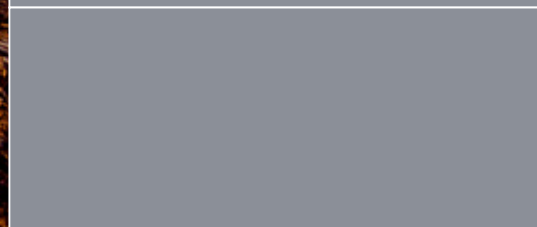
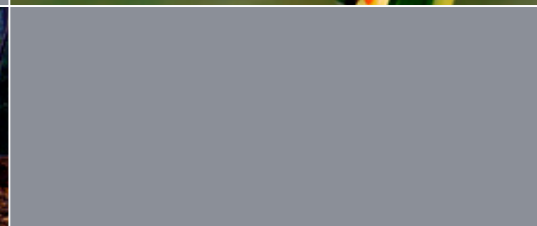
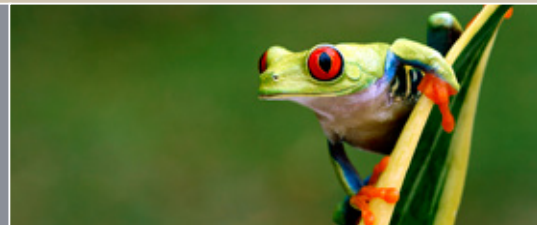
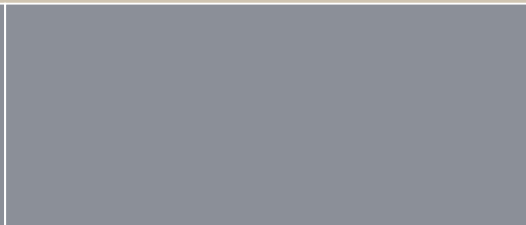
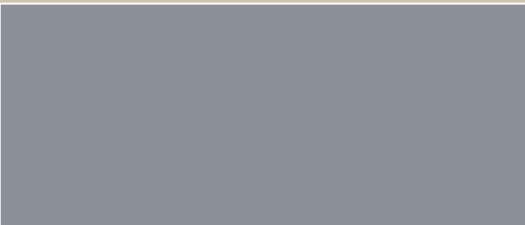




# Real-Time Evaluation of Norway's International Climate and Forest Initiative

Lessons Learned from Support to Civil Society Organisations

Report 5/2012 Evaluation



**Norad**

Norwegian Agency for  
Development Cooperation  
P.O.Box 8034 Dep, NO-0030 Oslo  
Ruseløkkveien 26, Oslo, Norway

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Fax: +47 23 98 00 99

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# **Real-Time Evaluation of Norway's International Climate and Forest Initiative**

## **Lessons Learned from Support to Civil Society Organisations**

**July 2012**

LTS International in collaboration with Indufor Oy,  
Ecometrica and Christian Michelsen Institute

**Disclaimer:**

The report is the product of its authors, and responsibility for the accuracy of data included in this report rests with the authors. The findings, interpretations and conclusions presented do not necessarily reflect the views of Norad Evaluation Department.

**Note on layout and language**

The layout of the document has tried to conform to guidelines for accessibility and ease of reading, which require Arial font and left (not full) justification of the text.

The report has tried to avoid unnecessary use of acronyms and abbreviations.

An easy-read version of the final report will be made available on [www.norad.no](http://www.norad.no)

## Preface

The Norwegian Government launched its International Climate and Forest Initiative (NICFI) in December 2007, pledging up to 3 billion Norwegian kroner (USD 0.5 billion) per year to reduce emissions from deforestation and forest degradation in developing countries (REDD). NICFI supports readiness efforts, methodology development, and pilot projects in a number of countries. While the majority of NICFI financial support is channelled through multilateral entities, approximately USD 110 million has been provided through NICFI's Civil Society Support Scheme (CSSS) to 40 civil society organizations and research institutions with projects at international, national or sub-national level between 2009 and 2012. The CSSS is managed by the Civil Society Department of the Norwegian Agency for Development Cooperation (Norad).

The rationale for the establishment of the CSSS has been described in the Ministry of Environment's Proposal to Parliament 2008-2009. The proposal considers close cooperation with Norwegian and international non-governmental organizations (INGOs) and research institutions necessary to maximize the potential for success of NICFI, given the considerable expertise and capacity in climate- and forest-related issues among these organizations.

In 2010, the Evaluation Department in Norad initiated a real-time evaluation of NICFI, and entered into a framework agreement with a consortium of independent consultants and experts led by LTS International. The real-time evaluation progressively assesses the results of NICFI with regard to its objectives and is intended to provide timely information and recommendations to stakeholders and the public. Two evaluations have already been carried out under the agreement; one of NICFI's contribution to a global REDD+ regime and another of NICFI's contributions to national REDD+ processes (both published in April 2011). This third evaluation of NICFI takes an in depth look at the support to civil society organisations, covering the period 2009-2012, and includes fieldwork in Indonesia, Peru, Cameroon and the Democratic Republic of Congo.

Overall, the report finds that there has been valuable building of local and national level civil society capacity, transforming partners into REDD+ actors with clear roles. Furthermore, the focus on safeguards, notably those relating to rights of indigenous people and forest dependent communities, has proved particularly valuable for the development of National REDD+ Strategies, according to the authors. Nevertheless, the report suggests that not sufficient attention has been given to the overall portfolio and learning, in order to make the effort worth more than the sum of the individual projects. It also questions the additionality of the support provided to the organisations, noting that for most of the INGOs the funding has been used to support on-going or previously designed programs. The report recommends developing a more strategic portfolio management approach and a thorough revision of the reporting system to provide for results based reporting and ascertaining knowledge transfer to NICFI.

While the ultimate goal of achieving emissions reductions is longer-term and cannot be verified by this real time evaluation, it is anticipated that by providing suggestions for how capacity-building and knowledge transfer processes can be improved, the evaluation may contribute to this ultimate goal.

The report is the product of its authors and does not necessarily reflect the views of the Evaluation Department of Norad.

Oslo, June 2012

A handwritten signature in black ink, appearing to read 'Marie Moland Gaarder', written in a cursive style.

Marie Moland Gaarder  
Director, Department of Evaluation

## Acknowledgements

This evaluation has been a long and complex task and in the process the team has requested contributions from many individuals. We would like to acknowledge the generous way in which people gave up their time and worked for long and often odd hours during the field visits as well as the patience of our colleagues in the Ministries of Foreign Affairs and of Environment and in Norad.

While it would be invidious to name specific people, there are two exceptions: Ingrid Buli of Norad Civil Society Department was tremendously helpful in arranging for us to have access to the documentation and in dealing with queries and providing information. Special thanks are also due to Ida Hellmark, who had a baptism of fire when she joined Norad Evaluation Department partway through this evaluation but has proved patient and supportive throughout.

### Evaluation Team

Pat Hardcastle * – Overall Team Leader, with	
Chris Inglis *	
Philippa Lincoln *	
<b>Operational and Knowledge Management, Global Actors</b>	<b>Political and operational context</b>
Tapani Oksanen *	John Andrew McNeish *
Pat Hardcastle *	Cecilie Hirsch
<b>Indonesia Team</b>	<b>Cameroon and DRC Team</b>
Philippa Lincoln * (leader)	Henk Hoesfloet (leader)
Matthew Brander	Benoît Rivard
Kari Telle	
Elling Tjønneland *	
<b>Special studies, Indonesia</b>	<b>Peru Team</b>
Krystyna Krassowska	Jyrki Salmi (leader)
Asep Suntana	Marisa Camargo
	Camilla Gunares
	Alvaro Viejo
<b>Desk Study – additional contributors</b>	
Nicholas Berry	Karoliina Lindroos
Catriona Clunas	Ragne Lowe
Lesley King	Kirsti Thornber
* indicates a member of the Real Time Evaluation Core Team	

The evaluation was very much a team effort but these are the main responsibilities; people also made inputs to other studies than those noted.





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## List of Main Acronyms

ASB Partnership	The Alternative to Slash and Burn Program or Partnership for Tropical Forest Margins – a global partnership of 90+ research institutions, universities, NGOs, community organizations and farmers’ groups, linked to the CGIAR system
BACI	Before, After, Control, Intervention; the name of a rigorous approach to assessing the impacts of REDD+ pilot projects
CBD	Convention on Biological Diversity - an international legally-binding treaty, concerning the conservation and sustainable use of biodiversity and the equitable sharing of the benefits arising from genetic resources
CCBA	Climate Community and Biodiversity Alliance - an international partnership of NGOs and research institutes concerned with sustainable land management
CDM	Clean Development Mechanism - a means under the Kyoto Protocol by which a country may contribute to its emission reduction commitments
CGIAR	Consultative group on international agricultural research - a group of 15 international research centres
CITES	Convention on International Trade in Endangered Species of Wild Flora and Fauna - an international governmental agreement to limit the threat posed to wild animals by their trade
CMS	Convention on the Conservation of Migratory Species of Wild Animals (or Bonn Convention) - an intergovernmental treaty to conserve terrestrial, aquatic and avian migratory species throughout their range
COP	Conference of Parties, a meeting of the Parties to the United Nations Framework Convention on Climate Change
CSD	Civil Society Department of the Norwegian Agency for Development Cooperation
CSO	Civil Society Organisation
CSSS	Civil Society Support Scheme under Norway’s International Climate and Forest Initiative
DRC	Democratic Republic of Congo
FCPF	Forest Carbon Partnership Facility of the World Bank
FIP	Forest Investment Program of the World Bank
FLEGT	Forest Law Enforcement Governance and Trade – European Union initiative to tackle illegal logging and trade in illegal timber
FPIC	Free, Prior and Informed Consent

FRP	Forest Research Programme – former UK-DFID renewable natural resources research programme
GEF	Global Environment Facility
GHG	Greenhouse gas
HCVF	High conservation value forest
IBRD	International Bank for Reconstruction and Development (World Bank – commercial lending)
ICRAF	World Agroforestry Centre - an international centre for research in agroforestry, part of the CGIAR
IDA	International Development Association (World Bank – soft lending)
INGO	International Non-Governmental Organisation
IP	Indigenous Peoples
IPCC	Intergovernmental Panel on Climate Change specialist panel within UNFCCC
ITTO	International Tropical Timber Organization
LOI	Letter of Intent – between Norway and Indonesia
MDG	Millennium Development Goals
MFA	Ministry of Foreign Affairs – Norway
MINFOF	Ministère de Forêt et de la Faune – Cameroon
MoE	The Norwegian Ministry of Environment
MRV	Monitoring, Reporting and Verification
NAMA	Nationally Appropriate Mitigation Action
NGO	Non-Governmental Organisation
NICFI	Norway's International Climate and Forest Initiative
NOK	Norwegian Kroner
ODA	Official Development Assistance
PES	Payments for Environmental Services
REALU	Reduced Emissions from All Land Uses
REDD	Reduced Emissions from Deforestation and forest Degradation
REDD+	REDD plus the role of conservation, sustainable management of forests (SMF) and enhancement of forest carbon stocks
REDD++	REDD+ plus all transitions in land cover that affect carbon storage (synonymous with REALU)
R-PP	Readiness Preparation Proposal – part of FCPF grant application system
SBSTA	Subsidiary Body for Scientific and Technical Advice – under UNFCCC
SES	REDD+ Social and Environmental Standards
SFM	Sustainable Forest Management
SIDA	Swedish International Development Agency
UNDP	United Nations Development Programme
UNFCCC	United Nations Framework Convention on Climate Change
UN-REDD	United Nations REDD Programme
VCS	Verified Carbon Standard
VPA	Voluntary Partnership Agreement – national mechanism agreed under FLEGT

## Acronyms of grant-holders and their partners

ACA	Amazon Conservation Association - an international non-governmental organisation that focuses on the nexus between cultural and natural resource conservation
ADP	Avoided Deforestation Partners - an informal network focused on advancing U.S. and international climate policies and business solutions to protect tropical forests
AMAN	Aliansi Masyarakat Adat Nusantara (Indigenous Peoples Alliance of the Archipelago), Indonesian indigenous rights organisation, national partner of RFN, WRI and RRI.
CAM-ECO	Cameroon Ecology – local environmental advocacy NGO
CCAP	Center for Clean Air Policy - an international non-profit think tank that works on climate, REDD+ and air quality policies
CCI	Clinton Climate Initiative Forestry Programme - an initiative of the William J. Clinton Foundation focused on conserving and re-growing forests
CED	Centre pour l' Environnement et le Développement – Cameroon advocacy NGO specialising in rights in respect of extractive industries
CI	Conservation International - a conservation-focused non-profit, international non-governmental organisation focused on scientific research, policy and field work
CIFOR	Center for International Forestry Research - a non-profit, global research facility, part of CGIAR that conducts research on the use and management of forests
CIP	Center for International Policy - a non-profit research and advocacy organisation and ADP's fiscal sponsor
DDD	Département de Développement Durable – Department of Sustainable Development, Democratic Republic of Congo (DRC)
EIA	Environmental Investigation Agency - a non-profit, international campaigning organisation that investigates environmental crimes
FPP	Forest Peoples Programme - an international non-governmental organisation that bridges between policy makers and forest peoples
FT	Forest Trends - an international non-profit organisation that promotes sustainable forest management and conservation
GTCR	Groupe de Travail Climate REDD – civil society group, DRC
GW	Global Witness - an international non-governmental organisation that campaigns against natural resource conflict, corruption, environmental / human rights abuses

IUCN	International Union for Conservation of Nature – non-profit membership environmental organisation with 1200 members including 200+ governments
RFN	Rainforest Foundation Norway - an international non-governmental organisation that campaigns for national and international laws to protect rain forests and their inhabitants
R-PAN	REDD+ for People and Nature, a WWF International project focused on emissions reduction in DRC
RRI	Rights and Resources Initiative - a coalition of international, regional and community organisations focused on land and forest policy reforms
TI	Transparency International - an anti-corruption focused international non-governmental organisation
TNC	The Nature Conservancy - an international, conservation focused, non-governmental organisation
WRI	World Resources Institute - a global, non-profit think tank focused on policy research and analysis related to global environmental resources and issues
WWF	World Wide Fund for Nature - a conservation focused international not for profit organisation





# Executive Summary





# Executive Summary

## Background

This Evaluation of Norway's International Climate and Forest Initiative (NICFI) Civil Society Support Scheme was conducted in two phases. The first desk-based phase reviewed project documentation from the 2009 and 2010 calls for proposals held by Norad and was reported on in September 2011. The second phase involved field visits to Cameroon, Democratic Republic of Congo, Indonesia and Peru together with a visit to Washington DC to interview United States-based grant holders together with visits to grant holders based in United Kingdom and Norway. In addition to the main study, subsidiary studies were undertaken on portfolio management, on mapping supported actors in Indonesia, on research projects and on the political background to the scheme.

The evaluation Terms of Reference posed a set of questions to be answered by the evaluation and required an assessment of the scheme against the Organisation of Economic Co-operation and Development / Development Assistance Committee (OECD/DAC) criteria of Relevance, Effectiveness and Efficiency.

This executive summary first provides summary responses to the questions in the Terms of Reference (in italics and numbered EQ1, et seq.). As these questions mostly relate to more than one of the OECD / DAC criteria, we then present a summary of the evaluation findings in relation to Relevance, Effectiveness and Efficiency.

## Portfolio as a whole

*EQ1 Is the portfolio of support likely to help NICFI in reaching its overall objectives, including the climate-related and development-related goals? How and why have the projects succeeded or failed at contributing to NICFI's goals?*

- There is good contribution to both NICFI climate and development-related goals across the portfolio at global and country levels. Judged on progress so far as elucidated through interviews, the majority of projects are on track to achieve more or less what they set out to achieve.
- Projects were selected for support largely on their individual merit, rather than with a view to building a portfolio of complementary activities that contribute as a whole to the achievement of the NICFI objectives. This lack of

a clear portfolio approach, has at times led to some duplication of activities and the selection of sub-optimal project field locations, which have reduced the potential for enhanced effectiveness from synergy.

- The slow progress towards agreement in the United Nations Framework Convention on Climate Change negotiations has caused some project implementation difficulties. Grant recipients have responded to a lack of internationally defined mechanism to Reduce Emissions from Deforestation and forest degradation (REDD+) by concentrating possibly more than originally intended on the 'building block' elements such as safeguards and capacity building that are essential to a foreseeable future regime, this approach has reduced the risk to the work being of limited value since both safeguards and capacity building are broadly independent of the future shape of REDD+.
- There has been substantial and valuable work on social safeguards from local to national and international levels. The work that has been done on environmental safeguards has largely been within the demonstration projects with relatively little activity at higher policy levels, nationally or internationally.
- Partnerships have generally been successful in building expertise within the partners, through formal and informal methods. Although wider experience of forest-related development is available in partner countries, this has not been brought in to the work adequately.
- Most grant recipients have substantial previous relevant experience and the widespread delivery of Civil Society Support Scheme (CSSS) 'projects' by grant recipients as part of broad, comprehensive multi-donor funded programmes has also meant that a wide pool of experience and expertise has also been available for the 'project' staff to draw upon. While this is beneficial in terms of overall knowledge development and potential added value of the 'projects', attribution of results to the CSSS is problematic.
- Coordination at country level is variable; in DRC and Peru this has been good but less so in Indonesia and, especially in Cameroon, which is only just starting to deal with REDD+ at national level. National level coordination and cooperation is important to project success but has not been fully considered at portfolio level.
- The level of CSO engagement in REDD+ has increased since the negotiations of Kyoto protocol, and in part this is due to Norway's large commitment although at least some CSOs are using REDD+ as a means to gain their objectives rather than sharing the aim of making REDD+ work.
- Information flows back to Oslo through current reporting systems are not capturing either the key elements or the full diversity of progress being made; the current reporting system is not fully able to provide maximum interim value for NICFI.
- While some project grant holders and their partners are working well within their expertise and experience, others have taken on activities at the edge or beyond their capability, and have consequently not been successful or been unaware of relevant past and ongoing work. Good in-country experience seems to be vital to success and needs to come either from the grant holder or their partners.

*EQ2 Is the balance between policy-oriented / knowledge-generating activities and field-based REDD+ demonstration activities appropriate?*

- The lack of detailed financial information makes it hard to answer this question accurately. There is overall probably more expenditure on knowledge generating activities but in terms of the number of projects, the predominant activities in the portfolio revolve around the engagement of local people in national REDD+ strategies and the development of safeguards, in essence support to national policy and strategy development. The number of REDD+ demonstration activities is relatively small but in the light of the consistent findings that these have proved much more complex and challenging than expected, this balance seems to be appropriate and the results will be informative for a further round of support to demonstration projects.
- As the portfolio is essentially comprised of projects selected on individual merit, the overall balance is a fair one although there is somewhat less on REDD+ methodologies and international policy than originally anticipated by MoE.

*EQ3 Is the geographical distribution of the project portfolio appropriate, including the balance between organisations from the North and the South?*

- Of the funding from 2009 to 2012, 80% was allocated to international organisations and northern-based INGOs, the balance went to southern organisations including southern-based regional institutions.
- The major grant holders have partnerships with multiple southern organisations but there is insufficient information to give precise figures on the funding split although there seems to be good diversity of partners, as shown by the Indonesia study on this. The cost efficiency of using INGOs as major grant holders is unclear and budget details are inadequate to assess this.
- In terms of country focus, it is impossible to provide information based on budget. On the basis of the countries to which some support has been given (regardless of how much), support for global and regional activities is noted in 14% of the projects, NICFI major partner countries are noted in 39% and other countries in 47% of the projects. If non-priority partner countries are excluded, as presaged in the current call for proposals, the complexity would be substantially reduced with a much smaller loss of value in terms of findings, since many of the countries “counted” in the figures quoted represent quite limited extent of activities but complicate management and reporting.

*EQ4 To what extent are early lessons being systematically documented to inform NICFI's overall strategy? What has been the role of NICFI in capturing the lessons learned?*

- The current management and reporting system does not appear to be effective in transferring new knowledge and lessons learned from the projects. Knowledge management is an area that will require dedicated consideration to increase its effectiveness and at present no-one seems to have comprehensive overview of what is being done and the achievements being made.
- Many of the lessons learned in the field projects are being documented by the partners and disseminated through their own channels, for both internal learning and to inform wider audiences. This learning is not used systematically to inform NICFI's strategy development, nor the wider public in Norway.
- A complete review of reporting and knowledge management systems will be required to remedy this.

*EQ5 How do the civil society projects relate to other government-led and multilateral REDD+ programmes in the respective countries, and how are the lessons learned transferred to those other stakeholders?*

- Most of the INGO partners are actively engaged in international processes, maintain close contact with key processes and are well-integrated into the international discussions and delivery at national level. As a result of slow progress with international debate and progress around REDD+, INGOs have responded by seeking alternative perspectives on REDD+. In some cases, this has been to see the carbon element as just one forest service, in others the response has been to broaden REDD+ to consider wider land use changes (REALU). The result has been a wide focus on the supporting environment that would be required for REDD+ to function.
- Notwithstanding the considerable diversity of partners and activities at sub-national level, there is little evidence of widespread fragmentation and there has generally been good integration at national level. In DRC, supported actors are fully engaged with the national process. In Cameroon, where national coordination has been poor, the potential value of the excellent CIFOR study has not been acted upon, due to poor links with government, although the study would be very helpful to the national efforts on their readiness proposal.
- In Indonesia, while engagement with government-led initiatives is reasonably good, it is at times poor with other government/donor-initiatives, leading to duplication and in some cases to inefficiency, for example between Germany/ NICFI in East Kalimantan, and there is insufficient interaction, coordination and sharing of lessons learnt within NICFI- funded projects despite the annual meetings. Nevertheless, many of the actors supported in Indonesia have been engaged in drafting of the National REDD+ Strategy and the

situation should be redeemable. In Peru, there is good engagement by nearly all the supported actors in the national-level work of government.

- The main method of transfer of lessons learnt, between projects themselves, between projects and other actors, and between projects and NICFI is probably by direct contact and it seems that there are significant gaps in transferring such lessons between, and at times within, countries that could be remedied by a more comprehensive approach to knowledge management. One difficulty is that in many cases, the actors undertaking CSSS projects are also benefiting from parallel work by the same organisations done with other funding.

*EQ6 Did the three-year funding window provide the right balance between flexibility and predictability?*

- The three-year window was uniformly appreciated by the grant holders; the financing side of the portfolio is notably much simpler than that of other donors and the simplicity and flexibility of the system highly regarded. One grantee that had worked with annual funding noted the strong negative effect of the uncertainty on their forward planning as a significant obstacle.

### **REDD+ policy-oriented and knowledge-generating activities**

#### **General question:**

*EQ7 To what extent and how have the policy-oriented and knowledge-generating activities influenced national REDD+ processes in the respective countries and the development of the international REDD+ regime?*

- In respect of work at national level, the picture is positive in all four countries visited, as noted above in answer to question 5.
- In respect of the international regime, the delays and slow progress with agreement on REDD+ has limited the level of influence. All of the major INGOs and international organisations have been prominent and well represented at international meetings and have made information available in reports and discussion groups, but this is not confined to that from their CSSS projects.
- The Rainforest Foundation Norway (RFN) support to the Civil Society National Climate and REDD working group in DRC has brought full Congolese civil society participation and involvement in developing the national REDD+ strategy and all of its components. The work of WWF has contributed to the development of Guidelines for Free, Prior and Informed Consent (FPIC) while WRI work on developing Forest Governance Indicators for Cameroon is contributing to the national Forest Law Enforcement Governance and Trade (FLEGT) implementation process and the on-going forest policy review, which should feed into the national REDD+ strategy being developed.

**Specific questions:**

*EQ8 To what extent and how have the projects contributed in building the capacity of local communities and indigenous peoples to engage in the REDD+ debates?*

- Many of the projects have developed learning materials and activities aimed at enhancing understanding of REDD+, such as those by CI, FT, TNC, FPP and WWF, which are comprehensive, but without access to a full set of material and more time, it was not possible to validate the impact of these.
- In Indonesia, which has the largest share of the CSSS budget by country, capacity building efforts have been provided by RFN to a number of indigenous/forest community organisations, which appears to have been successful in enabling some of their partners to become advocacy actors on REDD+ issues. RFN has developed appropriate indicators to show this (ability to take part in REDD monitoring groups, interact with governments at different levels, gain legitimacy/recognition) although it is impossible at present to confirm the quality of this and its impact. RFN also has a good system in place for identifying and selecting potential partners.
- There is a useful variation in the way in which CSSS funded projects approach partnerships with local communities /community organisations. For example, the Samdhana Institute and The Clinton Climate Initiative, which both active at the community level in Indonesia,, operate very differently. The Samdhana Institute provides direct support and mentoring to local non-governmental organisations / community based organisations through a small grant facility, while The Clinton Climate Initiative contracts local non-governmental organisations to undertake specific pieces of work.
- Many of the INGOs have provided support for information flows from grass-roots to national negotiators (e.g. CCAP, FPP and Tebtebba) although the extent to which this had real influence is unclear. There is also a widespread but informal system through which the larger INGOs provide advice to NGO members of national delegations.
- Tebtebba, and RFN, sponsored indigenous people's community representatives to attend international meetings in terms of strengthening community capacity, CI adopted the alternative of supporting a lawyer working on indigenous peoples' rights. It is not possible to assess the impact although RFN claims that some of their biggest successes and most unexpected positive outcomes have been through efforts of this type.
- Capacity building has come through the demonstration projects such as that by CCI on SES and the work of FPP on FPIC in Indonesia and both African countries. The major change on recognition of land rights in Indonesia, linked with the Lombok conference on tenure, has been paralleled by a range of interventions by various projects that have linked into this change to try and consolidate progress.



