute (WRI) Climate Watch - Myanmar.* [En ligne]
Available at: https://www.climatewatchdata.org/countries/MMR
[Accès le 23 April 2021].
Young , J. & Bird, N., 2015. *Informing REDD+ policy An assessment of CIFOR's Global Comparative Study,* London: ODI.

Annexes

The following annexes can be found in Part 1 of the Final Evaluation Report.

Annex 1: Terms of Reference

Annex 2: Survey

Annex 3: Survey analysis overview for quantitative questions

Annex 4: Program modules and outcomes

Annex 5: Analysis of publications of particular importance