- In Peru, capacity building has been strongly reflected in the nested approach<sup>1</sup> being used by CI and FT, for example, which is congruent with the approach taken by the national government. The parallel work on governance by EIA, specifically focused on indigenous communities has also been directly helpful to this.

*EQ9 To what extent and how have the projects been successful in promoting REDD+ co-benefits and equity, in particular the safeguards associated with (i) the rights of indigenous peoples and local communities, (ii) gender and women's rights, (iii) biodiversity conservation, and (iv) anti-corruption and fiduciary control?*

- The demonstration projects all encompass these elements within their approaches although progress has been slower than anticipated; the findings in respect of the portfolio as a whole show differential advancement.
- In respect of rights of indigenous peoples and local communities, there has been substantial work at all levels from capacity building and awareness-raising within the communities themselves taking place in demonstration and advocacy projects, through to the work on rights and tenure being done at national and international levels, including promoting changes to national policies and legislation.
- In terms of gender and women's rights, the overall picture is one of limited specific attention to these. There are interesting activities in Indonesia, where CCI has developed gender specific approaches and Tebtebba through AMAN has addressed women-specific capacity building. In Peru, while one local partner NGO has specifically highlighted women in their work, another, which declined to participate in national REDD+ processes, proved quite resistant to work on gender issues.
- Biodiversity is strongly represented at ground level, it is for example covered in all demonstration activities but there has been less attention at higher levels and here it has received much less attention than work on social safeguards. In part this may be because it was already better covered although relevant policies and legislation are not necessarily adequately enforced.
- Anti-corruption and fiduciary control aspects have been included in the governance work such as that by WRI and TI but as part of planning and fact-finding for improved governance rather than specific action on these aspects. The demonstration projects include provision to deal with these matters once significant finance starts to flow.
- The demonstration projects will provide opportunity in due course to undertake a detailed assessment of the extent to which these issues and benefit sharing generally are being taken into account. It is important that the demonstration projects do not fall into a funding gap when the current funds cease.

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<sup>1</sup> A nested approach is a compromise between entirely national or sub-national approaches. The national government provides the policy framework and makes commitments on behalf of the whole country but the relevant activities are delivered at sub-national level with a national accounting system to aggregate these and distribute earned benefits. See <http://www.forestcarbonportal.com/resource/nested-approach-redd-structuring-effective-and-transparent-incentive-mechanisms-redd-implem> for a more detailed explanation

- In parallel with work on improved governance, which has inherent value even in the absence of a formal international REDD process, there will be considerable value to this work provided it continues.

*EQ10 To what extent, and how, have the projects contributed to the development of REDD+ methodologies, in particular to setting reference levels and MRV systems?*

- Demonstration projects have contributed by developing methods for identification of drivers, assessment of changes in forest area, estimates of above ground carbon stocks, estimates of emissions from deforestation and forest degradation, setting of reference levels, treatment of leakage and risks to permanence, and GHG accounting systems.
- Research projects, have made a strong contribution on setting of reference levels; for example, CIFOR has developed a tool to assist aid negotiations based on reference levels. There has also been work on improving national inventory accounting for land use change emissions, and the development of emission factors for non-CO<sub>2</sub> gases.
- There has been a limited contribution that is attributable to CSSS funding from most demonstration projects as technical activities have been funded by other donors in many cases. Of the seven grant recipients involved in demonstration activities (CCI, ACA, CI, WWF, TNC, ICRAF, Forest Trends / Katoomba) only four of these work on MRV through their CSSS funding: CCI at project level in Indonesia, ACA and Forest Trends / Katoomba in Peru and ICRAF in various countries, including Indonesia and Cameroon, where it is developing methodology for establishing reference levels at the decentralised level of a council area. In DRC, WWF is working on community-based MRV systems, an approach also being piloted by TNC.
- Key developments that have been achieved with NICFI funding are: ACA is developing a regional REDD+ baseline that will fit within the national baseline and MRV system, Forest Trends and ICRAF have developed district level baselines, CCI were involved in the development of a new VCS methodology, for use on deep peat.
- All of the approaches being developed have been at the subnational rather than national level, and there is little evidence of capacity building in relation to MRV at the national levels.
- CIFOR is doing a great deal on setting reference levels, identifying the drivers of deforestation, estimates of emissions from deforestation and degradation, development of emissions factors, step-wise approach to calculating the emissions from deforestation, updating IPCC guidance on emissions from wetlands and providing tools for negotiators to talk about reference levels. CI has been active on this work, also. It is important to note that country context has a huge influence on the potential uptake and hence value of this work.
- The Meridian Institute report is highly regarded and had major influence in securing acceptance of the phased approach.

- CSSS funding has supported a range of REDD+ readiness and implementation methodologies / processes including:
  - FPIC – FPP in Indonesia, and various of the demonstration projects;
  - SES – CCI In Indonesia;
  - Land-use planning models: WWF in Peru has developed landscape level planning models;
  - Numerous efforts in Indonesia (both demonstration and advocacy projects) to develop models for community involvement in land use and forest management, including preliminary work on conflict resolution models by RRI and Samdhana; and
  - Approaches for addressing REDD+ drivers being trialled by all the demonstration projects.

### **Field-based REDD+ demonstration activities**

#### **General question:**

*EQ11 To what extent and how have the field-based REDD+ demonstration activities influenced the national and international REDD+ policy processes?*

- It is too early to ascertain this since the projects are in the early stages of development but there appears to be good potential for influence at the national, and particularly the subnational, level given the good relationships with government that have been developed by many projects. This also reflects the fact that REDD+ processes are also at early stages in most countries. Examples of potential successes identified include:
  - Through CIFOR the CI and WWF pilots in Peru are being analysed to inform the development of national and sub-national REDD+ strategies.
  - The WWF project approach to sub-national REDD+ process has been highly valued by the regional government in Peru.
  - While it is clear that information is transferred effectively from the national level to international headquarters of grant holders, it is unclear how this information is then used at the international level.
  - Sub-national nested approaches employed by the demonstration projects active in Peru are considered by the government as the right scale for implementation.
  - In Peru, CIFOR is “working to ensure that ... the CI site in Alto Mayo and the WWF project in Madre de Dios are used as REDD+ pilot cases to inform the national strategy”.
  - CI project has developed a practical approach to operationalise the nested approach in Peru and elsewhere.
  - ICRAF – the national planning agency in Indonesia is considering REALU as a NAMA.
- If these potential gains are to be realised, then continued funding will be necessary, in Indonesia this may be possible using Letter of Intent funds.

### **Specific questions:**

*EQ12 What are the characteristics of the different REDD+ demonstration activities?*

- The demonstration activities cover a wide range of contexts, bio-geographies, drivers and intervention types; however this range is more by accident than by design. There has been a shift from a PES approach towards a landscape level and / or sustainable livelihoods focus.
- In Indonesia, Central Kalimantan was selected as a pilot province under the LOI after many of the Indonesia demonstrations were initiated, so CCI is the only CSSS funded project to have demonstrations in the pilot province but this is largely accidental rather than by design.
- ACA Peru – sub-national, regional REDD+ baseline designed to fit within national baseline and MRV system.
- CI Peru – CSSS funding covers readiness processes not pilot activities, which are funded by others.
- CCI – Five REDD+ type PES projects on deep peat in Indonesia.
- ICRAF – district level REALU in DRC, taking the lowest decentralisation level at which land-use decisions are made as the scale at which to work.
- WWF – in DRC is aiming to develop and implement a subnational REDD+ programme and is at the stage of testing and piloting methodology at the micro level. R-PAN has contributed to creating possibilities for having other important funding sources from WB-FIP DRC programme and perhaps from the FCPF Carbon Fund also.
- WWF – in Indonesia is increasing its sustainable livelihoods focus in East Kalimantan.
- TNC Indonesia – district level low carbon development in which REDD+ is integral.
- The diversity of approaches and resulting experience being gained now provides an opportunity to develop synergies and add-value by elucidating, e.g. in what circumstances is project scale the best route to follow, when do district level activities work better, etc?

*EQ13 To what extent and how have REDD+ co-benefits and equity been safeguarded in the demonstration activities, including (i) the rights of indigenous peoples and local communities, (ii) gender and women's rights, (iii) biodiversity conservation, and (iv) anti-corruption and fiduciary control?*

- There is reasonably good coverage of these at the demonstration level, but perhaps less so in national / subnational processes, where gender and biodiversity issues have perhaps been notably less prominent.
- IP rights and local communities are considered central / integral to all the demonstration projects and well covered.

- Gender and women’s rights are explicitly covered and monitored under SES and CCI has specific women focused activities; this is less explicit in most other projects.
- Biodiversity is unevenly covered: is a focus of the TNC and CCI projects that work through assessments of HCVF and in the case of Clinton the CCBA (project) standard in which biodiversity is one of the three pillars.
- The WWF DRC R-PAN has taken biodiversity as its starting point, which may result in a stronger focus of conservation then on addressing drivers of forest loss and degradation.
- Most projects are not yet at the benefits dispersal stage (CCI), or carbon market offsets are not a focus (ICRAF, TNC, WWF).
- Many demonstration projects are developing new income streams for community level participants (ICRAF, TNC, WWF, CCI).

*EQ14 How does the performance of the REDD+ demonstration activities compare to REDD+ relevant activities elsewhere and in the past?*

- There is insufficient information available to answer this question in detail. In east Kalimantan, it was apparent that little attention was paid by CSSS projects to lessons learnt from the immediate past activities. Many of these, for example community mobilisation, forest management, have been done extensively by others previously, sometimes in the same village, but projects seemed relatively unaware of achievements and failures.

*EQ15 To what extent have the field-based REDD+ demonstration activities been designed to allow ex-post impact evaluation and to yield information on what works, what doesn’t, why, and at what cost?*

- All of the major INGO grant holders have comprehensive monitoring systems in place for their programmes although these are not necessarily funded fully by the CSSS grant and hence not reported on. The existence of these systems means that adequate information is available for future ex-post evaluations. In addition, there are the following points:
- The ICRAF REALU project is set up to allow for ex-post impact evaluation.
- Component 2 of the CIFOR Global Comparative Study has developed a “before, after, control, and intervention” (BACI) method for ex-post impact evaluation of REDD+ projects.
- PES projects designed under the certification standards, such as VCS or CBA, are set up to collect information for evaluating the emission reduction impact of projects. However, this evaluation information tends to be focused on the emission reductions achieved, rather than for assessing the wider impacts expected of demonstration projects, such influence on national processes, or influence on the international debate through the provision of lessons learned.

*EQ16 To what extent have field-based REDD+ demonstration activities contributed to the design / implementation of national REDD+ strategies?*

- This is dealt with under *question 11*.

### **Summary of Findings on Relevance**

Relevance is defined by the OECD /DAC as “the extent to which objectives are consistent with beneficiaries’ requirements, country needs, global priorities, partners’ and donors’ policies”<sup>2</sup>. This definition of Relevance is interpreted for the context of this evaluation as contribution to the achievement of NICFI core climate and development objectives, selection of recipients for support and alignment with / additionality to other REDD+ efforts. These criteria for assessment of Relevance are taken from the Terms of Reference for the framework contract for the Real Time Evaluation of Norway’s International Climate and Forest Initiative.

The evaluation has found that the relevance of the NICFI Civil Society Portfolio is good in most areas: projects are generally well aligned with the NICFI objectives and with the development objectives; supported civil society partners are credible, important REDD+ actors that provide added value for the CSSS; activities are characterised by good national ownership and alignment with national REDD+ activities; the portfolio is thematically additional and, while many of the INGOs were not dependant on the funding to undertake the work, at the sub-national and local levels the funding has been critical to civil society engagement.

Nevertheless, there are some aspects of the portfolio that are less relevant to the achievement of the NICFI objectives. While broadly congruent, projects have not generally been designed specifically around the NICFI objectives. Several supported organisations regard REDD+ primarily as an opportunity or vehicle for pursuing their own agendas and plans. In respect of relevance, and potential to contribute to NICFI core objectives, key findings are:

#### ***Alignment with NICFI Objectives***

- Few if any of the projects were designed specifically to meet the objectives of the scheme. In the case of the larger INGOs, the funding provided opportunity to progress an existing or at least conceptualised programme. For some smaller organisations, unfunded proposals were reworked. Despite this, project activities are well aligned with the NICFI climate objectives and where appropriate consistent with the development objectives, which in the case of larger actors are often closely linked as part of their project strategy.

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2 <http://www.oecd.org/dataoecd/29/21/2754804.pdf>

- The projects were accepted individually and not as a portfolio and in some cases this has led to duplication or lack of concentration. Not all demonstration projects in Indonesia for example are in the government nominated demonstration provinces. A portfolio approach, as is presaged in the current call for proposals may have generated more cross-project synergy.
- Projects vary widely in the extent to which they address NICFI core objectives. Demonstration projects all address the objectives of reduced emissions and conservation of natural forest and, depending on the location, are also compliant with developmental objectives on livelihoods and equity. Other projects have quite a narrow focus, such as on rights and tenure, or on governance issues, and the associated safeguards. These latter ones are not necessarily REDD+ specific although they have value for REDD+.
- All of the INGO grant holders are actively engaged in international REDD+ processes and with major international players such as FAO and WB. All are also undertaking strategic thinking on the future directions of REDD+ arriving at various options. These include country-specific REDD+, moving on from REDD+ to a wider land-use approach such as REALU and seeing carbon as one of a suite of services potentially encompassed in SFM. This thinking is a potentially valuable resource but so far largely unused by NICFI.

#### ***Credibility and Role of Civil Society Partners***

- There was consistent validation of and agreement with the NICFI view that an informed and vibrant civil society would lead to better national REDD+ approaches and more informed and appropriate debate at international level.
- The large INGOs and the international institutions supported are already well regarded by key players on the international REDD+ stage. In all of the countries visited, government representatives at national and sub-national levels valued the inputs from civil society and in nearly all cases accorded supported actors high credibility, in some cases making use of their expertise for other tasks.
- It is important to distinguish between the INGOs and national NGOs. RFN is unusual in having at the core of its work supporting local (national) NGOs to achieve their own national agendas in REDD+ whereas other INGOs tend to work with local NGOs as partners but control the agenda. Unlike Indonesia and Peru, where INGOs have recruited national staff, in DRC and Cameroon there is a high level of mistrust between the national and international NGOs.
- While it is hard to find definitive evidence, there are strong indications that the portfolio has led to substantial empowerment and effective participation of indigenous communities in REDD+ through the enabling and facilitating approaches adopted.
- In Indonesia some projects are struggling to define their role in the changing REDD+ context, good policies may be formulated, but not implemented, and this creates challenges that some NGOs find hard to deal with. Some have been strongly affected by the brain-drain to government and REDD+ / climate change institutions.

### ***Added-value from CSSS***

- All the supported INGOs welcomed the opportunity afforded by the scheme to undertake activities, albeit in many cases this was part of an ongoing or previously designed programme. Although this leads to some difficulties in reporting and attribution, these organisations have all brought substantial benefits in terms of networks and informal support to, for example, national NGOs at international meetings. Their knowledge and resources have been available to further common interests shared with NICFI.
- In the countries visited, CSSS funding had enable otherwise excluded local actors to become engaged and some valuable in-country activities have been exclusively funded by the scheme, allowing wider programmes to undertake activities in these countries. In the African countries, the more limited extent of personnel and REDD+ activities has given particular value to the CSSS inputs although there are some tensions between national and international personnel.

### ***Alignment with National REDD+ Efforts***

- In all four countries visited, supported actors have been valuably engaged. The most activity of this type has been in Indonesia and Peru, where projects – or in some cases individuals from these projects - have been directly involved in developing national REDD strategies. In DRC, there is strong national coordination of all in-country REDD+ activities and the support provided through CSSS to national NGO platforms has been instrumental to further the national REDD+ strategy development process, while in Cameroon although activities are limited, there has been some relevance from CSSS supported projects.

### ***Strong National Ownership***

- Despite the potential danger of projects such as those of CSSS being seen as the province of “outsiders”, this does not appear to be the case. In DRC, Peru and Indonesia, projects in country are largely staffed by nationals although they receive support from parent INGOs. In Cameroon, major work is being done by CIFOR and ICRAF and there was some difficulty reported on the understanding and even awareness of some of the work.
- There is some danger from delivering financial support through the INGOs. As noted earlier, creating strong national capacity to implement REDD+ programmes will be one of the big challenges when rolling-out national REDD+ strategies and large INGOs can have their own strategies that may conflict with those of their partners and financiers.

### ***Additionality***

- The importance of the funding to the organisation awarded a grant varies. In the case of most INGOs, the project funding has been used to support part of an ongoing programme and while extremely welcome, was not necessarily essential. In terms of the overall funding for the programme within which the CSSS project was embedded, INGOs reported that the CSSS funding accounted for between 15% and 70%. At national and sub-national levels,



the grant has usually been more important in that without it, the work would probably not have gone ahead.

- In Cameroon, DRC and Indonesia, projects are generally found to be thematically additional in scale of activities, approaches and processes trialled and range of contexts and there were some important examples of financial additionality at the national, and critically, subnational levels for the less well-connected and lower profile project partners.

### **Summary of Findings on Effectiveness**

The OECD / DAC definition of effectiveness is “the extent to which objectives were achieved / are expected to be achieved, taking into account their importance”<sup>3</sup>. The interpretation of the definition for the context of this evaluation is taken from the Terms of Reference for the framework contract for the Real Time Evaluation of Norway’s International Climate and Forest Initiative and includes the following aspects: capacity building, understanding of and support for REDD+, lesson transfer between countries, impact on land use decision making and sustainable development, emissions reduction and poverty reduction.

It is not possible to make strong, objective assessments of effectiveness partially because most projects supported are still on-going and because in very few cases, were projects defined in a way that is amenable to doing so. The large INGOs and the international institutions all operate comprehensive, results-based planning and monitoring systems that are amenable to such analysis. Demonstration projects are by design amenable to more detailed monitoring although all have found progress much slower than anticipated.

- Demonstration projects have all been slower than originally anticipated due to the need to build up capacity from a low base and the time required for forging good working relationships between groups with little or no prior engagement. Activities such as FPIC and SES have not proved easy or quick to complete to an adequate standard and this is useful information. Embedding the principles of FPIC during early project development by INGOs will be a challenge as it requires a change of culture. Other factors relate to the operating context, often involving complex procedures and personnel with relatively little experience of the systems required while tenure issues have also been time-consuming.
- Of the research projects supported, the Meridian Institute REDD+ Options Assessment Report, which outlined some important considerations for a future REDD mechanism within the UNFCCC, proved to be highly regarded and seminal, notably in its contribution to adoption of the phased approach. The ongoing research activities are of high quality but that on methodologies for example is still in progress although there is good awareness of what is being done and high expectations of its value and hence likely uptake.
- A useful diversity of approaches is being trialled by the demonstration project although most have found that initial costs are high. A number of supported

projects have made progress with applying the nested approach, which has been accepted in Peru as the national approach to REDD+ implementation. There is useful complementarity among these projects with potential for good lesson learning in due course. The ICRAF REALU approach has been identified in Indonesia as a nationally appropriate mitigation action although in Cameroon, while interest is strong, formal progress is somewhat less in respect of acceptance.

- The demonstration projects include a strong focus on alternative livelihood development activities for a combination of reasons (addressing the drivers of deforestation and forest degradation, as a means of hedging the risk of failure and encouraging local support). This approach, which has to be built on engagement and contributions from local communities in return for expected benefits to them, exposes partner communities to risk if funding ceases before benefits flow. One project for which funding ceased after good local support had been secured has led to disillusionment about REDD+ among the affected local communities and administration; this is an important issue to be considered in time-limited project funding of this type of work, especially when the activities are highly dependent on a single grant. The continuation post-funding of the demonstration projects is a matter of concern if optimal results are to be secured.
- There has been extensive work around social safeguards, particularly relating to rights and tenure and to FPIC, much of the work being focused on (predominantly) indigenous and local communities. Work aimed primarily at the global scale, such as that by RRI has also had important national effects as with the formal recognition of land tenure issues at the International Conference on Forest Tenure, Governance and Enterprise held in Lombok, while the governance related work by WRI and EIA has value nationally in identifying core governance issues, often revealing new ones that were not explicit, and also at local level as with EIA in Peru.
- FPP has been widely active in supporting FPIC through training while CCI has undertaken valuable work on SES and has made notable progress in developing and delivering gender specific activities; in the main, gender has not been given specific attention. RFN has been very effective in mobilising coherent engagement of over 70 CSOs in DRC although national capacity constraints remain an issue in that country.
- The work around safeguards and particularly indigenous peoples' rights has been extensive, and as far as can be judged, effective in greatly strengthening understanding within communities and appreciation and awareness of these issues at national and international levels. The effectiveness of supporting indigenous peoples' representatives at international meetings is hard to assess but the opportunity cost compared with more local or national efforts appears to be high; in Cameroon, the cost of sending one person as part of the official delegation has taken most of the grant of the sponsoring NGO although it has been seen as very valuable.
- CSSS funding in Indonesia has also contributed not just to effective efforts to promote rights issues, as mentioned above, but also to the strengthening of a number of national and subnational organisations which have become vocal

and legitimate actors in national debate, a role that they did not have 3 to 5 years ago.

- All the INGO project holders have undertaken extensive and potentially valuable strategic thinking on REDD+ and this has resulted in a range of alternative scenarios which have been applied to a greater or lesser extent in their field activities. The result is rich experience being developed although capturing the resulting knowledge will require special effort. This awareness and strategic thinking has been promoted at international meetings but its influence on the negotiations is hard to discern.

### **Summary of Findings on Efficiency**

The OECD / DAC definition of efficiency is “the how economically resources / inputs are converted into results”<sup>4</sup>. The interpretation of this definition that we have followed in this evaluation includes the following aspects: governance, administration, implementation in Norway and by the partners, coherence between objectives, plans and actions, analysis of budget elements, identification and sharing of lessons learned, ability to capitalise on experience and adapt to changing conditions, cooperation and co-ordination and quality of baseline data. These are derived from the Terms of Reference for the framework contract for the Real Time Evaluation of Norway’s International Climate and Forest Initiative.

#### ***Project Efficiency***

The efficiency of individual projects was not investigated in detail and in many cases the budget information for example, is neither clear nor is the format consistent, making comparison difficult. As far as can be judged, most projects are operating efficiently compared with the way similar projects operate. It is worth noting that with one exception, all projects visited proved helpful and very willing to spend extensive time with team members despite often short notice. They also proved very accommodating to the various teams’ visit programmes.

#### ***Project Administration***

The administrative side of the application and funding process was almost uniformly well-regarded, with many grant holders commenting favourably on its ease and simplicity compared with most other donors. Flexibility and forward financing were particularly noted.

#### ***Communications***

The primary point of contact for projects is with desk officers in Norad CSD. The findings tend to be at two extremes. Some reported very easy communications and noted consistently rapid responses while others had experienced great difficulty in making contact and securing responses, it is not clear to what extent this is due to staff changes and handover of responsibility. Projects that had been visited by Norad CSD and or MoE staff generally had few complaints on communications.

## **Reporting**

This topic was the one that received the most criticism. Many of the larger organisations operate highly efficient results-based reporting systems with internal monitoring and reporting using indicators and were frustrated at the requirement for narrative reporting. Even those that did not also expressed difficulties over not knowing what was required in the narrative report. Although there has been a marked improvement in reporting over the last few years, there is still further to go to make reporting more efficient and effective for the originators and for NICFI.

It appears that there has been considerable mis-understanding of what is acceptable as a “narrative report” and in fact a largely “logframe” based report with a brief overview of highlights is acceptable to Norad CSD although this is not understood by projects. A further difficulty arises from the use of project funding as a component of a larger programme. Reporting being restricted to those elements notionally funded by the CSSS project often results in important additional information being excluded and at times gives the impression that the CSSS project is incomplete and poorly delivered. In view of the large number of projects that are due for completion in 2012, action to ensure that final reports are made as comprehensive as possible would be helpful.

The existence of well-established results-based management systems in most of the grant holders suggests that a major revision of the reporting formats would be helpful for both sides. The one difficulty that may arise is that those organisations that undertake primarily advocacy work operate in a much less defined way with fluid plans. This has the advantage of great flexibility and ability to respond to emerging issues very quickly but is much harder to assess.

## **Knowledge Management**

Having previously undertaken detailed desk review of the documentation, all teams were surprised to find that the field visit provided a very different picture, in nearly all cases of a much more dynamic and effective project than was indicated by the desk study. This suggests that the information being sent to Oslo is not adequate to provide good understanding of what is happening and what is being achieved. Where projects have been visited in the field, this is obviously less so but the present structure is such that there is not complete understanding of the portfolio, its full diversity and achievements.

The present portfolio management structure engages people with high technical understanding of REDD+ (in MoE and in Norad Department for Climate, Environment and Natural Resources), and people with long experience of development work and the administration of aid projects and programmes (in Norad CSD). Both groups have numerous other tasks, indeed the role of Norad desk officers, with many other demands on their time, is perhaps the most unenviable.

The incompleteness of the reporting and the limited extraction of lessons learnt is not providing the expected information to feedback in real-time into NICFI decision making. It is not clear that all publications for example are routinely sent

in and there does not appear to be a centralised repository for this. Nor is the present system providing interested Norwegian organisations and individuals with easy access to technical information produced with NICFI funding, or even full understanding of the scope and importance of such information.

Within the projects there is generally good knowledge transfer, especially in those run by INGOs and international research organisations, although reservations were expressed at the efficacy of cross-country information-transfer. While INGOs are making use of the lessons learnt and technical studies for internal training and information sharing, as well as for their advocacy work towards the national and international REDD+ related processes, in Africa, it is apparent that INGOs need to spend more time on communicating and disseminating results and lessons learnt at the national level; vertical reporting lines do not favour capture of information locally. There is also, notwithstanding informal channels, limited knowledge transfer between project management organisations; this is to be expected since they are at times competitors for the same sources of funds.

There needs to be a detailed review of knowledge management for CSSS and to capture the extensive information that is being generated. A suitable model would be the WB PROFOR, which has an interesting website providing timely and relevant information, a blog, summaries of important documents and links to a document repository. A well-designed and informative website containing the information being generated would be an extremely useful tool for informing public opinion in Norway and demonstrating the high value of the funds invested in CSSS.

### ***Future Management***

Although the funded projects form a portfolio, they were selected on individual merit and not as a portfolio. The latest call for proposals is both thematic and explicitly to be built up as a portfolio. This may benefit from a change to the management approach and ideas and examples are presented on this. It is understood that there are administrative constraints to the extent to which projects funded under the current arrangements can be actively managed and constraints from this would have to be resolved.

Given the desirability of an actively managed portfolio, and noting that currently Norad CSD estimates its personnel inputs amount to 3 full-time equivalent with MoE having one full-time equivalent, there would seem to be scope to have a dedicated management team that encompasses technical and administrative expertise and most importantly provide someone with full oversight of what is being done in the portfolio and how it relates to national and international understanding of and progress on REDD+.

As an example, if 5% of the overall budget for the portfolio were allocated to management (around NOK 8 million per year based on past figures) with, say, 10% of this retained to fund special studies, meta-analyses and particularly specific knowledge management activities, it would provide substantial funding for such activities.

## Core Evaluation Questions

### 1 *Assess the influence of the policy oriented and knowledge generating REDD+ activities on the national and international REDD+ processes*

At national level and below, there has been good progress with governance aspects of REDD+, albeit often within a broader framework than simply REDD+. Projects are generally well aligned with national REDD+ processes, supported actors are seen as credible and there is good national ownership. Work on social safeguards has been the most notable and there is evidence of a stronger civil society with a clear role at a range of scales.

At international level, while there is considerable information on positive engagement, this is often through organisations that draw on multiple sources of finance in addition to that provided under the support scheme and even where direct support can be shown, there is insufficient evidence to make any firm assertion of direct impact. The research projects are perhaps the only ones where there has been clear influence, for example from the Meridian Institute report, most of the other research progress has considerable potential but this has not yet been realised.

### 2 *Assess the contribution of the field-based, local or sub-national demonstration activities on the national and international REDD+ processes*

Demonstration projects have trialled a range of market based and other approaches to sub-national REDD+ implementation. These could potentially provide a valuable basis from which to scale up to national level and feed into discussion at international level on methodologies and standards. At the local level, there has been a suite of activities that have supported community engagement and development, potentially empowering these indigenous and other forest dependent communities in the REDD+ arena.

In common with other similar activities, progress has generally been slower and more expensive than initially expected. While this is a valuable lesson, it does increase the risk of loss once funding ceases as projects may not have reached a stable end point.

## Recommendations

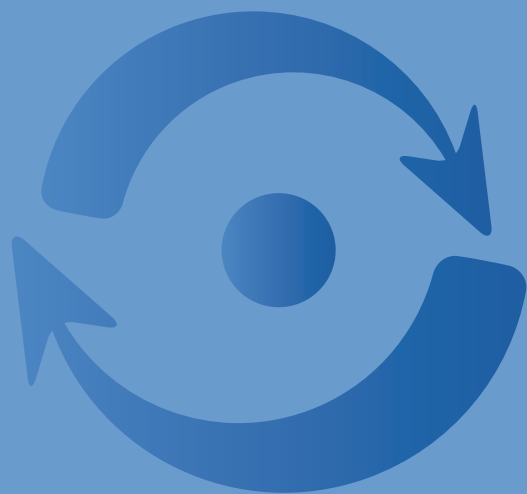
- NICFI Secretariat and Norad should consider changing the management structure. A new structure might include a steering committee (MoE, MFA, Norad with co-opted specialists as required) and a full-time programme management team headed by a person with good knowledge of REDD+ and development programmes supported by a staff of around five technical and administrative personnel, all of whom are fully employed in the management of the CSSS without other responsibilities. The steering committee members should be able to provide adequate time to prepare for and attend regular meetings to discuss plans and progress in detail. The programme management team should undertake regular field visits to ongoing projects and optimise the value of these around relevant project meetings or similar events.
- The reporting system for all projects needs to be revised to provide for results-based reporting or an equivalently informative system at the request of the grant holder. Proposals pre-contract need to be consistently framed, especially on budget items which also need to specify separately proposed expenditure by country where projects work across more than one.
- Noting that many of the supported projects are delivered as part of a wider programme, consideration should be given to how handle financing and reporting of projects that follow this model given that there is interdependence between the CSSS funded 'project' and the rest of the programme. . At the same time, an appropriate methodology should be developed for attribution of impact to CSSS from activities that draw on pooled funding.
- A knowledge management system needs to be created that provides single point access covering updates on REDD+, project results, publications and other relevant information to users with projects ensuring that all publications are made available. This could be either handled by the NICFI secretariat, with additional resources allocated, or wholly or partly outsourced to a specialist Norwegian organisation working in close collaboration with the secretariat.
- The programme management team should commission, as required, studies, thematic and meta-analyses to ensure capture of information from projects run by different organisations and institutions and to maximise the extent and relevance of lessons learnt and the dissemination of new information. Consideration also needs to be given to in-country coordination of portfolio elements, either with a dedicated person or using an alternative method.
- The strategic thinking being carried out by many of the current project grant holders is a valuable resource that should be investigated, captured and used as part of the ongoing development of thinking around REDD+ and its future development. This requires a dedicated team in Oslo using a range of methods.
- In funding projects and activities that engage local communities and raise expectations, great care must be exercised to ensure that any such project reaches an end-point that delivers appropriate benefit to those participating in the event that funding is not renewed. Demonstration projects are highly vulnerable in this respect and, unless there is national funding for

continuation of these in the light of their progress, once current CSSS funding is finished, further support may need to be considered to avoid major loss of knowledge and experience. Projects that have supported issues such as indigenous peoples' land rights also need careful review before funding ceases to ensure there is no reversal of progress.

- REDD+ implementation requires an appropriate mix of technical and non-technical approaches and methodologies and the balance between these two needs to be maintained. What the appropriate balance between these is should be considered by the project management team prior to upcoming calls for proposals so that calls can be designed to reflect any needed refinements to this mix.
- Project proposals need to state clearly how they fit with other ongoing activities in country and/or internationally and steps taken to optimise co-ordination and synergy. They also need to be clear on which NICFI objectives they address and confirm that the organisation has access to people with the right knowledge and experience for the work proposed.
- Once new reporting frameworks have been developed, arrangements should be made for those proponents that need it, including partners in country, to have training in collecting and managing information including baseline data, indicators and monitoring of impacts and outcomes as well as in reporting.
- The breadth of information that has been gained from the current portfolio provides a rich resource that could be usefully subjected to thematic studies on the progress made, lessons learnt, the extent to which findings have been taken up already and the potential for expanding this.



# Main Report





# 1. Introduction/Background

This section of the report provides general background to the evaluation and an overview of the Civil Society Support Scheme of Norway's International Climate and Forest Initiative, the evaluation object.

## 1.1 General Background

The primary objective of the Norwegian Government's climate policy is to help establish a global, binding, long-term post-2012 regime that will ensure cuts in global greenhouse gas emissions sufficient to limit global temperature rise to no more than two degrees Celsius above pre-industrial levels. Measures to Reduce Emissions from Deforestation and forest Degradation (REDD+) in developing countries are considered essential if this target is to be achieved (Stern 2006; IPCC 2007).<sup>5</sup>

To this end, The Government of Norway's International Climate and Forest Initiative (NICFI) was launched by Prime Minister Jens Stoltenberg during the 17th Conference of Parties to the United Nations Convention on Climate Change in Bali, December 2007, pledging up to 3 billion Kroner a year in development cooperation funding in support of efforts to REDD+.

## 1.2 Real-Time Evaluation Programme

As NICFI will be managing a significant part of Norwegian development cooperation funds for several years, it is in the interest of policy-makers and the public to have access to impartial information about its progress and performance. The overall objectives of the real-time evaluation are to assess the impact and results of the NICFI support:

1. For improving the prospects of the inclusion of a REDD mechanism in a post-2012 climate regime;
2. For the preparation of mechanisms and implementation of activities to attain verifiable reductions in greenhouse gas emissions;
3. For the conservation of natural forests to maintain their carbon storage capacity;
4. With regards to the general objectives of Norwegian development cooperation, such as those related to livelihoods, economic and social development and the environment.

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<sup>5</sup> The Stern Review on the Economic Effects of Climate Change. HM Treasury (2006). Cambridge University Press  
IPCC, 2007. Fourth Assessment Report. <http://www1.ipcc.ch/>

The first three objectives refer to NICFI main objectives, while the fourth objective derives from the use of development cooperation funds.

A real-time approach to this evaluation has been adopted in order to assess and feed back the results of NICFI to facilitate rapid learning, give advice at an early enough stage for changes in implementation to still be feasible, and provide timely information to the international community engaged in REDD+ and climate change issues. This approach is valid given the dynamic nature of the international debate around REDD+.

In 2010 there were two core evaluations:

1. Global level: NICFI contribution to an international REDD+ regime;
2. National level: NICFI support to the formulation and implementation of national REDD+ strategies.

The Norwegian government Ministries of the Environment and Foreign Affairs, and the Norwegian Agency for Development Co-operation (Norad), which are responsible for the Initiative, are intended to be the main users of the feedback and recommendations generated by the evaluation programme. More widely, the intended audience for the evaluation also includes:

The Norwegian Parliament, institutions, organisations, and the general public in Norway;

Multilateral organisations engaged in REDD+ activities, including the UN-REDD programme, the World Bank and the regional development banks;

The international community, contributing to overall knowledge concerning the achievement of both REDD+ and sustainable development in general;

The national REDD+ initiatives in target countries.

### **1.3 Scope of this Evaluation**

The full Terms of Reference are attached in Annex 1 and are simply summarised here. The purpose of this evaluation is (i) to document the lessons learned from the NICFI Civil Society Support Scheme and (ii) to provide feedback to NICFI and other stakeholders involved in efforts to Reduce Emissions from Deforestation and forest Degradation, conserve and enhance forest carbon stocks in developing countries (REDD+). In order to achieve the purpose, the evaluation was required to assess the overall results of the Civil Society Support Scheme. Specifically, the evaluation had two main objectives:

1. Assess the influence of the policy-oriented and knowledge-generating REDD+ activities on the national and international REDD+ processes
2. Assess the contribution of the field-based, local or sub-national, REDD+ demonstration activities on the national and international REDD+ processes.

This evaluation covers only the project portfolio supported by the NICFI Civil Society Support Scheme (Annex 5). Other NICFI-funded REDD+ activities that are being implemented by civil society organisations, such as those supported through the Norwegian Embassy in Tanzania, the Amazon Fund in Brazil and the Congo Basin Forest Fund, will be reviewed separately and are not included in this evaluation.

The two core questions above are addressed in Section 8.1 using the findings. The report aims to respond to the ToRs against the standard OECD/DAC criteria but also included 16 Evaluation Questions that often overlap these. The OECD/DAC criteria are used to structure the main report and the Executive Summary, which also contains responses to the individual evaluation questions.

## **1.4 The Evaluation Object – Norway’s International Climate and Forest Initiative (NICFI)**

The rationale behind the NICFI support for REDD+ is to make a substantial contribution in the struggle against global warming. The Initiative has three climate related objectives to guide its path towards achievement of this goal:

1. To work towards the inclusion of emissions from deforestation and forest degradation in a new international climate regime;
2. To take early action to achieve cost-effective and verifiable reductions in greenhouse gas emissions;
3. To promote the conservation of natural forests to maintain their carbon storage capacity.

The climate-related goals determine which support is to be initiated, continued, terminated or changed. Sustainable development and poverty alleviation are overarching goals of Norwegian foreign and development policy. Thus, in addition to the climate goals, these are essential goals for NICFI. In pursuing the different goals, the climate policy and the development policy should be mutually supportive. All funds are to be used in accordance with both the climate and development objectives of NICFI.

### **1.4.1 The NICFI Internal Institutional Framework**

There is a high level of political drive for NICFI and three key government institutions are involved in its implementation:

1. The Ministry of Environment, in which the NICFI Secretariat is based, has overall responsibility for the International Climate and Forest Initiative;
2. The Ministry of Foreign Affairs, including the Norwegian missions abroad, is responsible for foreign and development policy related to NICFI, as well as the management and disbursement of funds; and
3. The Norwegian Agency for Development Cooperation - the Department of Climate, Environment and Natural Resource Development provides technical advice and the Civil Society Department manages the Civil Society Support Scheme of the Initiative.

### 1.4.2 The NICFI Portfolio

The Initiative provides substantial results-based financial support to REDD+ countries, supports readiness efforts in a wide range of countries, mainly through multilateral channels, and also supports methodology development and pilot projects through civil society and other actors.

Norway has entered into formal agreements for results-based financing with the following partner countries:

- Brazil – up to US\$ 1 billion to be delivered up to 2015. Support is based on results in the form of verified emissions reductions and channelled through the Brazilian National Development Bank (BNDES) and for projects funded by the Amazon Fund;
- Guyana – up to US\$ 250 million results-based payments over 5 years to 2015. The support is channelled through the Guyana REDD+ Investment Fund (GRIF) hosted by the World Bank, with the World Bank, UNDP and Inter-American Development Bank (IDB) as Partner Entities;
- Indonesia – US\$ 1 billion results-based payments agreed through a 2010 Letter of Intent; and
- Ethiopia - Norway has entered into an intentional agreement with the Government of Ethiopia to provide up to US\$ 20 million in results-based payments annually for REDD+, with support to be channelled through the Climate Resilient Green Economy (CRGE) Facility of Ethiopia. This is part of the overall Ethiopia-Norway Climate Partnership, which also includes up to US\$ 40 million in annual contributions to the agricultural and energy sectors.

In order to contribute to REDD+ readiness and development of REDD+ methodologies, the Initiative has channelled substantial support through multilateral entities, such as: The UN Collaborative Programme on Reduced Emissions from Deforestation and Forest Degradation (UN-REDD Programme) a collaboration between UNDP, UNEP and FAO; The Forest Carbon Partnership Facility (FCPF) of the World Bank ; The Forest Investment Program (FIP) of the World Bank; and The Congo Basin Forest Fund (CBFF) which is hosted by the African Development Bank. More than 40 countries are supported through UN-REDD, FCPF and FIP.

Norway has also provided bilateral support for REDD+ development in Tanzania over five years from 2009, agreed through a Letter of Intent. This support has mainly been used for capacity building, REDD+ related research and to fund REDD+ pilot projects in the country.

In addition, substantial support has been provided to about 40 civil society and research projects between 2009 and 2012, through the NICFI Civil Society Support Scheme, the subject of this evaluation.

Through UNDP, support of up to 90 million NOK (c. US\$ 15 million) will be provided to the Mexican government to improve, develop and explore methodologies for monitoring, reporting and verification of forest-related

emissions and removals and payment for ecosystem services, as well as for south-south cooperation in these areas.

In addition to the agreements noted above, Norway has also provided minor additional support for REDD+ development through various channels.

## 1.5 The NICFI Civil Society Support Scheme

### 1.5.1 Rationale for Establishment of the Civil Society Support Scheme

The rationale for establishment of the Civil Society Support Scheme is described in the Ministry of Environment's Proposal 1 to Parliament 2008-2009.<sup>6</sup> This Proposal recognises that Norwegian and international non-governmental organisations, along with research institutions, have worked extensively on forest issues and have gained considerable expertise and capacity in this area, hence the Proposal considers close cooperation with these organisations as necessary to maximise the potential for success of NICFI. More knowledge from the field through research and development activities, and a need to seek new, innovative approaches, were also considered critical.

As well as the development of solutions, the development of strategic alliances with non-governmental and research institutions was also intended to contribute to the debate on the need for a new climate regime that includes forests. The establishment of a grant scheme to support research institutions and non-governmental organisations for these purposes was deemed necessary as it was felt that such projects did not fit within the multilateral and bilateral mechanisms that were being established.

The Initiative's strategy notes:

*It is of crucial importance that country strategies are developed through a broad-based, inclusive process, and that all key actors are given an opportunity to participate. It is also important that all parties who may have an influence and an interest in REDD are drawn into strategy development, so that it is possible to make use of their different strengths. These may include indigenous peoples, multilateral organisations, NGOs, civil society organisations, the forestry industry, extractive industries and the plantation sector.*

In addition to methodology development, other core aims of NICFI support for Civil Society, as understood from discussions in Oslo, are to enhance the engagement of civil society at national level to generate an open, inclusive and comprehensive debate on REDD+. In parallel, this strengthening of the voice of national civil society needs to be reflected in the international debate on REDD+ and climate change. To this end, support is also expected to be channelled to national and international civil society actors and organisations working internationally.

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<sup>6</sup> St.prp.nr.1.2008-2009. Available at: <http://www.regjeringen.no/nr/dep/md/dokument/proposisjonar-og-meldingar/stortingsproposisjonar/2008-2009/stprp-nr-1-2008-2009-.html?id=530799>

### 1.5.2 Institutional set-up of the Civil Society Support Scheme

As noted above, Norway's International Climate and Forest Initiative brings two government ministries – Environment and Foreign Affairs – together with Norad, the agency within the Ministry of Foreign Affairs responsible for Norway's international development assistance. These three bodies oversee the Initiative and each has its own institutional culture while personnel within them bring a valuable diversity of interests, responsibilities and experience. Until recently, the ministries responsible for development cooperation and environment had a joint minister. This was the situation through most of the period covered by this evaluation, although this has now changed.

As was noted in the 2011 evaluation reports of the Initiative, many of the activities have been established under intense time pressure and against a background of rapid changes and considerable uncertainty in the international climate change and REDD+ framework. The Civil Society Support Scheme is no different and was started in considerable haste with 10 projects being funded in 2008. Given the short lead-time, it is remarkable that this was achieved. These initial projects were not included in this evaluation (see Section 1.5.4). From 2009, a series of partially open calls for proposals was made, with progressively tighter definition on the structure of the submissions; Annex 5 provides a listing of the projects funded following the 2009 and 2010 calls.

The progressive tightening led ultimately to a two-phased 2012 call for proposals, with concept notes being requested during Phase 1 to reduce the burden on both applicants and Norad Civil Society Department, although as an open call more than 600 were received, selection from which will be very demanding. During Phase 2 of the process, applicants who submitted successful concept notes will be invited to submit full proposals.

Proposals are assessed initially by Norad Civil Society Department, which has responsibility for administration of the Civil Society Support Scheme. They were then reviewed by a Hearing Panel comprised of one representative each from the Ministry of Environment, Ministry of Foreign Affairs and Norad Climate, Environment and Natural Resources Development Department. Although the Panel had only one representative from each agency, internal briefs were prepared by MoE to assist their Panel member. As would be expected, given the differing backgrounds and interests, there were different views on the priorities for funding and which specific proposals should be selected but these were ultimately resolved.

In common with many similar schemes, proposals have to address several objectives. Firstly, there are the three REDD+ related goals of the Climate and Forest Initiative but in addition, because the funding originates from the development budget, proposals also have to be consistent with the broad aims of Norwegian development assistance. This makes for certain lack of clarity for applicants as to whether they are to submit proposals that address REDD+ while being compliant with development aims or whether they are to address development aims within the context of REDD+.



The evaluation team was also made aware that Norad Civil Society Department, regards it as vital to maintain a clear distance from civil society grant-holders to preclude any conflict of interest, as they do with other civil society support funds. This policy may not be fully clear to all grant-holders who are familiar with closer links to their sponsors.

The main administration burden for the Civil Society Support Scheme falls on Norad Civil Society Department desk officers, who did not generally have specialist knowledge of climate change and REDD+ and initially faced a steep learning-curve; they also have responsibility for many other grants. These desk officers do change from time-to-time, leading to a loss of expertise gained. Overall the scheme has been run with existing systems and procedures but at the cost of high pressure on the individuals involved.

### **1.5.3 Scope of the Civil Society Support Scheme**

The purpose of this funding scheme is to support REDD pilot activities and development of methodologies by civil society organizations, in order to generate input to the climate change negotiations and experiences from REDD activities in the field. Input and critical review from civil society can contribute to the establishment of more robust strategies for reducing emissions from deforestation and forest degradation.

The April 2011 version of the Norad Rules for Climate and Forestry Schemes states that the Civil Society Support Scheme is intended to contribute to:

1. Increased knowledge and new innovative solutions in the field of reduced deforestation and forest degradation in developing countries;
2. Systematic information and debate concerning the need for a new climate regime and for including measures against deforestation in this regime; and
3. Increased participation by indigenous peoples and local communities in monitoring and management of more sustainable forestry, and increase in indigenous peoples' and local communities' rights to land and rights of use and establishment of equitable distribution mechanisms

The rules then identify two target groups for the funding:

- a. Civil society actors who work to promote increased knowledge and innovative solutions in the field of reduced deforestation and reduced forest degradation in developing countries; and
- b. Vulnerable social groups, indigenous peoples, population groups and local communities in developing countries that live in and [depend on] of the forest.

Finally, four topic areas are identified in the rules for climate and forestry:

- Projects significant to the drafting of global and national agreements;
- Projects significant to development of national REDD systems;
- Capacity building in relation to indigenous peoples and local communities in order to ensure their participation in policy shaping and decision-making processes and to ensure sustainable use of natural resources / forests; and

- Projects conducive to strengthening of South-based actors' potential for influencing international, regional and national decision-making processes. Importance shall be attached to projects conducive to strengthening capacity and competence in developing countries and promoting cross-border cooperation.

This is fully congruent with what is stated in the general and specific Norad rules relevant to this scheme as well as the strategy for the Initiative as a whole.

#### **1.5.4 Civil Society Support Scheme Portfolio Overview**

Calls for proposals for the Civil Society Support Scheme were published in 2009 and 2010. Prior to these calls, ten projects received funding on an ad-hoc basis in 2008. These projects have not been considered as part of the evaluation as they were funded before the Civil Society Support Scheme was fully operational and are therefore not a true reflection of the current scheme. A third call was made in April 2012 and proposals from this round are currently under assessment.

Between 2009 and 2012, financial support to civil society and research institutions provided by the Civil Society Support Scheme through the 2009 and 2010 funding rounds totalled 650.5 million Kroner. Forty civil society organisations / research institutions received funding through the Civil Society Support Scheme during this time. CIFOR received the largest share of this (12%), followed by Rainforest Foundation Norway (8%), WWF International (7%), ICRAF (5%) and RRI (5%) – See Annex 5.

The supported projects are active at international, national or sub-national scales, many of them across at least two of these levels. Indonesia hosts the largest number of Civil Society Support Scheme projects (18 in total), followed by Peru (10 projects), Cameroon (9 projects), Vietnam (9 projects) and Nepal (8 projects). An overview of the grant recipient organisations focused on by this evaluation, the scope of the supported projects and size of the grants received is provided in Annex 2.

## 2. Methodology

This Evaluation of Norway's International Climate and Forest Initiative (NICFI) Civil Society Support Scheme (CSSS) was conducted in two phases. The first phase was a desk-based review of the project documentation held by Norad from the 2009 and 2010 calls for proposals. This phase provided an overview of the portfolio and highlighted key issues to be followed up during Phase 2 and has already been reported upon. The methodology described in this section focuses on the second phase, which was field based.

### 2.1 The Portfolio Information Base

The Phase 1 desk review found several critical information gaps in the project documentation that it was necessary to take into account in developing the evaluation approach. Firstly, there was no clear programme theory for the Civil Society Support Scheme describing expected progress of inputs to outputs to outcomes to impacts: although objectives to be achieved through the Civil Society portfolio are described at a high level, these are not related to a clear, focused set of outputs, outcomes with corresponding indicators to measure progress with. There is also no baseline date or collection of monitoring data at the portfolio level and from the project documentation there appeared to be little usable baseline or monitoring data at the project level.

### 2.2 Mapping Out the Causal Chain

The Civil Society Support Scheme is not supported by a logical framework or similar document that provides an overview of the thinking behind its establishment and how it is expected to lead to the intended impact. Given the lack of logical framework and paucity of baseline data, to facilitate a structured analysis of the Civil Society Scheme and the underlying assumptions associated with its set up, the evaluation team attempted to reconstruct a causal chain based on the NICFI Secretariat's proposals to parliament and discussions with key NICFI Secretariat staff. The resulting causal chain diagram (Figure 1) was validated with the NICFI Secretariat, but while the Secretariat view it as an accurate reflection of the thinking behind the Scheme, this view is not shared by the Norad Civil Society Department. It is diagrammatic only.

It has been discussed with MoE, MFA and Norad. These three agencies have differing views on the diagram; one accepted it completely, the others had a number of comments, in the main relating to the extent to which the diagram covered adequately the complexities. Limited additional material has been

added but the diagram should not be taken as having been fully validated by all three agencies. It is presented as an aid to readers of the report since it provided an important element in the development of the evaluation methodology.

**Table 1 Grant-holders Visited and/or Interviewed**

Grant-holder	Study Team				
	Global	Cameroon	DRC	Indonesia	Peru
Amazon Conservation Association					✓
Avoided Deforestation Partners	✓				
Centre for Clean Air Policy	✓			✓	
CIFOR	✓	✓		✓	✓
Clinton Climate Initiative				✓	
Conservation International	✓				✓
Environmental Investigation Agency	✓			✓	✓
Forest Peoples Programme	✓	✓	✓	✓	✓
Forest Trends and Katoomba Group	✓				✓
Global Witness	✓				
ICRAF		✓		✓	✓
IIED	✓				
Rainforest Foundation Norway	✓		✓	✓	
Rights and Resources Initiative	✓			✓	
Samdhana				✓	
Tebtebba		✓	✓		✓
The Nature Conservancy	✓			✓	
Transparency International	✓			✓	
Worldwide Fund for Nature (WWF)	✓		✓	✓	✓
World Resources Institute	✓	✓		✓	

Figure 1 Reconstructed Causal Chain Diagram



### 2.3 Assessment against the OECD / DAC Criteria

The evaluation assessed the Civil Society Support Scheme in relation to the OECD / DAC criteria of Relevance, Effectiveness and Efficiency. The OECD / DAC definitions of these are as follows:

- Relevance - the extent to which objectives are consistent with beneficiaries' requirements, country needs, global priorities, partners' and donors' policies
- Effectiveness - the extent to which objectives were achieved / are expected to be achieved, taking into account their importance
- Efficiency - the how economically resources / inputs are converted into results

For the context of this evaluation these criteria are interpreted as follows:

- Relevance - contribution to the achievement of NICFI core climate and development objectives, selection of recipients for support and alignment with / additionality to other REDD+ efforts.
- Effectiveness - capacity building, understanding of and support for REDD+, lesson transfer between countries, impact on land use decision making and sustainable development, emissions reduction and poverty reduction.
- Efficiency - governance, administration, implementation in Norway and by the partners, coherence between objectives, plans and actions, analysis of budget elements, identification and sharing of lessons learned, ability to capitalise on experience and adapt to changing conditions, cooperation and co-ordination and quality of baseline data

These definitions are derived from those included in the Terms of Reference for the framework contract for the Real Time Evaluation of Norway's International Climate and Forest Initiative.

### 2.4 Selection of countries for field work

Country selection for field work was undertaken on the basis of number of projects hosted, a need to ensure geographical balance, to represent a range of national contexts and the country's strategic importance in relation to REDD+. Indonesia and Peru host the most projects, followed by Cameroon and Vietnam. Indonesia, Peru and Cameroon were selected to enable data collection from three continents. Democratic Republic of Congo was selected because of its strategic importance in relation to REDD+ and to generate additional data from an African context given that there are fewer projects hosted in Cameroon and Democratic Republic of Congo than in Indonesia or Peru.

### 2.5 Focal Project selection

Since it would not be time efficient or cost effective to evaluate all the projects in the portfolio, 20 focal projects were identified to form the basis of the assessment. This represents 50 % of the projects within the portfolio and 73 % of the funding granted through the portfolio. Projects were identified on the basis of the following criteria:

- Potential for vertical comparisons (activities on multiple scales);
- Potential for horizontal comparisons (activities in several of the countries to be visited during Phase 2);
- Size of funding;
- The need to provide thematic coverage within countries, to the extent possible;
- The need to provide coverage across the different types of proponent organisations.

This focal list includes coverage of proponent types as follows: three research institutions; six rights / advocacy focused Civil Society Organisations (CSOs); eleven environment focused CSOs; two governance focused CSOs, and two policy orientated CSOs / Think Tanks.

Of the projects included in the list, 14 have received major funding (NOK 12 million or more); 16 are projects on which vertical comparisons are possible and nine have the potential for lateral comparisons of success of activities between countries.

We also believe that this list provides good coverage of the activity themes across the portfolio. Most themes are represented by 8-10 projects however capacity building / training activities and advice provision type policy advocacy activities are represented by 13 and 14 projects respectively. Field PES demonstration activities are only represented by five of the focal projects but this reflects their comparatively low frequency within the portfolio.

In each target country, the field visits provided opportunities to assess a sample of projects that are working within each of the themes within the portfolio: field demonstrations, advocacy projects that are working at national, provincial and local level, projects focussing on national strategies and projects working at the national level through activities related to international policy.

## 2.6 Development of survey instruments

An evaluation framework of key questions, judgment criteria and indicators against the OECD /DAC criteria was developed (see Annex 8) based on the assumptions described in the causal chain and the evaluation questions in the Terms of Reference.

From the revised evaluation framework, the team developed an indicator question table for guiding semi-structured interviews that outlines the thematic areas to be covered with interviewees. This enabled the field teams to collect consistent data against each question through semi-structured interviews with grant recipients and of stakeholders.

## 2.7 Data collection

Data collection aimed to be both quantitative (as far as possible using supported projects' documentation) and qualitative through, inter alia, semi-structured interviews, group meetings and focused discussion with influential opinion formers and decision-makers.

In terms of advocacy and influence, the key information to be collected was people's perceptions; this was mainly assessed through discussions with as wide a range as possible of potential advocacy targets to secure triangulation. Information was gathered through talking with people and taking them back to their earlier views to determine how and why their perception had changed and try and determine whether there is any rational explanation other than, or in addition to, what has been done deliberately by the various projects.

The approach to conducting semi structured interviews was as follows: for each indicator question the teams first collected descriptive information by discussion with interviewees on the thematic areas listed under each indicator question (noting that not every thematic area was relevant for each interviewee group) before asking the interviewees to provide a summary score against each question. These summary scores were then assessed.

Prior to conducting field work in the focal countries, interviews were held with NICFI staff and Norad Civil Society Department staff in Oslo and with INGO grant recipients at their headquarters in Oslo, Washington DC and Arlington VA in the United States, and in Edinburgh and London, United Kingdom or by telephone. In total interviews were held with international headquarters of 14 supported organisations in the United States, Norway, Germany and the UK). The Indonesia team visited 13 projects, the Peru team 9 projects, 6 projects were visited in Cameroon and 5 in DRC.

### **Thematic Studies**

In parallel to the field visits, a number of thematic studies were undertaken. These were:

### ***Research projects***

This field component focused on those projects within the Civil Society portfolio which are either primarily focused on research, or which have a strong research element. Gaining an in depth understanding of the impacts and influence of the research-focused projects was important as the production of high-quality research is a distinct route to achieving NICFI's objectives and was specifically noted in the ToRs. One particular limitation was slow progress with the on-the ground implementation of pilot projects.

This field component involved an in-depth field study of the CIFOR project in Indonesia, supported by data collection associated with CIFOR and ICRAF country case studies during field visits. IIED were interviewed in London and additional material on the research aspects of the other focal projects that have



research elements, but not a central research focus, were collected by the country teams.

The results of the study are written up as a separate report attached as Annex 7.

### ***Political and Operational Context***

This study responded to the comments from Norad for Civil Society Department on the first phase report. It documented the formation, background and evolution of the Civil Society Support Scheme by reference to the Initiative's mandate as defined by the Norwegian parliament and used a combination of interviews with key individuals involved in developing NICFI's Civil Society Support Scheme portfolio, and study of archival documentation relating to the definition of processes / roles and responsibilities from 2008 to the present.

The study identified the differing roles of organisations involved in development of the Civil Society portfolio initiative, the weight and dynamics between the institutions involved, the Hearing panel, divergent views between the ministries, the hierarchy of objectives and the relative weighting of these. The output was used to inform the evaluation team.

### ***Operational Processes and Knowledge Management***

Weaknesses in the processes used to appraise and select the projects for funding became clearly apparent quite early on and were confirmed during the detailed review of the documentation. It was emphasised that the interest was in the lessons learnt about what has worked and what has not and in changes that could be made to enhance this, including capture and dissemination of the lessons.

The study was completed in January 2012 and the results used to help develop the 2012 call for proposals. Some further information on both operational processes and knowledge management are incorporated into this report.

### ***Indonesia Policy Background***

During the Bogor meeting, it was suggested that the changes in the policy background in Indonesia needed to be updated since the country report from 2010 and particularly in respect of the moratorium and its application. This study preceded the Indonesia field visit and was provided to the field team.

### ***Mapping of Linkages among Project Partners in Indonesia***

During the Bogor meeting, the close linkages between the internationally based NGOs and the national ones became clearly apparent, with the Indonesian NGO AMAN being a very prominent partner in many projects. The issue of the grants within the portfolio being packaged together with other funds to run common activities for many NGOs has already been identified and the financial and administrative linkages with local NGOs appear to be similarly important.

A desk-based mapping study was undertaken to make more explicit the linkages although in the light of the major changes in approach indicated in the 2012 call

for proposals, the findings may not longer be useful. A copy of the report can be made available if requested.

### **Summary of Key Results from Phase 1**

Whilst recognising that the main goals of the funding scheme have been met, the study drew attention to following key issues:

- That the political haste in which NIFCI was established resulted in quality-control difficulties in the initial two years of support, and that whilst necessary changes have now been made, there remains room for a further tightening of both application procedures and project monitoring.
- The Ministries, NIFCI Secretariat and the Norad Civil Society Department appear to have somewhat divergent views about the goals and ideal operation of the Civil Support Scheme.
- There is an imbalance between support given to International and to National Civil Society Actors.
- Whilst the intentions of the Support Scheme have been realised, more civil society projects focused on MRV, demonstration projects and sources of finance would be desirable.
- The follow up of grants has not been coordinated between NIFCI and Norad and Norad wider capacity for screening project applications has also not been fully utilised.

### 3. Relevance and Coherence

The evaluation finds that the relevance of the NICFI Civil Society Portfolio is good in many areas: portfolio projects are generally well aligned with the NICFI objectives; supported civil society partners are credible, important REDD+ actors; activities are characterised by good national ownership and alignment with national REDD+ activities; the portfolio is thematically additional and appears to be financially additional at the sub-national and local levels.

Some aspects of the portfolio are less relevant to the achievement of the NICFI objectives. Projects have not been designed around the NICFI objectives and several supported organisations regard REDD+ as an opportunity or vehicle for pursuing their own agendas and plans. In a few instances this has resulted in funding being used for activities that are not relevant to NICFI. Financial additionality is also less evident at the national and international scales.

#### **Box 1 ADP Advocacy Project**

The ADP advocacy project is unique within the portfolio. It has no field activities and had two discrete areas of operation: the first was among large US-based corporations and the second in international climate change meetings such as those of the UNFCCC and the REDD+ Partnership. While REDD+ is an included component of the project through promotion of private commercial investment in REDD+, the main advocacy focus has been set rather wider than REDD+ to also encompass concepts such as sustainable agriculture and supply chains.

ADP advocacy has thus supported the first NICFI objective of including REDD+ in a new international climate regime and by its attention to the large US based corporations sought to influence political thinking within the US. As an international climate regime which does not include the US is unlikely to be effective, their work has been fully relevant to the overall NICFI climate objectives.

Because ADP is operating quite differently from other grant holders, coherence with their activities has not been deliberately sought although ADP has maintained close links to INGOs and benefited from their expertise and experience, albeit informally. Because of its uniqueness, the ADP project is not included in the following sections.

### 3.1 Consistency with NICFI Climate related and developmental goals

*Finding 1 Projects within the portfolio are well aligned with one or more of the NICFI Objectives despite not being explicitly designed in this way*

As reported in the earlier desk and interim studies, very few projects within the portfolio have been designed around the NICFI objectives. Further to this, several grant recipients and local partners reported that their projects or activities were formulated and had been marketed to various donors / funds prior to the NICFI calls and the successful projects are a reworking of those original proposals to fit the NICFI call, rather than proposals specifically designed around the call.

Despite this lack of explicit focus by projects on the NICFI objectives, most projects are well aligned with them. There is a good degree of project relevance to one or more the three NICFI climate related objectives, albeit with relatively little attention to that on conservation of natural forests other than in demonstration projects. All projects are also aligned with Norwegian development objectives, although the degree to which contributions are direct or indirect understandably varies according to project scope.

The degree to which focus on the development objectives is implicit or explicit varies between projects, as would be expected across a broad portfolio of this kind. With the exception of the ADP advocacy project noted above, which concentrated entirely on high-level advocacy in respect of the climate related goals, all of the other projects addressed climate and development goals concurrently. This approach, in which climate and developmental goals are closely integrated, reflects the broad debate around REDD+ that has taken place in international forums and illustrates the general relevance of the portfolio to this debate.

Although the level varied, the extent of engagement in the wider international policy discussion and internal analysis and discussion on the future direction of REDD+ has been very substantial in most of the global grant holders, notably CI, RRI, TNC, WRI and WWF; these are also the organisations that have the most wide-ranging and complex programmes.

*Finding 2 Most grant recipients have adopted a Programmatic Approach in which the NICFI funded 'project' is not stand-alone, but one of a number of activities within a large, integrated programme*

One important aspect of the portfolio is that in the majority of cases, the NICFI-civil society support does not fund a fully stand-alone project, but is instead used to fund activities that are integrated into a wide programme. The approximate proportion, and hence significance of the NICFI funding to the wider programme through which it is being delivered, generally falls into two distinct categories. Out of the nine global level grant holders, in

five cases the funding was very important (70% or more) in that without it, the work would not have been undertaken. In the other four cases, the funding represented less than a quarter of the overall cost. In three of the nine cases where funding was used for the country-level part of the wider global programme, the national work could not have gone ahead without the funds.

*Finding 3 Approach to Improved Governance is generally broader than REDD+, which is an important reflection of the current state of the international debate and captures improved coherence with other initiatives*

While outcomes such as FPIC and safeguards are important to REDD+, they have many similarities with governance work relating to illegal logging and indeed to wider sustainable forest management. The main actors that have engaged on improved governance all have extensive experience from these other work areas and in many cases have made direct linkages particularly on empowerment and transparency.

CCAP, EIA, RRI and WRI have projects that are all focused on improved governance. CCAP worked on brokerage and drafting language for the US climate bill when it was undergoing review in the Senate. The CSSS finance was used for research with other funds being used for lobbying activities. During the period when it seemed the draft bill might proceed into legislation this element was highly relevant for the NICFI objective of REDD+ being included in an international climate regime.

CCAP also undertook a series of other activities. An important aspect of the work was supporting an effective conduit for information flows from grass roots level upwards in national delegations, which again is relevant. In parallel with these activities, CCAP also worked in Sumatra, Indonesia on a pilot site that included development aspects (mini-hydro scheme, ecotourism and bundled PES options). CCAP also undertook an economic analysis of the costs of REDD+ in Cambodia, which was presented at an FCPF meeting. This was peripherally relevant to NICFI in that the topic was relevant but the country in which it was conducted less so.

The WRI project, Governance of Forests Initiative, is very relevant to NICFI climate and development objectives although it is not REDD+ compliant it has a broader governance lens than just REDD+. The toolkit has piloted in several countries including Brazil and Indonesia, and WRI has attempted to capture country experience lessons to feed-up into international debate, as well as linking with major global institutions such as FAO and World Bank; coherence therefore seems also to be high.

The EIA project was highly relevant to NICFI climate objective on international policy development and to the development objective relating to engagement with indigenous and forest dependent communities. EIA has long experience of working with governance related to illegal logging and merges the similar

governance needs. Of the various global level actors, EIA is with RRI perhaps the most strongly linked with work on illegal logging (mainly the EU-FLEGT processes). The coherence between their work on this and on REDD+ is positive and valuable.

EIA activities include capacity building within these communities as well as analytical reporting which is wide-ranging and encompasses issues such as bio-fuel production, carbon fraud reporting, together with the plantation-sector generally and illegal logging. Although they identify mining as a critical driver of forest loss, they have not so far engaged with it in any detail.

These activities and ultimately the outputs and outcomes together with those from CI, TNC and WWF show good relevance and coherence with NICFI objectives and also high levels of coherence with and understanding of national positions and aspirations. All also maintain close contact with other key donors and international REDD+ relevant agencies.

CI maintains regular contact with US policymakers as well as with private foundations, some of which have provided funding for REDD+ field activities, such as the Disney Foundation money to Peru.

*Finding 4 Several supported organisations regard REDD+ as an opportunity or vehicle for pursuing their own agendas and plans*

Several of the grant recipients interviewed see REDD+ as a “vehicle” for achieving other non-climate related objectives, e.g. in Indonesia grant recipients and local partners focused particularly on land tenure and governance reforms rather than a specific climate change aim. In Cameroon, Tebtebba’s local partner, admitted that the focus of their activities is on representation of indigenous people in relation to decentralised governance institutions and raising awareness of local communities on the impacts of climate change through child education campaigns.

In some of these cases, although there is good alignment with the NICFI objectives, the contribution that projects will make to achievement of the NICFI objectives is largely indirect. For instance, WRI’s governance-tool development project will only contribute indirectly to NICFI climate and development objectives, notwithstanding its value.

Under some projects, the NICFI funding had been used for activities that were yet one further step removed from the NICFI objectives. For instance, the Tebtebba project funded a Cameroonian indigenous peoples’ representative to participate in the UN Permanent Forum on Indigenous Peoples, and the Pan-African Indigenous Peoples’ Steering Committee.

The FPP has undertaken activities focused on the negotiating text related to indigenous peoples in the Convention on Biological Diversity and devised a letter of complaint to the UN in relation to the Government of Indonesia’s

compliance with the International Convention on the Elimination of All Forms of Racial Discrimination. While these are useful and worthwhile activities in their own right, any contribution to the achievement of the NICFI objectives is so indirect that it is hard to see their relevance.

*Finding 5 Good alignment with national REDD+ efforts in all countries visited*

In all four countries visited, there was good alignment between projects receiving NICFI funding and national REDD+ efforts. The form of alignment varies according to context. In Indonesia many individuals from the funded organisations have been involved in the development of the draft National REDD+ Strategy and other national activities, which suggests that these projects are well aligned with national REDD+ efforts and priorities.

CIFOR's publication on the 'REDD+ Context in Cameroon' presents a comprehensive outlook on REDD+ drivers, agents and institutions in Cameroon. It is the only report of its kind in a country that is drafting a Readiness Preparation Proposal, a process where key decision makers need this kind of information; so far, unfortunately, it does not yet seem to have been utilised in this way, this is discussed under effectiveness.

In DRC the NICFI portfolio is entirely consistent with the government led REDD+ strategy development process. However, this is more related to external coordination than by the way in which the CSSS portfolio is organised: In DRC there is strong national co-ordination at government level and all REDD+ actors (including those within the NICFI portfolio) want to be seen to be part of this process.

The sub-national (nested) approach for REDD+ development employed by the ACA project in Peru is coherent with Peru's REDD+ initiative, and CI has assisted the Peruvian government in developing the national REDD+ process.

*Finding 6 National ownership of projects appears to be good in most cases*

Project implementation in Indonesia is well aligned with the need to promote national ownership of REDD+. Strong national ownership is important for acceptance of project activities and results. Although grant recipients are INGOs, and hence risk being seen as "outsiders", projects have been implemented in two ways that should promote national ownership of activities in Indonesia are entirely implemented by national partners while in other cases the INGO works through a national office that is headed and primarily staffed by Indonesian nationals many have very senior Indonesian staff.

The projects in Peru are notably coherent with government policy at national and sub-national levels. All appear to have made strong efforts and the response from the government has been positive, with good appreciation and understanding of their value. They also appear to be generally well-linked to the target beneficiaries.

Research projects that have primarily an international focus are understandably less well owned at the national level: in Cameroon the methodologies applied by research partners in the NICFI portfolio were not well understood locally, while other national REDD+ actors were simply unaware of the projects.

*Finding 7 NICFI supported CSOs are generally regarded as important, credible and valued REDD+ actors by government*

The view of civil society as an important player in REDD+ was fully shared by all the global level actors. Furthermore, all concurred with the thesis that an informed and vibrant civil society would lead to more legitimate national REDD+ strategies and that there was merit and value in facilitating information flows from grassroots to international levels. The only partners that are working at least partially outside the defined constituency of civil society are Forest Trends, which is strongly linked with the commercial sector as a source of investment, while much of the work done by ADP has focused on US companies as significant influencers of US political opinion, which is somewhat removed from the accepted definition of civil society.

Aside from advocacy and monitoring roles undertaken by CSOs, which require independence from government, given that the Norwegian position is that ultimately REDD+ should be implemented on a national scale and the responsibility of national government, the value of providing civil society support for national level activities in contributing to NICFI objectives will to a large degree depend on the extent to which national governments share the Norwegian view that civil society has a role to play in REDD+ and regard NICFI's civil society partners as credible REDD+ actors.

All interviewees in Indonesia expressed the opinion that civil society has an important role to play in REDD+ efforts and both Indonesian government staff interviewed at the central, provincial and district level and other national actors spoke highly of many of the CSOs funded. Many of the activities undertaken have a local or national government mandate, which also suggests that supported CSOs have a high degree of credibility among decision makers in Indonesia.

In Cameroon REDD+ input from well-established and recognised national CSOs funded through the portfolio was valued by government and other actors and CIFOR and ASB-ICRAF researchers are invited as resource persons to local and national level REDD+ seminars and workshops. Both points suggest that the inputs of these groups are considered important contributions by other REDD+ actors in Cameroon.

The esteem and appreciation that government and CSOs hold for each other in DRC's REDD+ strategy development process is evidenced by the fact that DRC's national REDD+ coordinator was called upon by a NICFI-funded CSO and their national partners to mediate (and with success) some internal problems in DRC's GTCR.



*Finding 8 Added-value to the support scheme from grants to INGOs*

The three major conservation-oriented INGOs – CI, TNC and WWF – have all brought similar added value. All are closely linked into the major global institutions dealing with REDD+, such as FAO and World Bank, as well as into foundations and have good links with and considerable respect from most partner governments. All three also have good links with US political processes and the key players. Their networks to some extent overlap and while the individuals within each have personal connections, these organisations are also at times competitors, especially when seeking funding. This creates a potential problem in trying to secure collaborative work for an external funding organisation, such as NICFI.

Equally, the three big conservation INGOs, as well as FT, have all identified improved governance and equity as being vital for REDD+ to be achieved. In this, they become coherent with the work being done by RRI on rights and tenure. RRI as well as being very active on rights and tenure for REDD+ is also active on similar issues related to illegal logging, and has led a number of joint meetings on this through the Chatham House illegal-logging initiative. EIA also provides a similar connection to these two.

CCAP undertook advocacy in connection with the then draft climate bill in the US Senate, which subsequently failed to proceed. In this work, they used the NICFI funds for research and undertook parallel and supportive activities with other funds. The work of WRI, on the Governance of Forests Initiative toolkit also drew on their experience with work on FLEGT VPAs albeit mainly in countries other than those of high interest to NICFI.

Overall, the nine global US-based grant holders bring considerable potential synergy to their projects through the linkages with other activities and programmes, through their networks and through the strategic thinking they have undertaken on REDD+ and its future likely directions. Given the scope of current call for proposals, with its themes addressing the wider operating environment of REDD+, there seems to be good coherence between the views of the INGOs and NICFI.

*Finding 9 Portfolio is thematically and financially additional at the sub-national and local levels, but financial additionality less evident at national and international scales*

In Indonesia, projects are generally found to be thematically additional in scale of activities, approaches and processes trialled and range of contexts. Financial additionality was generally less as many of the INGOs and NGO partners funded receive funding for their activities from multiple sources. However, there were some important examples of financial additionality at the national, and critically, subnational levels for the less well-connected and lower profile NGOs.

In Cameroon the CSSS portfolio is quite diverse and it is supporting the development of activities that other REDD+ actors are not doing and ICRAF is the only effort in Cameroon taking a 'Reduced Emissions from All Land Uses' (REDD++ or REALU) approach.

In DRC examples of good additionality include: the RFN funding, which is the only source of funding to the DRC Civil Society REDD+ Working Group (GTCR) at the moment; WWF are thematically additional working on the plus side of REDD+ and on-the-ground readiness activities, whereas most other activities in DRC focus on REDD.

#### *Finding 10 INGO Partners have good awareness of REDD*

Although the mechanisms and the spurs for adaptation vary a little, the global level projects show high levels of awareness around REDD+ and appropriate responses and adaptation being made. Because the ADP project has focused somewhat beyond REDD+ as generally understood, it has not responded to the more recent changes, such as those from the UNFCCC meetings, in the same way that the other projects have done.

The way in which the RRI project is run, with a four-year strategy guided and revised by annual discussion from its (donor) steering group as well as by its own internal monitoring and evaluation system, means that in some ways, this has been the most responsive in the light of new knowledge. At the same time, this project is probably one that has the least dependency on REDD+ evolution since its main focus – rights and tenure – is not REDD+ dependent.

In a similar vein, EIA has adapted by shifting its focus away somewhat from the international negotiations towards the work being undertaken by World Bank, as one of the major current players in REDD+, with FCPF, FIP and GEF funds in particular. EIA has also recently started to focus on mining, which appears to be a highly significant driver of forest loss but one that has seldom received as much attention as illegal logging for example. The effects of small-scale gold mining in Peru (which are very similar to those in Guyana) seem to have been a trigger in this change.

The three major conservation INGOs (CI, TNC and WWF) are all very well aware of the changing circumstances around REDD+ in the international negotiations and each has responded and adapted to these. CI continues to work towards a nested approach to market opportunities while the broader approach taken by WWF means that its programme is somewhat less REDD+ dependent than others. TNC is certainly aware of the changes but the science-based approach it is taking, such as with the focus on HCVF, means again that the impact of changes around REDD+ are somewhat less significant.

WRI built in a certain amount of REDD+ risk diversification into its original approach. Their governance indicators toolkit by its nature responds to country level needs and, while they are aware of the changes around REDD+,

adaptation is essentially inherent in the approach used in the toolkit. CCAP had a more separated project with US-based advocacy and field-based activities. Although aware of the need for changes in their field approach, their communications with Oslo seemed inadequate for them to make the necessary adaptation.

## 4. Effectiveness

### 4.1 General Points

It is almost impossible to be definitive about effectiveness at this stage in respect of most of the projects. Firstly, few have been completed and secondly, there is a dearth of project-specific baseline data while reporting has been narrative and not results-based. As previously noted, most projects are in reality part of a wider programme and the bulk of these programmes are results based and have both baseline data and indicators at programme level, but this material is not project specific. It could be used to undertake ex-post evaluation.

The exception is the demonstration projects, which because these are nearly all tied into VCS / CCBA schemes have project specific data. These demonstration projects, however, have made slower than expected progress and cannot yet be assessed in detail. Nevertheless, from the information obtained through discussion and field visits, it seems projects have generally been effective both in terms of progress towards their own goals and appear to be on track to contribute to the NICFI climate and development goals.

The key areas in which projects have contributed include: technical developments, the approaches to REDD+ implementation and supporting methodologies to aid equitable implementation of REDD+ that have been trialled should provide a foundation of important lessons from which methodologies might be synthesised and agreed and standards drawn.

Projects have also contributed usefully to the development of national REDD+ strategies, particularly in relation to safeguards and in advocacy around REDD+ relevant legislative changes. National and local level civil society capacity has been strengthened through the projects and in many cases, the projects have enabled or facilitated the development of local partners into REDD+ actors with clear roles in REDD+ processes. Coverage of local communities' and indigenous peoples' rights is good across the portfolio, both in terms of activities on the ground (livelihood development, empowerment, FPIC, SES) and policy advocacy efforts.

Aspects such as biodiversity and gender appear to be addressed largely or solely by the demonstration projects and there is a need to optimise some advocacy activities in the portfolio if they make an effective contribution towards the NICFI objectives. With one exception, where gender-specific interventions were developed and piloted, projects seem to be largely gender-blind.

While many projects have engaged in community development activities to support their work with REDD+, it is not clear that the full range of available expertise has been applied to livelihoods development activities. To promote success and avoid 're-inventing the wheel', this requires review and remedy.

Demonstration projects are proving to be more complex and costly than anticipated and the higher costs include contributions from local people. Their investments also need to be considered and there is a risk of causing local level disillusionment with REDD+ if their investment falls through.

## 4.2 Progress by Projects

*Finding 11 Progress of local level pilot and readiness activities is slower than grant recipients anticipated*

This appears to be due to the inherently time consuming nature of early activities combined with external factors related to operating context, rather than a result of ineffective project implementation; there are also high costs although in part this is inherent in the project approach of demonstrations.

Across all of the projects active at the local / district level in Indonesia, preparatory or precursor activities have taken longer than anticipated at the outset. This finding is consistent with that from Component 2 of CIFOR's Global Comparative Study, the experience of those engaged with the REDD+ Partnership and as reported by the 2011 FCPF evaluation. Interviews with INGO HQ people confirm the finding on this.

In DRC, progress has been very slow with projects still largely in the preparatory phase and considerable concern as to whether the approach to working with shifting agriculture has been adequate. This contrasts with Peru where the nested approach has been adopted as national policy. The drivers in Peru tend to be logging and mining rather than agriculture and although there has been good progress at field level, the wider operating environment is going to need further support beyond the current time horizon.

Reasons for the slower and more costly than anticipated progress (which has characterised much work on REDD+, as, for example, found by FCPF<sup>7</sup> appear to be either inherent in the nature of activities undertaken or caused by factors external to the projects rather than due to ineffective project implementation.

Several projects in Indonesia reported that local capacity had to be built from a low baseline and preparatory activities such as FPIC, SES and fostering new ways of working together for groups that have no previous history of this, will inevitably be time consuming and personnel intensive. In many cases projects are also functioning in a highly complex and challenging operating context that provides fundamental obstacles to implementation. In Indonesia again, NICFI

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7 FCPF Mid-term Evaluation 2008-2010. Baastel and Nordeco (2011) for Forest Carbon Partnership

funded demonstration projects experienced obstacles and set-backs related to the level of political will, partial decentralisation of responsibility for state land, unclear land tenure, conflicts around land use, and powerful economic forces and incentives for business as usual.

### 4.3 Expected Contribution to NICFI Objectives

*Finding 12 Governance projects are a valuable if indirect element of the portfolio through promoting an enabling environment for REDD+*

Governance issues form at least a minor component of projects from nearly all of the INGOs. Within this group, it is the main focus of the projects of EIA, RRI and WRI but FPP, GW and RFN also have major governance aspects as does TI. WRI has worked on its toolkit for identifying governance issues mainly from the centre but with pilot testing that proved its effectiveness in revealing new issues, for example the woefully inadequate court records in Brazil.

RRI concentrates on rights and tenure, with strategic work done at HQ level and complementary field work; it is also well-linked in with major institutions and prominent at international meetings, as indeed are all the INGOs. RRI was crucial to the success of the Lombok conference (co-organised with the Ministry of Forestry and ITTO) with the outcome of tenure being finally recognised adequately at high political level. FPP and RFN work through a combination of strategic and on-the-ground support, which in the case of RFN in DRC has been highly valued by its partners in strengthening them.

EIA is notable for its approach which links governance work on REDD+ with similar work on illegal-logging, although this link is also evident in governance-related activities of others including RRI. EIA, like FPP, operates from local to international levels bringing up-to-date information to wider attention. All of the INGOs supported have also been engaged to various degrees with work on social safeguards, reflecting their interest and experience in governance issues, and interest which is reflected in tenure-related activities particularly at field level. FT, which is primarily focused on getting REDD+ into the market, has also worked on governance and tenure, which it identifies as vital to asset security. The focus of TI has been on identifying corruption risks.

The WRI project developed a sieve to identify and rank issues, governance indicators covering tenure, land management and planning that has been adapted for national contexts of Indonesia and Cameroon and is currently being tested to generate governance assessments. These indicators are intended for use as a diagnostic tool to help prioritise governance reforms as well as measure improvements over time. TI has employed a participatory process for corruption risk identification and is using this to develop a REDD+ corruption risk map for Indonesia. The CIFOR report "Context of REDD+ in Indonesia" (in press) provides a very comprehensive coverage of these challenges.

In Indonesia, the EIA project has also undertaken advocacy around forest sector governance and REDD+ based on evidence collection and documentation of REDD+ governance challenges and problems and in Peru engages young

students from indigenous peoples groups in identifying and documenting (filming) illegal forest activities and assessing the magnitude of timber export trade sourcing the timber from illegal sources.

Although these projects do not contribute directly to the NICFI climate and development goals, as good governance is fundamental for REDD+ success, these activities are highly complementary to the rest of the portfolio.

*Finding 13 Projects have been successful in advocacy around REDD+ relevant legislative changes*

Other projects have been effective at contributing to REDD+ supportive policy development, the most notable is Indonesia's Ministry of Forestry agreeing to implement the recommendations of the Joint Declaration from the International Conference on Forest Tenure, Governance and Enterprise held in Lombok, July 2011, note above. This is regarded as a key breakthrough by both national actors and NICFI-funded CSOs who contributed to this.

The advocacy activities that supported this have provided arguably the portfolio's single most important contribution towards REDD+ relevant legislative reform in Indonesia. The RFN supported GTCR has also strongly advocated for the integration of land tenure reform within the DRC REDD+ process.

In Peru, which has adopted the nested approach to REDD+, although there is no specific event that can be ascribed to the support, the healthy relationship between supported CSOs and the government is notable and has, for example, drawn attention to the "carbon cowboys" seeking irrevocable and unlimited carbon rights from large areas of indigenous peoples' land. NICFI support has been valuable in clarifying the potential role of REDD+ in Peru as a mechanism for securing long-outstanding land claims. The work at national level and the three regions in which projects work appear to be characterised by smooth running and mutually beneficial relationships between the CSOs and the government.

*Finding 14 Projects have contributed usefully to the development of national REDD+ strategies, particularly in relation to safeguards*

Many of the projects have provided important contributions to national REDD+ planning. Through the RFN project, a civil society network in DRC (GTCR) has made many concrete contributions to the formulation of the DRC R-PP while in Peru CI provided important comments during the development of the Peru R-PP.

In Indonesia, which is at a more advanced stage of REDD+ planning, many of the grant recipients (through their Indonesia offices) or their partners have drafted text on safeguards and land tenure or provided supporting inputs and one grant recipient is involved in the development of a REDD+ financial mechanism for Indonesia. The work on the draft text appears to have been particularly successful with one national partner commenting that "almost all we

wrote on safeguards was copied and pasted directly into the draft... the substance is still there”, and another NICFI grant recipient, who hadn’t been involved in the drafting commented on the “good text on land tenure” that is in the draft strategy because of these efforts.

Grant recipients and their partners have supported the national REDD+ processes through become valued technical advisors to government. For instance, CI follows the development of the UNFCCC discussions then briefs Peruvian government officials on developments and how they might be translated to national activity. Many of the grant-holding organisations have been major players in the development of safeguards although teasing out the specific contribution from NICFI funding is well-nigh impossible because of the complexity and the use of programme approaches.

*Finding 15 Projects have developed and trialled a range of approaches to REDD+ implementation leading to a foundation from which methodologies might be synthesised and agreed and standards drawn. Demonstration projects carry a risk of causing local level disillusionment with REDD+ if investment falls through*

A broad range of approaches to REDD+ or REDD++ (synonymous with REALU) implementation on the ground is being trialled across the portfolio, covering different social and bio-geographical contexts, drivers and scales of operation. These should generate a solid body of lessons that will aid the development of sub-national, national and international strategies and frameworks for REDD+ implementation, in addition to the numerous manuals and guides that have been produced by the projects.

There is evidence that some of the pilots have already informed national strategy development: the nested approach to REDD+ that is promoted by WWF is considered to be the most appropriate model for REDD+ implementation in Peru by the national government and their work on this is highly valued by the regional government. The ICRAF REALU approach is now being considered as a nationally appropriate mitigation action (NAMA) by the National Planning Agency in Indonesia.

Forest Trends (FT) has addressed results-based payments and the market for these somewhat differently from other demonstration projects. It has concentrated on legal ownership of rights – to land, forest and carbon - to create assets from tenure. At the same time, they have widened the scope of their approach and are looking at biodiversity offsets as an alternative and/or complement to REDD+ as a risk reduction mechanism.

In terms of wider coherence, like other demonstration projects, FT is working towards Verified Carbon Standard (VCS) and Climate, Community and Biodiversity Alliance (CCBA) verification standards in its field activities as a means of facilitating market access and potentially higher prices. In Ghana, it is engaged with Community Resource Management Areas that have been



identified as an option for community engagement in forestry and wildlife management as well as agricultural development, particularly cocoa although effective progress with these has been limited.

One of the obstacles faced by the grant recipients developing REDD+ pilots is the high cost of project development and grant recipients have yet to secure all the funding needed to bring their pilots to full implementation. This presents a real risk of loss should funding fall through.

Some projects appear to have dealt with this risk by managing expectations through undertaking the groundwork and preparing a strong foundation for REDD+ including activities such as strengthening livelihoods, building resilient community institutions, and undertaking spatial/village resource management planning. These activities, while essential precursors to REDD+ implementation, are also worthwhile in their own right, so should further funding fall through all will not be lost.

On the more negative side, the Indonesian project partners for the CCAP project in Southern Sumatra, which is no longer funded, stated that they had built substantial district level interest and support for REDD+ and expectations had been raised around this; and now this project has closed, there is a danger that this will lead to local and district level disillusionment if these expectations are not fulfilled. It was not possible to triangulate this assessment of the situation directly with local stakeholders, however disillusionment appears to be a reasonable possibility where expectations are raised but the project does not continue.

It is important to be aware of this example, as the donor funding for many of the other pilot projects will end in 2013. This type of risk is reduced when projects have a three-year funding window, as more progress is possible, providing at least some benefit to partner communities.

All of the INGOs involved have identified risk management in case of REDD+ failure as an essential component of their work on demonstrations and indeed more widely. Although the detail varies, in all cases they have undertaken work that has inherent value and is not directly dependent on REDD+ to support their activities. CI, TNC and WWF, for example, have also all brought significant tranches of voluntary finance to their operations in partner countries from foundations. WWF brokered carbon offset finance from European cities to the Pan Amazonia Federation of Indigenous Peoples.

*Finding 16 Projects have developed and trialled a range of supporting methodologies to aid equitable implementation of REDD+ that have good potential for informing the development of agreed national processes including application of safeguards*

Several projects have developed and trialled methodologies important for equitable implementation of REDD+: key examples include the Forest Peoples'

Programme which has developed and trialled a process of Free, Prior and Informed Consent and CCI, which has elaborated (alongside others not funded by NICFI) and trialled a SES process. Many of the demonstration projects have developed materials for explaining REDD+ and related concepts to local stakeholders. OKANI, FPP's local partner in Cameroon has developed a method for explaining REDD+ relevant concepts starting with climate change to target indigenous peoples. Most of the INGOs have prepared and disseminated similar training material, although not necessarily with NICFI project funds.

Both the CCI and FPP activities have been undertaken with communities at a range of scales in Indonesia: from projects to province, with a view to scaling up. These activities appear to be well-regarded by those involved in drafting the safeguards text of the Indonesia national REDD+ strategy and the lessons generated by these activities are regarded as important new knowledge on how the safeguard principles agreed in the draft REDD+ strategy are to work in practice on the ground.

This suggests that the lessons generated by these activities are highly likely to inform the development of agreed processes for applying REDD+ safeguards in Indonesia. The FPP along with partners OKANI and CED appears to be making successful progress towards integrating FPIC activities at an early stage into all REDD+ activities developed in Cameroon. WWF in DRC has supported the development of FPIC guidelines for REDD+ project proponents, in addition to communications guidelines. The FPIC guidelines have been validated and adopted by the National Inter-ministerial REDD+ Committee, which is a great step forward for WWF and an important contribution to the DRC REDD+ process.

*Finding 17 Projects active at the local level have supported community development, empowerment and tenure rights contributing strongly to the NICFI development objective. While the contribution of these activities to the NICFI climate objectives are predominantly indirect, they provide the groundwork for local communities and forest dependent indigenous peoples to engage with REDD+ and become REDD+ actors*

The projects that work on the ground (a mixture of demonstration projects and the projects of e.g. FPP and the Samdhana Institute that also work with local communities) have made contributions to community development and empowerment in three primary ways: through livelihood development activities, local and participatory land use planning activities, and activities focused on securing land tenure or user rights.

The demonstration projects all have a central focus on community development and livelihood improvement. Though still in the early stages, a number have already yielded positive results. The CCI's Lamandau project in Indonesia has helped establish community associations (farmers' groups, women's groups), as existing community organisations were weak. These community associations

developed a completely new income stream for two women's groups based on Nipa palm sugar production and additional incomes generated from wild rubber tapping (through formal access to the Lamandau Reserve) and the sale of seedlings from a now well-established nursery. Community groups and village heads were very positive about the project and gave examples of how the work of the community groups has inspired other members of the village / nearby villages to either develop their own associations or want to join these existing ones.

Under the TNC project a transmigration community in the coastal area of Berau District wanted to develop small scale rubber plantation (for tapping, not timber). The project supported the community to set up a community group for this, provided funds to establish the plantation and technical advice on how to manage it. According to TNC's partner Menepak, which has undertaken the work with the community "The group has made great progress and the high quality techniques and seed they are using means that they are themselves producing good grade seed that they sell to other villages. We've gone from one group doing this to seven – the first group shared their experience to the next".

Many of the grant recipients that are undertaking REDD+ demonstrations are traditionally conservation focused and the development activities that are integral to the demonstrations are outside of these organisations' traditional remit. There is some indication that effectiveness in this area could be improved through use of specialist community development expertise: although the TNC project has had notable community development success, not all of their livelihoods development activities appear to have been successful (a poultry raising enterprise failed when many of the chickens died) and the DRC evaluation team found that WWF's project team in the country did not appear to have a consistent view on practical activities that would address local development needs.

The demonstration projects have applied a range of approaches to development and land use planning at district and village / community levels. WWF in DRC have undertaken participatory land-use mapping and visioning activities. When the evaluation team met with a number of village chiefs, one of the chiefs, without being asked, proudly brought out the map of the village territory that was facilitated and printed by WWF. This is a sign of pride and shows that the village chief felt strengthened and supported by the project. TNC also undertakes planning activities with communities engaged in the Berau Forest Carbon Programme, including formulation of village regulations. According to TNC's local partners, these help communities to articulate which resources they consider most important to them and which areas they consider vulnerable with a view to ensuring that key resources are managed sustainably. These activities are considered to be critical in a context of multiple claims to natural resources.

The TNC project has also helped communities to negotiate a better share of benefits with logging concessionaires, with participant communities now receiving the highest amount in Kalimantan. The village development plans,

which have an immediate practical purpose (they are a legal requirement before district government money can be channelled towards village activities) also enabled the communities to articulate their needs and views and bring these messages to the government (which the project is also facilitating). For example, the village planning activities have enabled two communities to recognise and formally articulate the threat to important village resources afforded by two newly granted timber concessions and launch an effort to get these licenses altered / rescinded by the district government.

In Indonesia, all the projects that are active on the ground are also all tackling different aspects of the land tenure challenge to REDD+ implementation. The Samdhana project, through their small grant scheme, are funding community mapping, a fundamental building block towards those communities securing tenure and village forestry licenses; RFN's partner, Warsi, has been active at district level through the project in helping communities secure licenses for village forests; the CCI project is working with participating communities to secure community forest licenses; ICRAF are working to secure conditional land tenure for the participants of their demonstration project, which is essential for it to function; TNC are working in their project area to get boundaries registered legally; and CIFOR has produced five research papers on importance of land tenure in REDD+.

*Finding 18 National and local level civil society capacity has been strengthened through the projects. In many cases, the projects have enabled or facilitated the development of local partners into REDD+ actors with clear roles in REDD+ processes at a range of scales*

Many of the INGO recipients' local partners were small under-resourced national NGOs that during the project have developed both an increased confidence to operate and a higher profile nationally. A range of approaches to civil society REDD+ institution building or strengthening have been undertaken through the portfolio.

For instance, the financial support that Rainforest Foundation Norway (RFN) have provided to the DRC Civil Society Working group on REDD+ (GTCR) provided the necessary financial resources to enable Congolese civil society to become a serious partner in the DRC REDD+ process. Through the project the GTCR formulates common positions on REDD+ issues and advocates around these positions. The GTCR members participate in the REDD+ Thematic Coordination Groups at the national level in Kinshasa and have advocated strongly and successfully in relation to FPIC and land tenure reform. The GTCR has been able to leverage this experience to build their role nationally, which has generated spin-offs including contracts with the World Bank and FCPF to undertake public awareness activities in planned FIP implementation areas.

Other projects have sought to build specific capacity to engage on REDD+ issues among their partners, e.g. RFN's partner in Indonesia, Warsi, did not have a REDD+ team prior to the NICFI-funded project and now has both

expertise and capacity. One grant recipient noted that their partners have become more proactive than expected at the outset as a result of this capacity building. Through FPP's support, its partner in Cameroon, OKANI, has developed institutionally and has formulated a clear vision and role for itself as a REDD+ actor in Cameroon that is actively being pursued. In Peru, both the FPP and FT projects have strengthened specific technical capacities of their local partners.

In some instances the projects have also built the expertise of key individuals to contribute. In Cameroon, Tebtebba have funded the director of their local partner (Lelewal) to participate and engage in various international/regional networks of indigenous peoples in relation to REDD+, as well as with national government. This exposure directly led to an invitation to Lelewal to become part of the official Cameroon delegation to the UNFCCC. Lelewal uses this membership to participate as observers in closed meetings, which enables it to pass on the information to others and also to prepare responses to draft texts before they are finalised.

The CCI project's Indonesia lead has led the SES trialling undertaken in Indonesia, leaving him in a position to be an international leader on REDD+ SES: in recognition of his expertise, CARE invited him to present the CCI work on SES in Acre, Brazil, a good example of cross-learning experience-sharing.

The evaluation team also noted good examples across the demonstration projects of increased capacity and confidence in local or district level partners and stakeholders, and also new opportunities for those actors / partners to contribute at the national level. In Indonesia, the TNC project is active in facilitating CSO partners and local actors' interaction with district government (both parties noting that this was a new and valued interaction), and to foster district level interaction with national actors to build capacity and confidence to contribute. Menepak, a local partner of TNC, noted that through the project, TNC had motivated them to communicate more with the government and had facilitated the development of a close network of stakeholders that did not exist prior to the project. Menepak also described how they have been able to use their experience with the TNC project to leverage additional funding from other sources.

Through participation in the CCAP project, the Head of the Musi Rawas REDD+ Working Group was enabled to attend national REDD+ meetings. CCI provided an introduction to higher level government than the local partners had previously had access to, and local partners are increasingly willing to work with the government, an activity that they had previously avoided. Using partial funding from the CCI project, and working through the Katingan REDD+ Working Group local partner POKKER SHK organised several workshops about REDD+ for government. This initiative appeared to have created mutual trust and facilitated considerable collaboration between POKKER SHK, similar NGOs and government, with bureaucrats speaking highly of this collaboration, mutual learning and sharing of information.

*Finding 19 While indigenous rights and local communities are well covered within the portfolio, other aspects particularly biodiversity and gender appear to be addressed largely or solely by the demonstration projects and engagement with the private sector is limited*

Indigenous peoples' rights and their engagement with REDD+ appears to be well covered by the portfolio, both through the demonstration activities and also in terms of advocacy efforts. In DRC the evaluation team found that FPIC-related activities undertaken through the portfolio have been effective in bringing the interests of indigenous peoples and local communities to the forefront of the national REDD+ process.

In San Martín, Peru, the CI project financial support to the indigenous peoples' office in local government has led to an increase in participation of indigenous peoples on REDD+ issues. In DRC, the RFN-funded GTCR in the R-PP process has ensured that new REDD+ consultations involve civil society and the Minister of Environment will not sign off on any significant government actions unless appropriate consultation has taken place. Through Tebtebba project support, Lelewal became the first indigenous representative in any official national delegation to the UNFCCC.

All of the demonstration projects address biodiversity issues, either through activities directed towards retention of high conservation values or conservation of natural forest. Nevertheless, activity focused on biodiversity in relation to policy advocacy and national strategy development appears to be absent from the portfolio.

Most projects seem to be largely gender-blind, apart from the CCI project, which explicitly assists in the establishment of women's groups, develops activities specifically with these groups and monitors gender impacts through their SES activities, and the Tebtebba project, which, with AMAN in Indonesia has held some women's workshops on REDD+ capacity building and with Chirapaq in Peru has been addressing REDD+ issues in relation to gender. Conversely, another of Tebtebba's partners in Peru was found by the team to be resistant to working on gender issues.

Engagement of projects with the private sector, with the exception of FT that is specifically focused on access to markets, is also quite limited and restricted to a few projects.

WWF in DRC has sought to engage with a pastoralist concessionaire but have not proceeded to develop a partnership despite fire management in the pasture being one of the major local causes of forest degradation. The project team appeared to be too small and insufficiently resourced to engage meaningfully with the concessionaire.

In Indonesia, several of the projects (TI, TNC, CCI) work directly with the private sector in relation to either addressing REDD+ drivers or governance challenges,

whilst other activities are focused on monitoring the REDD+ activities of private sector organisations (EIA undertake monitoring and investigations; TNC community level monitoring of harvesting compliance).

*Finding 20 Research projects have / are expected to generate internationally relevant technical developments*

The portfolio has produced numerous high quality research reports and peer reviewed publications along with new tools and methodologies (examples from the CIFOR project include: new emissions factors for land use change, a step-wise approach for land use change emissions assessment, a spreadsheet model for aiding negotiations on reference emissions levels, updated Intergovernmental Panel on Climate Change (IPCC) guidance on wetland emissions).

The Meridian Institute's REDD Options Assessment Report, was timely, highly influential and contributed to the adoption of the phased approach to REDD. However, this was a discrete project directly targeted at informing the international negotiations on REDD+, making its impact easy to observe.

Aside from this specific example, the extent of influence and uptake of the research and methodologies is unclear as projects are not collecting information on this. Despite this, the signs are good - other stakeholders interviewed intimated that they would be looking to these project outputs for provision of technical information and we anticipate that impact will be high given the high degree of credibility with which the supported research institutions are regarded and the particularly innovative scope of the CIFOR and ICRAF projects.

*Finding 21 There is a need to optimise a minority of activities in the portfolio to make an effective contribution towards the NICFI objectives*

Although generally projects are being effectively implemented and achieving results, a small minority of activities could be more effective in either their focus or their implementation.

For instance, although it is important that the REDD+ debate includes the full range of views, negative views need to be objective and constructive. A number of the local partners described their role as being to "expose" how REDD+ is being implemented, which suggests a stronger focus on at times unsubstantiated criticism of REDD+ rather than seeking pragmatic solutions.

In Indonesia, the team found views that the Norway Pension Fund exposé, while undoubtedly correct, had detracted from the positive progress on REDD+ being made in Indonesia, given that it centred on a problem that requires a global-level change that is outside of the control of REDD+ actors.

The evaluation team found that the Tebtebba project in Peru has not generated major contributions. Tebtebba's partner FECONAYA is not part of the national

REDD+ group, is not participating in the REDD+ activities organised by the Ministry, is not aware of the national REDD+ process and shows resistance to work on gender issues. Although the Tebtebba project in Peru has been effective in training Chirapaq and FECONAYA leaders about Climate Change and indigenous peoples rights, the training has been less effective regarding REDD+, and it is not clear how effective the transmission of the information at the local level has been. Partners need to be engaged in REDD+ processes even if they have reservations and disagreement as these are important aspects of ultimate progress with the national REDD+ process.

CIFOR has produced a high-quality comprehensive study of the REDD+ context in Cameroon that is very relevant to national and regional policy development. However, key policymakers are not using the report as a reference and source of information, and appear unaware of it. CIFOR could be more effective in this aspect by disseminating its publications more effectively within Cameroon (e.g. report launch/workshop to answer questions, submitting to the relevant Minister with a cover letter).

*Finding 22 INGOs have much useful experience and provide wide support to their partners and country-based activities, concentrating on engaging indigenous peoples and local communities and enhanced participation in robust national REDD+ strategies*

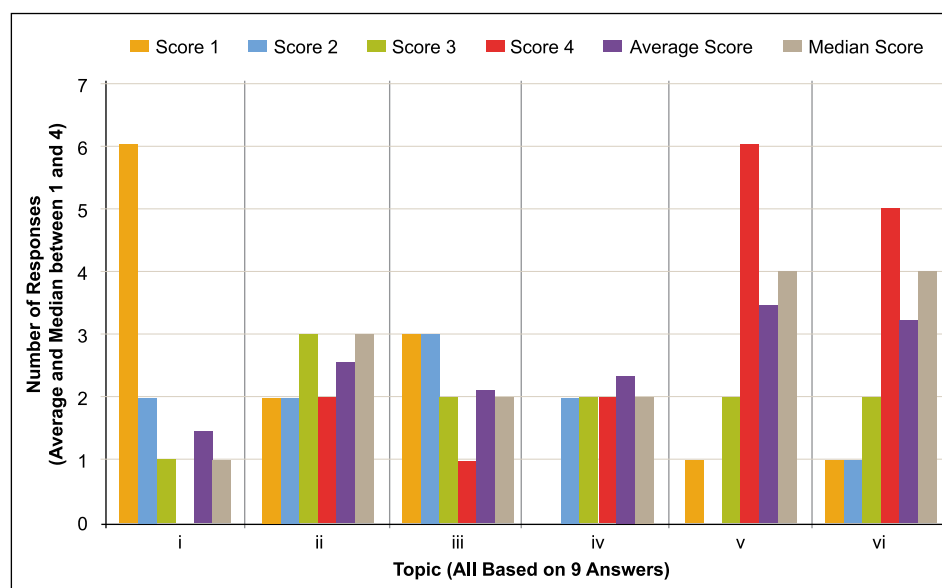
Although some of the activities undertaken by HQ offices of INGOs can be directly discerned, there is a substantial amount of un-quantified support to country level activities. For the large conservation INGOs, while the country programmes funded by CSSS may account for between half and two-thirds of the grant, the overhead support is more difficult to assess and it should be noted than in most cases the grant represents probably less than 10% of the overall REDD+ budget.

Six topics were identified from the NICFI objectives against which US based global actors were asked to rate as closely as they were able the extent of their activities supported by the CSSS grant on each topic on a scale of 1 (none or very little) to 4 (a great deal). The six topics are:

- i. Internationally agreed methodologies;
- ii. International policy development;
- iii. Internationally agreed standards/safeguards;
- iv. National/regional REDD+ policy development and implementation;
- v. Local communities' and indigenous peoples' engagement; and
- vi. Robust national REDD+ strategies through broad-based participation.



**Figure 2 Summary of Responses on Topics Addressed – US Global Actors**



Topic (i) on International Methodologies has not been much covered by the INGOs interviewed. This has been of major significance in the research projects that are reported separately and of the interviewees, only CI has given much focus to this topic.

Under the other topics, there is a clear division between the grant holders depending on their interests and expertise. The figures shown in the table below reflect the work done and interest up to the time the interview was conducted and in some cases would change by project completion. They do, nevertheless, summarise quite neatly the focus of the work supported to date.

**Table 2 Relative Attention to the Six Topics by US-based Global Actors**

Topic	ADP	CCAP	CI	EIA	FT	RRI	TNC	WRI	WWF
i	1	1	3	1	2	1	1	1	2
ii	2	3	2	4	3	3	1	4	1
iii	1	1	2	2	1	4	3	3	2
iv	1	3	4	2	1	1	4	2	3
v	1	4	4	4	4	3	4	3	4
vi	1	4	4	3	2	4	4	3	4

Topic (ii) has been important for the two grantees most concerned with governance (EIA and WRI) and by RRI, with their specific interest in rights and tenure, and also by FT, which sees clear tenure as an essential pre-requisite for marketing REDD+.

Work on Topic (iii) is mainly related to safeguards and here RRI has been a major player together with WRI whose interest is reflecting these in its

governance toolkit. TNC is the most dominant in addressing environmental (notably biodiversity) safeguards.

Topic (iv) relating to national REDD+ policy has been an important component of the work of the three conservation INGOs and by CCAP, which was addressing this through its information channelling, particularly from its site in Sumatra. It is unfortunate that their project ceased as they appear to have established valuable and effective links with and support from local government. The loss of this interest, together with the disappointment of raised interest in local communities is not helpful for future interventions here.

The significance of topics (v) and (vi) is the most uniformly high as evident in the chart. Indigenous peoples have been specifically targeted by all those actors noted as undertaking activities of significant relevance to topic (v). There is a certain amount of confounding between the significance of the two topics since (vi) follows somewhat automatically from (v) if (v) is to be done effectively.

The US based INGOs all expressed concern to varying degrees about the future of REDD+ and were conscious of the need to ameliorate risks. Their strategic thinking on this topic represents a valuable resource that could be more formally tapped into; at present this is not done to any extent.

## 5. Efficiency

The portfolio exhibits good efficiency in relation to within-project partnerships, which are considered generally strong and mutually beneficial, and also in respect of project flexibility and adaptability in response to the rapidly evolving REDD+ context. There are, however, some projects lacking key partnerships that could improve their efficiency.

Noting that this was an evaluation and not an audit, the overall administration of the programme appears to be fully compliant with the rules and regulations. The financial aspects of the grant management process are very efficient and highly regarded by grantees but other elements are less efficient from their perspective, particularly in respect of the grant manager's communications with projects. This may in part be due to a misunderstanding by projects of the Norad Civil Society Department's wish to maintain a clear distance to avoid conflict of interest.

There is also considerable confusion around reporting and current reporting systems are sub-optimal and do not deliver sufficient information to provide a good understanding of what is happening.

Most projects are in reality components of much larger programmes, with diverse donor support. The organisations engaged all operate highly efficient and effective results-based management and have sophisticated monitoring and evaluation systems but because these are programme-wide, this makes reporting to Oslo complex and attribution difficult. At the national level, M&E tends to be output-focused against the workplan rather than being focused on outcomes and explicit progress towards overall goals.

There is a wide range across the portfolio in relation to efficiency of communication of lessons learnt. Although reporting within one organisation is normally good, there is some evidence of poorer horizontal lesson-sharing and, notwithstanding informal channels, there appears to be a "silo-effect" that precludes good portfolio-level exchange.

It is apparent that the well-intentioned request for narrative reporting – to reduce the burden – has in reality been perverse and the majority of organisations interviewed found that having to reframe their results-based information into narrative format was in reality quite burdensome. Frustratingly, there seems to have been a breakdown in communication as Norad CSD would be happy to receive reports that are predominantly in results-based format.

## 5.1 Partnerships and Coordination

*Finding 23 Within-project partnerships are generally efficient, strong and mutually beneficial*

Many partnerships are well established and based on a long history of partnership prior to the project. For example, in Indonesia, RFN has had a long-standing relationship with national NGOs AMAN and Warsi, and EIA has a history of partnership with Telapak on forest sector governance issues. Grant recipients and national / local partners generally felt that these partnerships brought together complementary skill sets, and were mutually beneficial; one national partner in Indonesia described the relationship as “a mutualism”.

Many national NGOs view their partnerships with INGO grant recipients as strategic, frequently citing benefits such as expansion of networks and access to international networks as an important route for transferring national information to the international community. Other benefits described by national partners include access to information and lessons from other countries and organisational capacity building.

For the INGO grant recipient, the main benefits of local partnerships are extensive understanding of local circumstances, strong national/local networks and the ability to connect with local communities. Working with strong, well established national NGOs also appeared to facilitate the process of national buy-in. For example, CED in Cameroon has been invaluable to the FPP project in developing and fostering from the start local and national recognition of project interventions on creating awareness of REDD+ through local seminars and promoting adherence to FPIC principles.

The partnerships generally appear to be strong and efficiently structured, with many of the national partners reporting that they take a lead role in identifying the scope of work and how it should be implemented. At the district level in Indonesia, where many of the partnerships are recent, local partners who were not involved in initial design reported being able to adapt the design, and to have the freedom to be innovative / opportunistic. Many of the projects also report that they bring together their network of partners yearly to discuss progress, lessons learned and undertake participatory planning. This applies across the different types of projects; in Indonesia, FPP, RFN, CCI and TI all do this.

*Finding 24 Most partnerships are strong and efficient, with good collaboration but a minority is less efficient or fragile; some projects need wider collaboration*

Some of the collaboration between CSOs is fragile and will require intensive management effort to maintain. The collaboration between WWF in Cameroon and FPP’s partner OKANI on FPIC was borne from a confrontational report by FPP on the WWF project amongst other activities. Although it is commendable that these organisations have agreed to work together on what was a bone of contention, there are understandably tensions in the partnership and FPP

acknowledged that it should have been slightly less confrontational in its approach.

Finding the “right” balance of interests and not imposing its own institutional politics is a challenge for some organisations. The team found that RFN has been criticised for taking a public stand against the conclusions of the study on drivers of deforestation and degradation in DRC, because it did not identify up-front industrial-scale forest exploitation as a major cause of deforestation. As Congolese Civil Society had been heavily involved in the study and the report, some of its members were very unhappy with this, although the situation is highly complex and differing views are to be expected.

In DRC, the team further found that there is often a high level of perceived mistrust between national (local) Civil Society and the International NGOs. Generally, Congolese Civil Society is united under the Climate and Forest Working Group and feels very much supported in an equal relationship by RFN. With the other International NGOs, especially those implementing large conservation field projects, there is somewhat more a perception of competition and mistrust. While there is great appreciation of the way WWF-DRC has developed partnerships locally, much effort will be required to reduce this current mistrust.

Some projects have been less successful than others in gaining government buy-in, which is likely to undermine potential impact. For example, The WRI project in Cameroon has no formal recognition with the Ministry concerned (MINFOF), so the process of validation of the work may be long. In DRC, the evaluators were told by the Director of the Département de développement durable (DDD) that WWF had neither formally informed nor involved the Government in the development of its CSSS-funded Maï-Ndombé project. He suggested that this was a lost opportunity on the part of WWF because the DDD has useful resources and data that would be valuable for the project.

CCAP started with a plan to work in Chiapas in Mexico but were unable to establish a good partnership with the Federal forestry agency, which was in any case committed to a national level approach. The work in Chiapas was ultimately abandoned.

The demonstration projects are in the main being undertaken by organisations that have traditionally been ‘conservation’ NGOs; however the demonstrations require expertise in everything from silviculture to community development and there is some evidence that one or two of the projects would benefit from additional partnerships with organisations that are specialised in community activities that are outside of these conservation organisations traditional remit, e.g. rural development and agriculture.

Although the most of the demonstrations do this to a certain degree, others have been less successful. For instance, WWF in DRC appeared to have few ideas on the practical activities that would be needed to address local development

and forest degradation issues and TNC in Indonesia, despite notable livelihood development successes, also had a failure with a poultry project in which the birds all died.

*Finding 25 The programmatic approach provides potential added-value to CSSS funding but creates problems with reporting and attribution*

Conservation International (CI), The Nature Conservancy (TNC) and WWF have all adopted a similar approach to their programme within which the projects were incorporated. These three programmes are all fully relevant to and coherent with both the climate and developmental objectives of the funding scheme. All operate from global policy level downwards and include varying efforts at building national and sub-national capacity for REDD+ policy discussion and application. WWF has worked on zero-net deforestation landscapes and on land-swaps based on the debt-for-nature model to encourage movement of high potential emission activities onto degraded land with lower emission potential.

CI and TNC both include a strong conservation focus in their aims although the activities have been predominantly addressing improved engagement by local stakeholders through capacity building and awareness raising with indigenous and forest dwelling communities being a specific target of this work. TNC has particularly concentrated on high conservation value forest (HCVF) as a target for its field-level interventions. These two organisations both discern difficulties with moving to results-based payments for some countries and variously see the better strategy as being to concentrate on middle-income countries with high forest cover and high cover/low deforestation countries.

CI, TNC and WWF approaches are all fully relevant to NICFI and have high levels of coherence through their linkages from international down to sub-national levels. All have been supportive of NGOs at international meetings and have worked to increase the representation of sub-national actors' interests in international fora. Each also has its own set of contacts. TNC has a strong science focus and linkages to the scientific community, CI maintains regular contact with US policymakers as well as with private foundations, some of which have provided funding for REDD+ field activities, such as the Disney Foundation. WWF operates similarly but holds a more pessimistic view of the potential to bridge the funding gap created by lack of compliance market finance through private funding.

RRI has a core grant from Norway in addition to the CSSS funding. The four cross-cutting themes (Rights and climate, REDD+ tenure, Realising rights and Tenure analysis) are all relevant to NICFI climate and development objectives, with a strong focus on social safeguards and tenure rights, including dealing with these in national and international fora. Their interest has been in enhancing this element in national REDD+ strategies.

*Finding 26 At the national level there is a mixed pattern of co-ordination among the portfolio activities and limited coordination with non-portfolio REDD+ activities*

In Indonesia, informal cooperation and coordination between activities within the portfolio appeared to be naturally focused in clusters based on interests and/or type of organisation. For example, environmental NGOs undertaking demonstration activities appeared to be well networked together and willing to share information while advocacy / rights-focused NGOs were also well engaged and had extensive, informal sharing of information.

One or two projects, however, appear to be working more or less in isolation from the rest of the portfolio activities and we generally found less evidence of cooperation / lesson learning / information-sharing between these clusters. Despite the high degree of complementarity among projects that have a governance focus, including demonstration projects with forest management and monitoring elements, this cluster of projects did not describe much interaction or lesson sharing with each other. One project regarded cooperation with other projects as a potential threat to its independence.

The opportunity provided by the grant managers and CIFOR for grant recipients and their partners active in Indonesia to get together once a year was valued but participants commented that the lack of focus and opportunity to work together during the meeting to produce a specific output decreased its potential value; some of the presentations were rated as too technical for local partners.

Several of the local partners working on demonstration activities in Indonesia noted that there is a real need for coordination between the multiple demonstration activities within districts/provinces, including co-ordination with projects outside of the portfolio. Local partners in Berau felt that there are so many activities being undertaken in the district that there is urgent need for consolidation and leadership, as some of the more recent activities have set up different systems.

The TNC project is trying to set up a steering committee involving government and all the relevant projects to deal with this and the CCI project has set up a yearly workshop for demonstration projects to share experience and lessons learnt; this was highlighted by one of the other partners as the best example in Indonesia of attempts to initiate cooperation. Despite the value of these initiatives, both projects, and several other stakeholders involved in demonstration activities, reported a degree of unwillingness among others to share information.

In Peru, while gaps remain, the overall picture of all the projects operating is positive and in part this seems to be due to the existence of a coherent national framework for REDD+ with all projects having good relationships with government and their work being recognised and utilised. A similar strong national coherence was found in DRC, although the progress that has been

made there is much less than in Peru. By contrast, in Cameroon, where the national REDD+ strategy is still to be defined, the picture was much more mixed with some projects being able to influence and others not, due to the failure to utilise the correct channels; where projects did so, their results were acknowledged and used by government.

There are also temporary and informal partnerships. Most of the larger INGOs, including CI, Global Witness, TNC and WWF have a policy of supporting NGO members of national delegations and providing advice and assistance to national delegations. In some cases, this has been through formal sponsorship (Tebtebba in Cameroon for example) but in other cases it is logistical support for common interests.

*Finding 27 There is diverse range of types among grant holders*

The grant holders vary quite widely in their size, structure and approach. Some of the major INGOs are analogous to multinational companies in their size, structure and approach, which include a definite corporate strategy. Groups such as RFN while large, have a strategy that is geared towards enabling its local NGO partners. The advocacy NGOs tend to be responsive to findings within their broad area of interest. International research organisations have different mandates again and respond accordingly. It is open to question whether these differences, including the relative significance of the size of grant finance to the overall financing of the organisation should be material in the process of awarding grants.

## 5.2 Lesson Learning

*Finding 28 Most projects exhibit a high degree of adaptability in response to the dynamic and evolving REDD+ context*

There has been substantial evolution in demonstration project approaches as a response to the changes that have taken place internationally around REDD+, with more emphasis on holistic and livelihood based approaches and initiatives and the move towards REDD++ / REALU. This reflects the strategic thinking around REDD+ found in discussion with the major INGO HQs.

Among the pilots there has been a general divergence from the concept of payments for offsets as the central focus of the project towards a 'no regrets' approach focused broadly on low carbon sustainable development, of which REDD+ is an integral component. This is partly because the projects are being undertaken in the absence of any REDD+ specific national or local legislative structure, and this approach is necessary for sustainability, but it also illustrates the evolution in thinking towards the broader concept of REDD++. This is also a logical and appropriate response to risk amelioration, which is notably and correctly an important element that has been identified and addressed by the major actors.



In Cameroon the evaluation team found that the relatively small projects of FPP and WRI are more flexible and able to respond to changing conditions and events that happen. The approach of FPP is valuable in this respect, it has an organisational culture of working by planning activities within its broad strategic interests in response to issues that emerge or are identified at either international or local levels. For instance, its report on REDD+ and FPIC in Cameroon was not originally planned but rather identified at an annual planning meeting as an important subject to cover.

The WRI and CAM-ECO partnership has effectively reacted to a local event where a new oil palm concession was about to be approved; through its work on governance indicators, based on national and existing legislation, it was able to bring the issue to local and national authorities. By comparison, the large global programmes of CIFOR and ICRAF are less flexible. They are large, well developed programs and follow a planned logical framework / work plan through from the beginning; while this is an appropriate approach for ensuring efficiency, it also involves a negative trade-off in terms of adaptability.

In Peru, the country team found that one project, ICRAF working purely on REDD+ with indigenous communities, had been stopped rather than adapting. ICRAF wishes to pursue a wider REALU approach and has relocated into an area with cocoa-growers where it now has a demonstration project, carbon credits are expected to be part of this demonstration.

*Finding 29 There is a large amount of variation between projects on the formality with which lessons learned are identified and communicated*

Some projects, particularly the research projects and several of the large INGOs, have a central focus on identifying and communicating lessons learned, while other projects appear to predominantly communicate lessons learned internally and amongst partners. At the national level, many projects hold yearly meetings to identify, discuss and share lessons learnt and we found good evidence of how these lessons were being used by the projects to adapt their approach. In Indonesia, for example, RFN's partner, Warsi, had noted that mining had become the second largest threat to Village Forests after plantation forestry, so shifted the focus of their activities to take this into account.

Many of the grant recipients' activities function at the international scale and numerous examples of projects collecting national or local data and lessons and transferring these back to INGOs international headquarters to inform activities at the international level were found. Data transfer was mainly through project reporting systems.

The degree to which lessons are shared more widely is mixed. For some projects there is little evidence of efforts to share lessons beyond internal partners. This approach enhances the risk of duplication. The civil society representatives of GTCR in DRC indicated that, from their perspective, the WWF project operates in a silo when it comes to sharing new knowledge and/or

lessons learned. They were aware of a WWF project in Bandundu Province but did not know details. In this example both the GTCR and WWF appear to be developing FPIC guidelines but independently.

In Peru, it was noted that there is good and open communication between projects and in most cases, projects were fully aware of each other's activities. The precise reason for this is not fully clear but it is likely to be in part due to the engagement of all of them with government plus the personal contacts and networks of Peruvian project personnel.

Other projects have attempted to communicate findings with national government, but the degree of success appears to depend on grant recipients' awareness of the appropriate local processes. In Cameroon, Tebtebba-funded Lelewal was aware of – and used – the correct channels to elicit a response from the relevant Ministry. There is a formal process for this: a publication with cover letter is sent to the government, to which the relevant Minister and its staff must generate a response to explain how the publication is relevant and useful. This is a simple, cost-effective channel of communication that ensures the government is aware of a project activities and publications. Although highly comprehensive and relevant to the national REDD+ process in Cameroon, CIFOR's publication was disseminated 'under the radar' rather than through this channel and government officials were unaware of it.

Regarding broad communication of lessons and information, again the picture is mixed, with a range in the effort applied to this. Several of the projects use a number of channels of communication, e.g. UNFCCC COPs and SBSTA meetings, articles in the published media, production of reports and policy briefs, direct engagement with stakeholders to discuss project lessons or approaches, holding seminars / workshops, etc. CIFOR project component 4 is specifically focused on communicating lessons learned to a wide range of audiences, using a variety of media. However, this appears to be less of a focus for other partners / grant recipients at the national level. It may be that the communication effort is targeted at the international level and undertaken primarily by the INGO grant recipients in these cases.

Some projects appear to be highly efficient in the way that they capitalise on their unique ability to exchange lessons learned among a number of different levels. For instance, CI, an international organisation that promotes regular exchange of information between its offices around the globe, has proved to be very efficient in communicating lessons to a broad range of stakeholders at all levels. CI also follows the development of the UNFCCC discussions and meets with government officials from Peru to brief them on the updates, and how these issues can be translated to the ground. This process is facilitated by the fact that CI has two Peruvian staff members who are working simultaneously at local, national and international level.

Projects that have a dedicated team for communication appear more efficient than those that do not. The WWF project in DRC appeared able to effectively

exchange horizontally (with Peru and Indonesia) and vertically (with WWF International) and the project being part of the greater 'WWF machine' ensures constant up-to-date international best practice from WWF experts monitoring current developments in a rapidly evolving environment. However, the trade-off appears to be that this 'machine' is costly in overhead and reduces resources available for field project-level activities.

*Finding 30 There is no formal process for sharing interim lessons learned with the Norwegian government*

One of the grant recipients commented that lessons learned need to be documented more frequently in the reporting than under the current reporting requirement, which is to only include these in the final report at the end of the grant. There does not appear to be a formal/direct route for communicating these lessons to relevant NICFI/embassy personnel in the intervening period between project start-up and the end of the project.

Nearly all of the projects have made informal attempts to discuss project lessons with the grant managers or staff from the relevant Norwegian Ministries and agencies and the local embassy. One project set up a formal workshop to communicate findings but this initiative seems to have originated very much from the side of the project. One grant recipient also commented on the need to engage directly and separately with Norwegian government departments / ministries, as information passed to one did not appear to reach the others.

In Indonesia, the annual grant recipient meetings in Bogor are potentially useful. No formal assessment was made of that in 2011 but observation and informal discussion suggested that a number of attendees gained rather limited benefit and were not actively engaged. The view was expressed by some that there was insufficient new material being presented. It would probably be wise to not have WIFI access in the meeting room at future events!

### **5.3 Monitoring, Evaluation and Reporting**

*Finding 31 There is a wide range of formality in project M&E across the portfolio*

Most projects have some form of monitoring and evaluation process but with widely differing levels of formality and sophistication. Major INGOs and international research organisations nearly all have results based management systems that include a variant of the logical framework approach with indicators and outcomes identified. The difficulty is, however, that these management systems are based around programmes, not individual projects and the CSSS projects have been integrated into a programme that is in reality funded from a variety of sources.

The fact that many NICFI funded 'projects' are components of broad multi donor programmes rather than discrete projects also complicates reporting and

especially attribution of outcomes to the NICFI funding. The relative “indirectness” of some of the project types (particularly research and governance projects) in relation to the NICFI objectives make it difficult to assess the impact of these projects and possibly goes some way to explain the predominant focus on outputs, with limited information collection on outcomes and impact.

As an example of the INGO systems, RRI has one that is based around its 4-year fund-raising cycle. Donors are invited to join a board that develops a strategic plan. This plan is developed into a results based document that includes indicators and outcomes. There is detailed reporting against the plan and an annual independent evaluation. The independent evaluation selects a sample of activities to visit and submits a report. This report appears to be comprehensive and incisive and to be acted upon. The information is shared at annual review meetings and adjustments made as required. Norway, while invited, has not participated actively in this.

With the exception of the advocacy-type CSOs such as EIA and FPP, which prefer to be much more responsive in their planning and like the current system, all the other international actors expressed varying degrees of frustration at the inefficiency of having to prepare narrative reports in which they separate out the CSSS funded activities. This often results in reports that suggest lack of wider understanding or missing elements. In reality this is not so, it is that these elements were not directly supported by the CSSS grant.

While the standard and level of comprehensiveness in information seen by the team was impressive and includes monitoring against appropriate indicators, it is not clear that outcome and impact monitoring is as comprehensive as it might be, even where outcomes are defined. In Peru, CI is developing a baseline for its project activities through reverse-engineering, using the extensive database of governance-relevant information that it holds.

At the national level, the national offices of large INGOs generally provide frequent technical progress reports against project objectives to their international headquarters, and supplement this with their own internal monitoring. For example, WWF Indonesia, in addition to quarterly reporting on project progress to Washington DC, has an internal project monitoring matrix based on their five-year development plan, including milestones and indicators that they report against every six months.

TNC report monthly on outputs and undertake quarterly progress assessments against their five year strategy while TI Indonesia assesses workplan progress against their logical framework. Most projects do not have a field-level baseline against which to measure progress, those that do tend to be demonstration projects, where a project baseline is required for verification of emission reductions, and they also have social and environmental baseline data against which they can monitor progress.

Advocacy type projects are generally less well equipped for M&E than the other project types. Partially this is to do with the nature of the projects: in Cameroon, FPP and Tebtebba's planning is more reactive than proactive, their strategies are to let things evolve and target issues as apparent need emerges.

For most of the other field projects, monitoring is generally undertaken against their workplans, some of which have indicators of progress. Some projects undertake this review formally at set intervals, whereas others do this informally through the team's frequent contact. At field and national levels, most projects primary focus is on activities and outputs, and data are not being collected with regards to outcomes and impacts. One of the national partners commented that it would be useful to have training on how to manage/measure the impact of projects.

The present system of reporting would benefit from review. At present, although it is effective for grant management, it does not appear that adequate timely information is being delivered to Oslo to provide comprehensive overview of what is happening and what is being achieved. The picture seems to be patchy and heavily dependent on field visits by personnel from MoE and Norad CSD.

## 5.4 Portfolio Management

### *Finding 32 Portfolio level synergy is not being captured*

It is understood that the rules relating to the management of the portfolio require that the managing agency, Norad CSD, maintains a clear distance between themselves and the projects and does not become involved in delivery, although it can provide help and assistance if the project runs into difficulties. This independence is viewed as essential to avoid a conflict of interest between the provision of funds and the contractor.

On the basis of discussion during interviews, there appear to be widespread communication difficulties between the grant managers and grant recipients. The main problem areas noted include: lack of contact / slow or lack of response to emails and lack of response / feedback on reports or proposals to make project adjustments. It may be that interviewees have unrealistic expectations but there is an issue here that requires attention. In some cases, projects reported that they felt desk officers had not understood what they were trying to do in the project. Given the highly technical nature of some projects, and the fact that Norad CSD desk officers seldom have a REDD+ relevant technical background, and also have an extensive portfolio of non-REDD+ projects, this is not surprising.

Other grant recipients felt that they had been given contradictory information, which resulted in difficulties in understanding what is required of them. In those relatively few instances where there was more contact between the desk officers and projects these difficulties appeared to be less. Visits to projects, either in the

field or through attendance at project planning meetings, were both welcomed and very much appreciated by the grant recipients. In these cases grant recipients generally felt that the desk officers had a good level of understanding about their project.

*Finding 33 Contract length and ease of financing much appreciated*

Multi-year contracts were much appreciated. CIFOR noted that their four-year funding window was very useful for a research project as it allowed sufficient time at the beginning to recruit PhD students and time at the end to wrap up the project. Grant recipients with short, one-year contracts reported that these were too short to make much progress with the types of activities being undertaken.

While the general ease and simplicity of the funding arrangements, which many interviewees noted was very different from their experience with other donors, was appreciated and valued, several grant recipients felt that the approach to budget management was not sufficiently flexible and that the guidance for budget construction and reporting was too broad or unclear. The earlier desk study noted that budgets were not consistently presented and that core information such as unit costs largely absent, making assessment of potential value for money hard to undertake.

Grant recipients commented that the reporting requirement is very light compared with other donors, who normally want quarterly progress reports and frequent technical conversations. However, the reverse of this is that misunderstanding that has arisen over what constitutes a “narrative report” has caused considerable frustration. As Norad CSD have indicated that results-based reporting is perfectly acceptable, provided there is a short and simple narrative overview, there is scope for review of the guidance on reporting.

*Finding 34 Projects integrated by recipients into programmes need more consideration*

There is a further complexity here that will also require resolution. The amalgamation of a number of separate funds, which may arise from individual projects or grants from a range of donor sources, into a programme is increasingly common and treated in a variety of ways by different organisations operating on a range of scales, from INGO programmes being dealt with here to multi-donor trust funds; the major funds for REDD+ (FCPF, FIP and all operate with pooled resources and a range of different allocation systems.

At the same time, donors need to be able to show good-use of public funds for both audit purposes and to inform and maintain public support for the financing. The resolution of this challenge is far beyond the scope of this evaluation but it is a question that requires attention and the development of a clear resolution

system. It is also an important element for consideration in the specification of a revised reporting system.<sup>8</sup>

## 5.5 Knowledge Management

### *Finding 35 Substantial strategic thinking around REDD+ and its future directions*

Among others, the three major conservation-oriented INGOs have all identified the slow progress with REDD+ at the international level as being an important constraint to progress and as well as working with integrated approaches from local to global level have also taken the view that REDD+ cannot be separated from wider land-use decisions including the need for linkage with sustainable agriculture as well as seeing REDD+ essentially as part of SFM; this is approach favoured by ICRAF, which is now concentrating on REALU. These approaches implicitly also question thinking around commercialising the benefits from REDD+, which conceptually it is not very different from other environmental services and there is a widely held view that it could be treated as such. FT holds a similar view, as evident in its work that is bringing REDD+ together with other commodities. It is not clear that this thinking is being fully capitalised on by NICFI.

### *Finding 36 Knowledge transfer is generally good internally but less so externally*

Most of the projects have generated substantial amounts of information and there are also numerous publications including manuals and guides; the sample of those reviewed were all of high quality. Within the INGOs, information flows well up to HQ level and also from HQ down to field level. In some cases, the cross flow of information is less efficient and there is only limited evidence of cross-learning.

CCAP undertook good knowledge transfer passing on information from their work with communities on the ground up to international negotiators while EIA has used a variety of different media. Their video film from Peru, filmed by members of the local community is an unusual and interesting approach, not least because of its quality and the insight into the confirmation of effective knowledge transfer; their frustration was that not being able to provide this as part of their reporting.

The three conservation INGOs all have well-established internal systems for knowledge transfer and in TNC this is the responsibility of a senior staff member and includes coherence between internal communication, publications and their website. Like TNC, CI has generated a number of high-quality training-material using their project experience, while FT has developed and disseminated solid manuals reflecting various aspects of their work and interests. WWF is generally extremely efficient at internal information and knowledge capture although they themselves had identified better south-south exchange as a goal.

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<sup>8</sup> There are interesting similar challenges with the historical group forest management systems that evolved in Europe, with a wide range of different approaches, some giving "voting rights" in proportion to the original holding but others (notably Markwald that evolved in Germany and the Netherlands 1,000 years ago) giving all members equal voting rights –in the Markwald system, the forester held the casting vote!

Both RRI and WRI have long established record in transforming the knowledge gained from their research into good quality publications. Both undertake internal analysis and tackle their knowledge management in a strategic way with regular review and updating as new information is obtained. WRI is in process of revising its toolkit to reflect experience to date and has made material available in local languages.

*Finding 37 Unclear that information and published material is adequately available in Oslo*

Despite this overall positive picture, it is not apparent that the full extent of published material and similar knowledge capture has found its way to Oslo. In part this may be due to the aforementioned problem of defining the funded project within wider programme through which it has been delivered and reporting only the detail that can be ascribed directly to the support. Much of the knowledge gained by INGOs is derived from a wide range of their activities.

It is not clear whether or not publications resulting from CSSS are consistently acknowledging the financial support. This is something that Norad and NICFI may wish to consider as part of a wider review of knowledge management from the Scheme; suggestions on this are made under Conclusions and Recommendations, using the World Bank's PROFOR as a model.

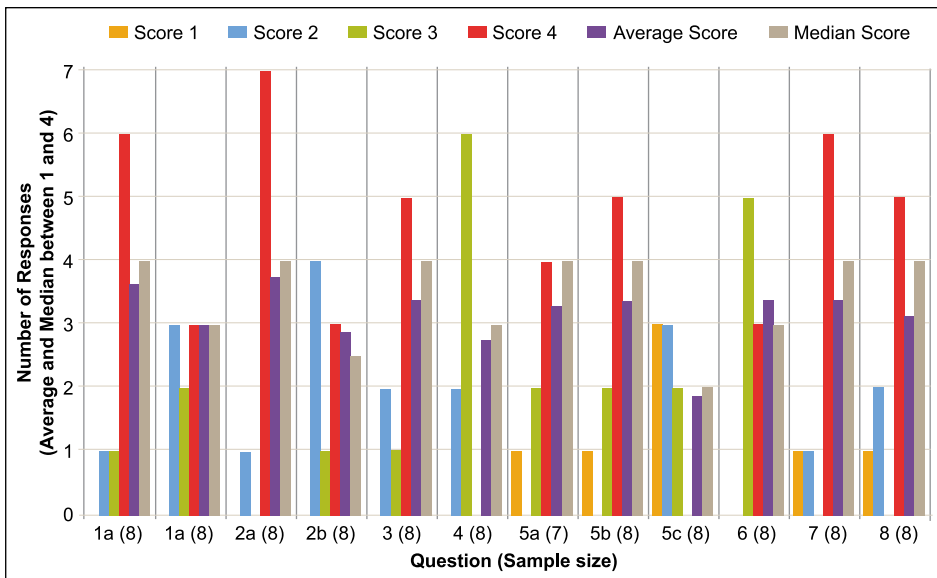


## 6. Summary Charts of Relevance, Effectiveness and Efficiency

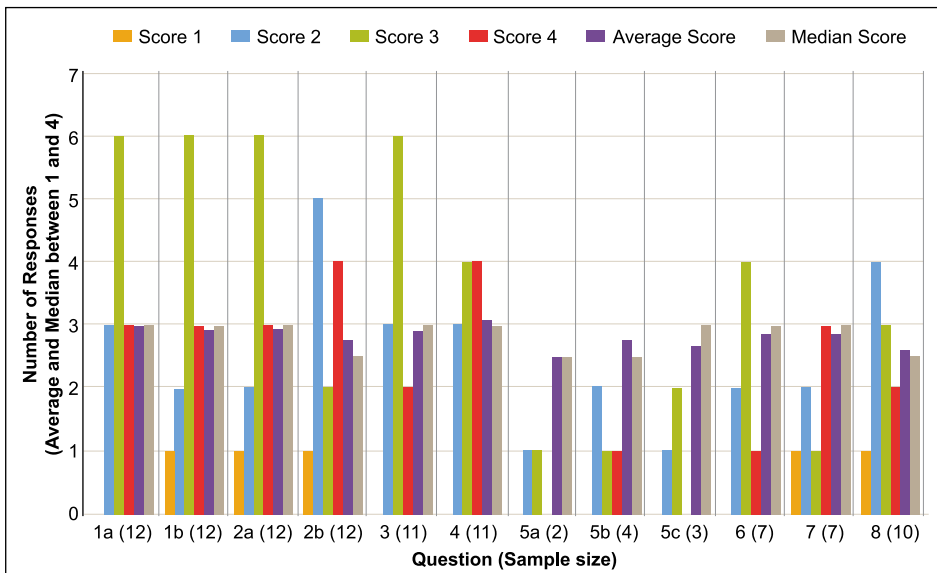
In the following charts, the information results from summary questions assessed by the interviewers, with scores ranging from 1 (none or very little) to 4 (a great deal). The questions against which the scores were assessed are as follows, the field projects in Cameroon, DRC and Indonesia were not able to answer question 5 as these matters were dealt with by the head offices. In some cases, questions were not answered and this is reflected in the varying number of responses recorded. The questions were:

- 1 Is the project likely to contribute to achievement of NICFI objectives?
  - a) Climate related
  - b) Developmental
- 2 Does the project have added-value for NICFI and more widely? Is there evidence of innovation, etc.?
  - a) Climate related
  - b) Developmental
- 3 To what extent is the project coherent with wider international priorities and the aims and processes of others?
- 4 To what extent has/will the project contribute to achievement of the stated outcomes for NICFI?
- 5 How does the governance, administration and implementation of the CSSS compare with other similar schemes?
  - a) Application and selection process
  - b) Financing and budgeting
  - c) Monitoring and reporting
- 6 Efficiency in identifying, capturing and disseminating lessons learnt
- 7 How flexible and adaptable is the project to changing circumstances and making use of new knowledge generated internally and by others?
- 8 How useful and easy would it be for this project to adapt to a more comprehensive M&E system including baselines, indicators and reporting?

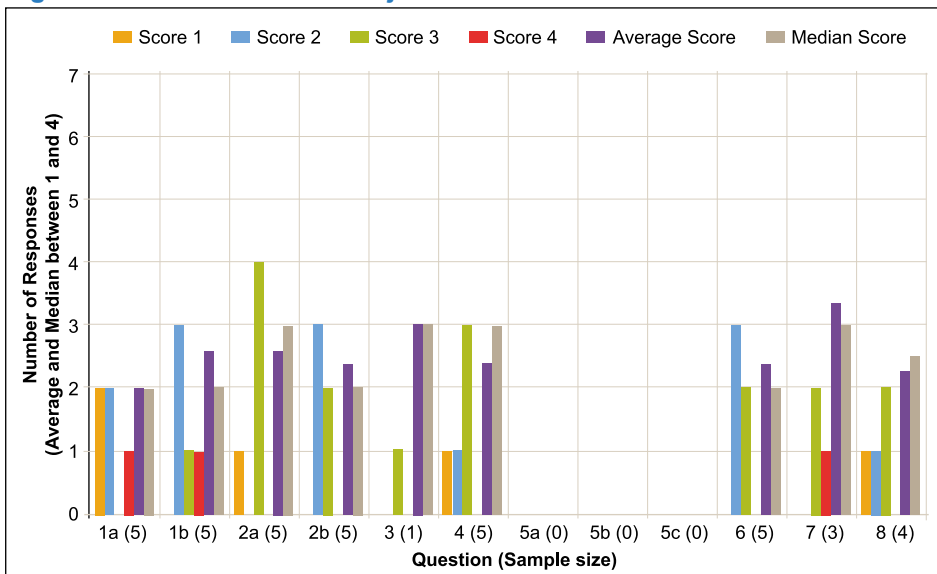
**Figure 3 US-based Global Actors**



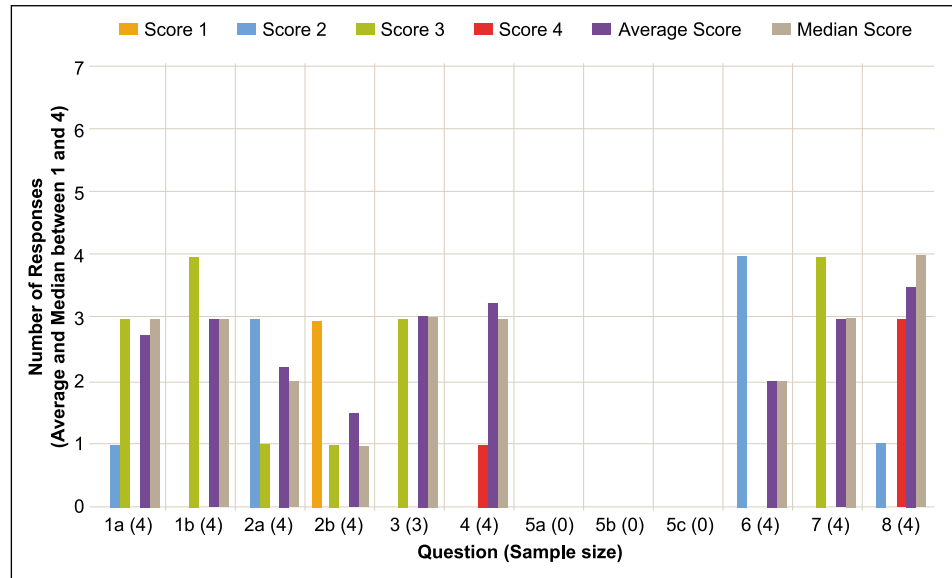
**Figure 4 Indonesia Field Projects**



**Figure 5 Cameroon Field Projects**



**Figure 6 DRC Field Projects**

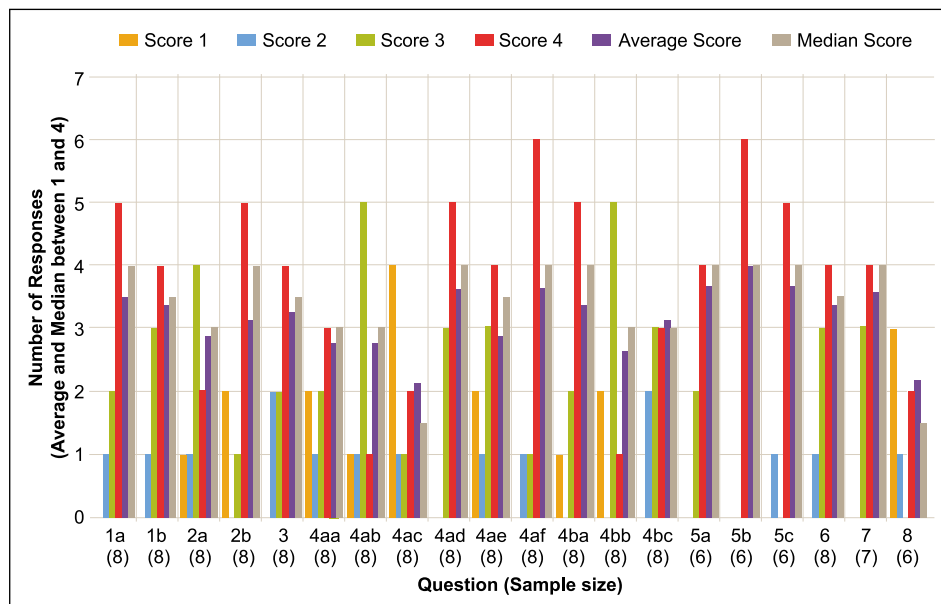


For Peru, a slightly different and more comprehensive set of questions was used:

- 1 Is the project likely to contribute to achievement of NICFI objectives?
  - a) Climate-related
  - b) Developmental
  
- 2 Does the project have added-value for NICFI and more widely? Is there evidence of innovation, etc.?
  - a) Climate related
  - b) Developmental
  
- 3 To what extent is the project coherent with wider international priorities and the aims and processes of others?
  
- 4a To what extent has/will the project contribute to achievement of the stated outcomes for NICFI?
  - a) Contribution to development of methodologies
  - b) Contribution to development of international policy
  - c) Contribution to standards / safeguards for REDD+
  - d) Contribution to national REDD+ policy development and implementation.
  - e) Local communities and IPs engaged in policy debate
  - f) Development of national REDD+ participatory strategies
  
- 4b To what extent has/will the project contribute to achievement of Norad Civil Society Grant Scheme objectives?
  - a) Increased knowledge and new innovative solutions in reduced deforestation and forest degradation
  - b) Systematic information and debate concerning the need for a new climate regime and for measures against deforestation under this regime

- c) Increased participation by indigenous peoples and local communities in monitoring and management more sustainable forestry, and increase in indigenous people's and local communities' rights to land and rights of use and establishment of equitable distribution mechanisms
- 5 How does the governance, administration and implementation of the CSSS compare with other similar schemes?
    - a) Application and selection process
    - b) Financing and budgeting
    - c) Monitoring and reporting
  - 6 Efficiency in identifying, capturing and disseminating lessons learnt
  - 7 How flexible and adaptable is the project to changing circumstances and making use of new knowledge generated by itself and others?
  - 8 How useful and easy would it be for this project to adapt to a more comprehensive M&E system including baselines, indicators and reporting?

**Figure 7 Peru Field Projects**



## 7. Impact and Sustainability

Impact is defined (OECD/DAC) as:

*The positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended.*

Sustainability is defined (OECD/DAC) as:

*The continuation of benefits from a development intervention after major development assistance has been completed. The probability of continued long-term benefits. The resilience to risk of the net benefit flows over time.*

The fact that many projects are ongoing and the lack of monitoring information make it hard to judge impact beyond clear events such as the Meridian Institute report, which was timely, highly influential and contributed to the adoption of the phased approach to REDD, and the apparent but not yet confirmed influence of the Lombok conference on forest tenure co-organised by RRI. As noted in the section on Effectiveness, there are positive indications of ultimate impact but these should emerge as the projects are completed. The research projects appear to be well set to deliver useful findings and outputs.

The projects in Peru, where there is strong and fruitful coordination and cooperation with government at a range of levels is certainly positive for expected impact and the close and constructive working relationships in DRC suggest good impact, albeit at an earlier stage of REDD+ than Peru. In Indonesia, the picture is less clear, some projects are operating in isolation from similar projects and do not seem to be tapping into established knowledge from earlier, relevant development work to the extent that they could and should.

The fact that many “projects” are either part of wider programmes, or are similar to other projects run by the same organisation, makes it difficult to clearly assign actual or potential impact to the funding. Work on FPIC in particular but also on rights of indigenous and local communities has certainly been widely spread and achieved results, including feeding into safeguards, but attribution is impossible without much more detailed study.

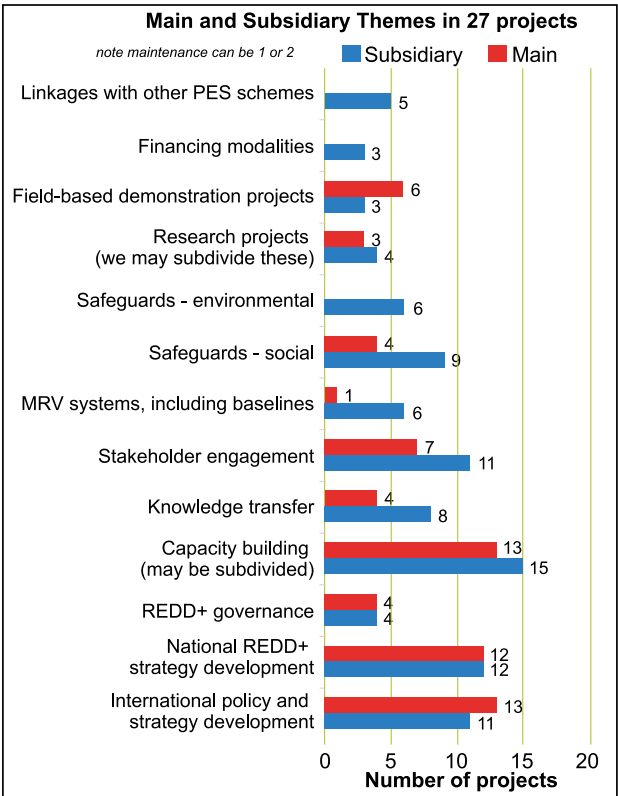
In terms of capacity building, there is evidence that this has been effective in building capacity of indigenous and local communities and in raising their

awareness and confidence to engage in REDD+ but it is debatable whether this will continue without further support and engagement. There is significant danger that what has been done will erode without further support.

Demonstration projects have all found progress much slower than anticipated and while the progress to date seems to present good opportunities, capturing real benefit from what has been done so far is very dependent on financial support continuing. This does not have to be from CSSS funding. In major partner countries such as DRC and Indonesia, there are Norwegian funds available and in other countries, there is a range of alternatives, too. What does seem to be important is whether some type of bridging finance may be required to ensure that progress is not lost. In Indonesia, there is an additional problem for demonstration projects in that not all are located in the provinces nominated by central government as demonstration ones; this happened because the projects predate the decision on this.

Figure 8 indicates that many project applications proposed to work on capacity building, national REDD+ strategies and international policies. Comparing this with the analyses presented in Figure 2 and Figure 7 above it appears that this has either not happened as planned or has been geared to indirect support. The desk study analysis summarised in Figure 9 suggests that projects appeared predominantly to be of the type that requires continuous funding support. Given the reality of many projects being part of wider programmes and having other means of support, which was not clear during the desk study, this can be confirmed when final reports are received.

**Figure 8 Main and Subsidiary Themes in 27 Projects**



**Figure 9 Main Themes by Project Type, 30 Projects**

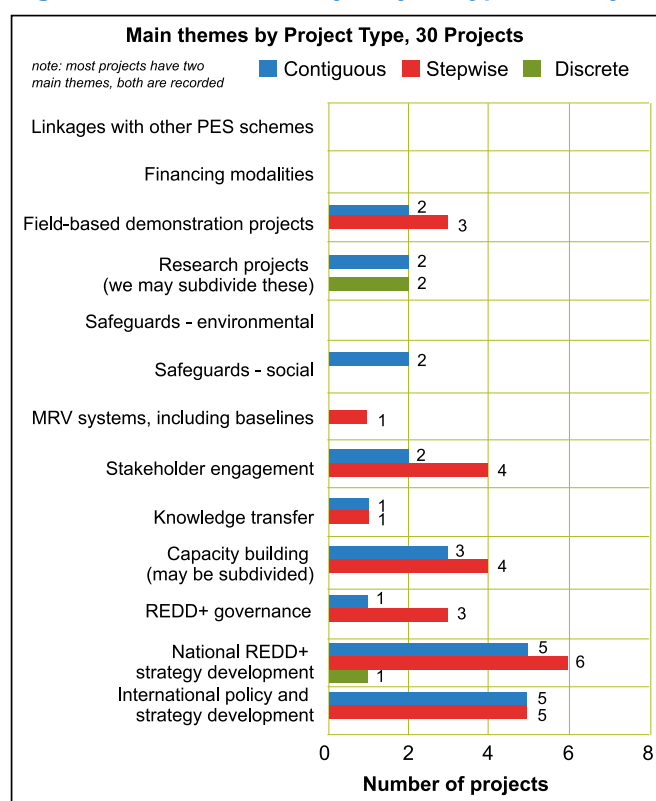


Figure 9 shows the main themes and the type of project. During the desk phase, projects were characterised into one of the following three groups, this classification was developed for the Darwin Initiative:

- **Discrete** - completed, stable, good legacy potential as a “one-off” contribution, may be developed further but probably as one element amongst others.
- **Stepwise** - reaches a stable end point, great potential for further activities, these can be delayed for some time without major losses but note need to retain expertise.
- **Contiguous** - need to have follow-on support immediately after the project ends to avoid catastrophic loss.

Of the 53 Main Themes recorded, 3 were in Discrete projects, 27 in Stepwise projects and 23 in Contiguous projects. This characterisation is indicative, not exact, but it suggests that some 40 of the projects may not reach a stable end point and will require follow on funding if gains are to be consolidated.

## 8. Discussion and Conclusions

### 8.1 General Conclusions

This chapter draws on the findings noted in the previous chapters and links them to two core questions set in the ToRs. More details can be found under the Findings in these previous chapters.

The first core question was:

*Assess the influence of the policy oriented and knowledge generating REDD+ activities on the national and international REDD+ processes*

Projects working on governance appear to be valuable in promoting an enabling environment for REDD+ (Finding 12). In most cases, approaches to improved governance are being tackled by projects more broadly than simply for REDD+, which given the current uncertainties over the way in which international and national REDD+ policies will develop is appropriate (Finding 3); several projects have usefully linked governance for REDD+ with that for the EU Forest Law Enforcement Governance and Trade programme.

In all the countries visited, projects showed good alignment with national REDD+ efforts (Finding 5) which has undoubtedly been instrumental in most projects securing good national ownership (Finding 6). The strong focus on safeguards, particularly social safeguards and notably those relating to rights of indigenous people and forest dependant communities has provided a valuable contribution (Finding 14) and this has been valuable for the development of National REDD+ strategies, particularly in respect of safeguards (Finding 16). Advocacy has been successful in triggering relevant legislative changes (Finding 13). Both of these findings can be linked to credibility and value placed on NICFI supported CSO actors by governments (Finding 7). Overall, there has been valuable building of local and national level civil society capacity (Finding 18), transforming partners into REDD+ actors with clear roles at a range of scales.

Although relatively few in number, the supported research projects have generated, or are expected to do so, internationally relevant technical developments (Finding 20).



The second core question was:

*Assess the contribution of the field-based, local or sub-national demonstration activities on the national and international REDD+ processes*

The demonstration activities have trialled a range of market-based and other approaches to sub-national REDD+ implementation, leading to a foundation from which approaches to scale-up may be drawn at the national level and methodologies might be synthesised and agreed and standards drawn at the international level (Finding 15). Projects active at the local level have supported community development, empowerment and tenure rights, which should provide the groundwork for local communities and forest dependent indigenous peoples to engage with REDD+ and become REDD+ actors (Findings 17 and 19).

The demonstration activities provide important inputs in relation to biodiversity and gender aspects of REDD+, which are not addressed elsewhere in the portfolio (Finding 19). The demonstrations also provide the only examples of engagement with the private sector within the portfolio, although this is limited (Finding 19). However, the progress of local level pilot and readiness activities is slower than grant recipients anticipated (Finding 11) and demonstration projects carry a risk of causing local level disillusionment with REDD+ if investment falls through (Finding 15).

In addition to these core questions, there are a number of interesting conclusions in respect of the overall portfolio, the projects that comprise it and the grant-holders.

Despite not being designed in this way, most of the projects in the portfolio are in fact well-aligned with one or more of the NICFI objectives (Finding 1). This in part is due to the process of contract negotiation during which tightening was possible. Contractual aspects seem to be well regarded by grant holders (Finding 33) although communications with Oslo were reported as difficult for some. In the face of the uncertainties surrounding the future shape of REDD+, most projects seem to be highly adaptable (Finding 28). A number of supported organisations regard REDD+ as an opportunity to pursue their own agenda, which is not a problem provided the common interests are served (Finding 4) but in a minority of cases action is needed to optimise the contribution to NICFI Objectives from supported activities (Finding 21).

The Portfolio is both thematically and financially additional at sub-national and local levels, although less so at national and international levels, with the project funds often being only a small proportion of the funding available to the grant holder, especially the large INGOs (Finding 9). Most grant holders, and especially the INGOs, have adopted a programmatic approach, with the supported project being subsumed into this (Finding 2). Although this approach provides potential added value to the funding (Finding 25) it also creates difficulties with reporting and, especially, attribution.

There is a wide range of formality around project monitoring and evaluation (Finding 31), with many grant recipients using results-based systems but then reworking this into the required narrative reporting, (on which there have been misunderstandings as results-based reports with a short narrative section would be acceptable). The question of how to deal with projects that have been integrated into programmes is one that requires more consideration by both parties (Finding 34).

The issue of programmatic approaches incorporating project funding is one that arises when INGOs receive grants, which may only contribute a very small proportion of the overall programme budget. INGOs bring added value (Finding 8) from their experience and awareness of REDD+ (Finding 10) and also through their ability to provide support to their in-country partners (Finding 22). INGOs also engage in substantial strategic thinking around REDD+ (Finding 35) although in counter to this, they tend to have their own strategies and because they may be in competition with each other, this may inhibit the possibilities for joint action between them.

The partnerships that have been created within the supported projects are, with few exceptions, strong and efficient (Finding 23) although there is room for wider collaboration (Finding 24). At national level, the coordination of portfolio activities is mixed and there seems to be limited coordination with non-portfolio REDD+ activities (Finding 26).

Knowledge transfer is generally good within supported organisations but less so externally (Finding 36). There is wide variation between projects on their efficiency in capturing and communicating lessons learned (Finding 29). Linked to this (Finding 30) is that there seems to be no formal process for sharing interim lessons learned with the Norwegian government agencies. It is unclear that all relevant information and published material from the supported projects is adequately available in Oslo (Finding 37). Overall, portfolio level synergies are not being captured (Finding 32).

There are two major issues identified at portfolio level that require attention. The first is the potential benefit of a strategic approach to management of the portfolio, which was not done in respect of the current projects, but is clearly indicated in the latest call for proposals and the rules for these project. The second relates to knowledge management, which is closely linked to reporting systems.

While current reporting is good for contractual purposes it seems less useful in providing results and transferring knowledge to Oslo, consequently limiting easy access by the Climate and Forest Initiative to the valuable information that has been obtained and not making the scope and extent of this information readily available to the Norwegian public.

## 8.2 Portfolio Management

### 8.2.1 Alternative Portfolio Management Approaches<sup>9</sup>

There are fundamentally two alternative approaches to managing a portfolio such as that of the CSSS projects. The first is to select the best proposals judged against the criteria of the scheme; the second is to select a list of “possible proposals” which meet all the relevant criteria and then select a subset of these that meet the strategic criteria of priority topic, proposed methodology and geographic location. The current call for proposals with its thematic approach and geographical concentration indicates an intention to be more strategic in the new portfolio of projects.

Before a decision is taken on portfolio management, it is necessary to know whether the aim is to be strategic and actively engaged or to be more remote and mainly concerned with selection of proposals and provision of finance. It is not fully evident that a clear decision has been made on the portfolio management system through a process of full and detailed consideration of the advantages and disadvantages of the different options.

Norway has identified a small number of countries that are major partners for NICFI, and the current call notes that applications to work in these will be looked upon favourably. The call also defines four thematic areas within which proposals should operate. All proposals have to meet the general criteria that apply to all Norwegian development assistance but these are not in themselves specific goals in the call for proposals.

The NICFI CSSS has two very broad aims in support of its objectives. The first is to strengthen civil society to improve the legitimacy and quality of national REDD+ debate and strategies; the second is to make progress with securing NICFI's climate objectives through supporting specific projects. These are two important aspects to the funded projects that need to be considered in deciding on the management approach.

Firstly, the current projects were selected largely on the basis of individual merit. This has been changed in the current call for proposals, which includes consideration of significance to the overall portfolio in order to secure greater synergy. Secondly, many of the INGOs have integrated their “project” into a wider programme, which means that in some cases relevant activities are undertaken in conjunction with other (non-Norway) funds and have often not been reported back to Norway. The narrative reporting system does not capture the results based management information that many grantees use and it does not generally present clearly the gains made in related parts of the grantee's programme.

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<sup>9</sup> Comment from Civil Society Department, Norad: The report from the evaluation team gives interesting viewpoints and recommendations for the future handling of support to Civil Society under Norway's International Climate and Forest Initiative. However, in our opinion the evaluation does not fully relate to NICFI as a grant management scheme operating within a set of fixed regulations. This is a high risk scheme regulated by rules and regulations and with a need for formal decision making lines and a clear understanding of roles of the various stakeholders.

The key elements noted above that suggest a strategic approach with proactive management would be useful in securing greater impact and avoiding duplication include:

- Refinement of project proposals prior to funding to optimise synergy and cross-learning potential from projects and encourage greater cross-project collaboration and cooperation;
- Maximisation of synergy with and support for national and other level work supported by NICFI funding;
- Benefit of a portfolio management team that is actively engaged in international REDD+ processes and can intervene to fine-tune ongoing projects when necessary in response to significant changes – this might include encouraging greater collaboration between project grant holders, in country and particularly at the global level – and also taking greater account of the activities of other donors and international players;
- Greater facility for a programme management team dealing with the whole portfolio to secure a portfolio-wide picture of progress, emerging findings and lessons and make sure these are captured and passed on;
- Proactive management provides greater opportunity to revise project focus and activities to optimise support for other NICFI-supported in-country work.

The March 2012 report, *Tracking Impact*, which looks at wider effects of Norwegian civil society support to countries in the South, suggests that country-level strategies may be beneficial for increasing effectiveness and impact. In addition, NICFI already has clear strategic objectives, and the decision to identify four thematic areas in which proposals are sought strengthens the strategic approach as well as broadening the focus into the wider drivers of REDD+. These both run counter to the more direct focus at forest level that characterises many of the current projects. This suggests there is merit in giving consideration to changes that are required in order to accomplish the desired strategic management of the CSSS portfolio. Examples of strategic and non-strategic portfolio management are given in Annex 3.

### **8.2.2 Suggestions on Portfolio Management**

- i. NICFI Secretariat, Norad and MFA should discuss and agree on whether the portfolio is to be managed strategically and the management system to be used. The agreement should be documented in writing, with the roles and responsibilities of each organisation clearly stated;
- ii. Appoint a dedicated portfolio management team, including expert knowledge of REDD+ as well as familiarity with development projects, that reports to a steering group comprised of representatives of the agencies involved (MoE, MFA and Norad);
- iii. Develop in detail reporting formats for projects and programmes that capture adequately the progress being made in a way that is readily summarised and amalgamated, and comparable;
- iv. In respect of the documentation for the current call for proposals, it would be clearer if sections 1 and 2 of the Rules were replaced by, or simply referred to, the more detailed information given in the call for proposals.

### 8.3 Knowledge Management

There is no effective system in place at present for a central repository that contains all the information being collected and reported and the publications that emanate from the supported projects. In part this is due to the current reporting system.

It would be useful to make plans for more effective knowledge and information management systems that capture and circulate lessons learned as well as key findings on outputs and outcomes but the whole approach to knowledge management requires a re-think and one model that could be considered is that of PROFOR, which is described in the box below.

#### **Box 2 Program on Forests (PROFOR).**

Started in 1997, PROFOR is a global partnership program operated through a multi-donor trust fund in the World Bank and supported by eight bilateral donors. Created in 1997, and relocated from UNDP to the Bank in 2002, it finances analytical work in four key thematic areas: improving the livelihoods of forest-dependent people, enhancing forest governance, financing sustainable forest management, and coordinating forest policy with other sectors. PROFOR spent an average of about \$1.4 million a year from 2005–08.

PROFOR operates a website to disseminate continuously updated cutting edge information, including:

- i. Crisp well written abstracts on the knowledge products, with links to the full publication;
- ii. A field notes knowledge sharing "blog" on interesting pilots, presentations, and stories based on the knowledge products, and other similar initiatives;
- iii. News and events page with summaries or relevant international conferences and meetings;
- iv. A periodic electronic-newsletter;
- v. A "forest-ideas" twitter dialogue forum to promote discussion on current topics; and
- vi. Basic information on PROFOR and links to partners' websites.

The PROFOR site also provides video clips on events and presentation as well as RSS feeds.

The site is a good example how, in financial terms even a rather small program, can use a website to inform different types of audiences and interest groups on its achievements and increase the visibility and impact of its work with a relatively modest investment.

For more information see: <http://www.profor.info/profor/>

### 8.4 Other Issues

Most of the conclusions reached by the various teams have been incorporated into the earlier sections on relevance, effectiveness and efficiency and in the overview at the start of this chapter. Regardless of whatever decision is taken in respect of the strategic management or otherwise of the portfolio, in addition to

knowledge management there are a number of crucial points that were widely observed.

The level of awareness and familiarity with what other CSSS-funded projects are doing is very variable and some people met certainly felt largely excluded from the wider portfolio outside their own project. Some system of synoptic reporting on at least an annual basis is required to remedy this, even if it is provided in the form of a Newsletter.

The characteristics of the grant holders vary widely and while local partnerships of INGOs have meant that in countries such as Peru and Indonesia, work in country is mainly conducted by nationals, there is conflict in both DRC and Cameroon and the perception that INGOs are following their own agenda rather than either mainly the NICFI objectives or national ones. Much better in country coordination is required to ensure that projects are adequately engaged with both other actors and, especially, with government at appropriate levels.

There is scope for tightening up reporting procedures before contracts are signed and for undertaking a review of whether individual current projects need to have supplementary funding. Given its scope, the forthcoming round of applications seems likely to result in concentration of CSSS projects in NICFI major partner countries. This focus on major partner countries should open up additional sources of finance (from bilateral funds) that could be utilised for this, if appropriate.

## 9. Recommendations

- NICFI Secretariat and Norad needs to consider changing the management structure. A new structure might include a steering committee (MoE, MFA, Norad with co-opted specialists as required) and a full-time programme management team headed by a person with good knowledge of REDD+ and development programmes supported by a staff of around five technical and administrative personnel, all of whom are fully employed in the management of the CSSS without other responsibilities. The steering committee members should be able to provide adequate time to prepare for and attend regular meetings to discuss plans and progress in detail. The programme management team should undertake regular field visits to ongoing projects and optimise the value of these around relevant project meetings or similar events.
- The reporting system for all projects should be revised to provide for results-based reporting or an equivalently informative system at the request of the grant holder. Proposals pre-contract should be consistently framed, especially on budget items which also need to specify separately proposed expenditure by country where projects work across more than one.
- Noting that many of the supported projects are delivered as part of a wider programme, consideration should be given to how handle financing and reporting of projects that follow this model given that there is interdependence between the CSSS funded 'project' and the rest of the programme. At the same time, an appropriate methodology should be developed for attribution of impact to CSSS from activities that draw on pooled funding.
- A knowledge management system needs to be created that provides single point access covering updates on REDD+, project results, publications and other relevant information to users with projects ensuring that all publications are made available. This could be either handled by the NICFI secretariat, with additional resources allocated, or wholly or partly outsourced to a specialist Norwegian organisation working in close collaboration with the secretariat.
- The programme management team should commission, as required, studies, thematic and meta-analyses to ensure capture of information from projects run by different organisations and institutions and to maximise the extent and

relevance of lessons learnt and the dissemination of new information. Consideration also needs to be given to in-country coordination of portfolio elements, either with a dedicated person or using an alternative method.

- The strategic thinking being carried out by many of the current project grant holders is a valuable resource that should be investigated, captured and used as part of the ongoing development of thinking around REDD+ and its future development. This requires a dedicated team in Oslo using a range of methods.
- In funding projects and activities that engage local communities and raise expectations, great care must be exercised to ensure that any such project reaches an end-point that delivers appropriate benefit to those participating in the event that funding is not renewed. Demonstration projects are highly vulnerable in this respect and, unless there is national funding for continuation of these in the light of their progress, once current CSSS funding is finished, further support may need to be considered to avoid major loss of knowledge and experience. Projects that have supported issues such as indigenous peoples' land rights also need careful review before funding ceases to ensure there is no reversal of progress.
- REDD+ implementation requires an appropriate mix of technical and non-technical approaches and methodologies and the balance between these two needs to be maintained. What the appropriate balance between these is should be considered by the project management team prior to upcoming calls for proposals so that calls can be designed to reflect any needed refinements to this mix.
- Project proposals need to state clearly how they fit with other ongoing activities in country and/or internationally and steps taken to optimise co-ordination and synergy. They also need to be clear on which NICFI objectives they address and confirm that the organisation has access to people with the right knowledge and experience for the work proposed.
- Once new reporting frameworks have been developed, arrangements should be made for those proponents that need it, including partners in country, to have training in collecting and managing information including baseline data, indicators and monitoring of impacts and outcomes as well as in reporting.
- The breadth of information that has been gained from the current portfolio provides a rich resource that could be usefully subjected to thematic studies on the progress made, lessons learnt, the extent to which findings have been taken up already and the potential for expanding this.



## 10. Lessons Learnt

It is clear that the portfolio could have substantial value from the individual projects and from the synergy in terms of experience and lessons being learned in different situations but communication between projects is erratic and the reporting system, while effective for grant management, is not fully geared to a good information flow on findings and outcomes.

There still appear to be divergent views between the various agencies involved in Oslo on the objectives that NICFI Civil Society projects should be addressing. Interviews with project personnel confirmed that they found the climate/development balance being sought to be unclear.

The evaluation team is surprised at the relatively low proportion of funds devoted to managing the portfolio and concerned that compared with grant schemes of similar value, there are mixed lines of communication and insufficient time available for the people charged with the management to ensure that all parties have reached a clear consensus on aspects of management.

A comprehensive set of guidelines for work related to the Climate and Forest Initiative was issued in 2009.<sup>10</sup> Given the complexities of the civil society support scheme and the often new areas being covered in the grants, a “Memorandum of Understanding” that identifies and deals with specific matters beyond those covered in these guidelines might be helpful for all involved.

While the programme has provided substantial value, it is notable that while the understanding of the portfolio reached from the desk-study phase gave a rather negative impression, this impression was substantially changed to a much more positive one following the field phase. Given that the desk-study phase was undertaken using information available in Oslo, it is possible that the full value of the scheme is not readily apparent although it is noted that people from all three agencies have visited at least some projects on a fairly regular basis; this should have helped understanding of the real value being delivered.

This evaluation can only provide suggestions for action; if a change of approach is contemplated then it is vital it be owned by those engaged in the process of delivering the portfolio and is fully compliant with all relevant rules and regulations.

In order to optimise the substantial benefits from the funding, the evaluation team believes that more time for good communication among those involved is required.

None of the apparent “issues” noted in this evaluation is irresolvable but resolution cannot be done while the people involved are so diverted by their key responsibilities that there is no time to think, or discuss.

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<sup>10</sup> Regjeringens klima- og skoginitiativ: retningslinjer for arbeidet (The Government's climate and forest initiative: guidelines for work)



# Annexes





# Annex 1 – Terms of Reference

## **Real-time evaluation of Norway's International Climate and Forest Initiative: Lessons learned from support to civil society organisations**

June 6, 2011

### **1. Background**

#### ***REDD+ and Norway's Initiative***

The primary objective of the Norwegian Government's climate policy is to help establish a global, binding, long-term post-2012 regime that will ensure cuts in global greenhouse gas emissions sufficient to limit global temperature rise to no more than two degrees Celsius above pre-industrial levels. To this end, The Government of Norway's International Climate and Forest Initiative (NICFI) was launched in December 2007, pledging substantial development cooperation funding towards efforts to reduce emissions from deforestation and forest degradation in developing countries (REDD+).<sup>1</sup>

The rationale behind NICFI's support for REDD+ is to make a substantial contribution in the struggle against global warming. The climate-related goals will therefore determine which support is to be initiated, continued, terminated or changed. Sustainable development and poverty alleviation are overarching goals of Norwegian foreign and development policy. Thus, in addition to the climate-related goals, these are essential goals for NICFI. In pursuing the different goals, the climate policy and the development policy should be mutually supportive.

The funding shall be used in accordance with the objectives of NICFI:

- To work towards the inclusion of emissions from deforestation and forest degradation in a new international climate regime;
- To take early action to achieve cost-effective and verifiable reductions in greenhouse gas emissions;
- To promote the conservation of natural forests to maintain their carbon storage capacity.

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<sup>1</sup> REDD+ includes the role of conservation, sustainable management of forests and enhancement of forest carbon stocks.

The majority of NICFI's financial support is channelled through multilateral entities, including the UN Collaborative Programme on Reduced Emissions from Deforestation and Forest Degradation (UN-REDD Programme), jointly managed by FAO, UNDP and UNEP; the Forest Carbon Partnership Facility (FCPF), the Forest Investment Program (FIP) and the Guyana REDD+ Investment Fund (GRIF), all three hosted by the World Bank; and the Congo Basin Forest Fund (CBFF) managed by the African Development Bank. A multilateral organisation is also likely to be engaged in channelling Norwegian funding to the REDD+ process in Indonesia (initial funding was channelled through UNDP). NICFI's other main partner countries are Brazil, where funding is provided to the Amazon Fund managed by the Brazilian Development Bank (BNDES), and Tanzania, where funding is channelled through the Embassy and the UN-REDD Programme. Non-governmental organisations are funded through a support scheme administered by the Norwegian Agency for Development Cooperation (Norad)<sup>2</sup>.

### ***The real-time evaluation framework***

The need for timely information and continuous learning about the fast-moving developments in REDD+ calls for a real-time evaluation approach. The purpose of the real-time evaluation is to progressively assess the results of NICFI with regard to its objectives and the general objectives of Norwegian development cooperation; to inform decision-makers within NICFI and at the national and international arena; and to draw lessons and allow corrections to be made, where necessary, in real time. The most immediate user of the feedback and recommendations is NICFI, but the audience for the evaluation also includes REDD+ partners outside Norway and the public at large.

The real-time evaluation is administered by Norad's Evaluation Department and carried out by a consortium of independent experts led by LTS International in collaboration with Indufor Oy, Ecometrica and Chr. Michelsen Institute. The evaluation period is four years (2010-2013).

It is envisaged that the real-time evaluation will make use of a phased and multi-layered approach. Several strands of evaluation will run in parallel and be repeated periodically over the four-year period. Two evaluations have so far been completed:

- NICFI's contribution to a global REDD+ regime 2007-2010
- NICFI's contribution to national REDD+ processes 2007-2010 (in Brazil, Guyana, DR Congo, Tanzania and Indonesia)

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<sup>2</sup> For more details about NICFI, see the web site:  
<http://www.regjeringen.no/en/dep/md/Selected-topics/climate/the-government-of-norways-international-.html?id=548491>

## 2. Context and the evaluation object

The present evaluation is designed to capture the lessons learned from NICFI's civil society support scheme<sup>3</sup>. The purpose of this funding scheme, which is administered by the Norad Civil Society Department, is to support REDD+ pilot activities and development of methodologies by civil society organisations, in order to generate input to the climate change negotiations and experiences from REDD+ activities in the field. The assumption is that input and critical review from the civil society can contribute to the establishment of more robust strategies for REDD+.

The countries in which the civil society organisations operate are at different stages of REDD+ readiness, but they are all involved in developing (i) a national REDD+ strategy, (ii) national and, if appropriate, sub-national reference (emission) levels, (iii) a monitoring, reporting and verification (MRV) system, and (iv) a system for providing information on how safeguards are being addressed and respected throughout the implementation of REDD+ activities. It is to these processes that the civil society organisations are expected to contribute in various ways, e.g.:

- building capacity among local communities and indigenous peoples to engage in national REDD+ policy development and discussions
- contributing to national or regional coordination of REDD+ policy implementation
- setting up locally driven projects aimed at reducing emissions from deforestation and forest degradation, including REDD+ / PES (payment for ecosystem services) funds for local and indigenous peoples
- support to policy development or contributions to developing REDD+ methodologies

The civil society support scheme includes a wide range of project activities such as field-based forest conservation and testing of REDD+ revenue sharing mechanisms (e.g. PES), applied research into MRV systems, REDD+ policy advocacy and information campaigns at national and international level. The lessons learned from REDD+ demonstration activities at the local or sub-national level will be particularly valuable<sup>4</sup>. NICFI expects the projects to have a high degree of replicability and / or applicability, paving the way for new practices.

The geographical scope of NICFI's civil society support scheme is global, but REDD+ demonstration activities in Brazil and Tanzania have been exempted because NICFI is already supporting civil society organisations in those countries through the Amazon Fund and the Norwegian Embassy in Tanzania. The projects are currently concentrated in Indonesia (15 projects), Peru (7 projects), Vietnam (7 projects), Nepal (5 projects), and PNG (4 projects). Notably, only non-profit organisations are eligible for funding and most projects have a duration of three years.

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3 Climate and Forest Initiative Support Scheme:  
<http://www.norad.no/en/Support+and+tender/Support/Climate+and+Forest+Initiative+Support+Scheme>

4 The Bali Action Plan (COP-13) asked for demonstration activities to be evaluated and the results communicated to the international community.

**Table 1 Grant recipients in 2009 and 2010. Amounts are in Norwegian kroner (NOK).**

Grant recipient	Geographical scope	2009	2010
Amazon Conservation Association	Peru	3,000,000	3,500,000
Center for International Forestry Research (CIFOR)	Bolivia, Brazil, Cameroon, Indonesia, Nepal, Vietnam, Tanzania, DRC, Peru	20,000,000	20,000,000
Center for International Policy (CIP) / Avoided Deforestation Partners (ADP)	Global + USA	3,500,000	4,000,000
Centre for Clean Air Policy (CCAP)	Global + Cambodia, Indonesia, Mexico	4,800,000	1,500,000
Clinton Foundation	Indonesia	6,900,000	3,400,000
Coalition for Rainforest Nations	Global	3,500,000	6,000,000
Conservation International	Global + Indonesia, Liberia, Madagascar, Peru	2,800,000	6,800,000
Environmental Investigation Agency	Global + Peru, Indonesia	2,000,000	2,250,000
Fauna & Flora International	Liberia	7,000,000	2,000,000
Forest Peoples Programme	Global + Guyana, Panama, DRC, Surinam, Peru, Paraguay, Cameroon, Nepal, Indonesia	3,000,000	3,000,000
Forest Trends & Katoomba Group	Brazil, Ghana, Peru	6,800,000	1,500,000
Foundation for People and Community Development (FPCD)	PNG	1,400,000	1,000,000
Global Witness	Global + Guyana	2,400,000	3,000,000
International Centre for Integrated Mountain Development (ICIMOD)	Nepal	4,000,000	3,500,000
International Institute for Environment and Development (IIED) & UMB	Global + Brazil, Ghana, Vietnam, Tanzania, Uganda	1,500,000	2,500,000
International Institute for Sustainable Development (IISD)	Global	5,000,000	4,000,000
International Union for Conservation of Nature (IUCN)	Global + Ecuador, Ghana, Guatemala, Brazil	6,900,000	3,500,000
IWGIA International Work Group for Indigenous Peoples	Indonesia, Nepal, Lao PDR, Vietnam	4,000,000	5,100,000
Meridian Institute	Global	9,995,000	-
Norges Naturvernforbund/ Regnskogfondet (Friends of the Earth Norway / Rainforest Foundation Norway)	Global	1,134,000	1,100,000
Norsk Romsenter (Norwegian Space Centre)	Brazil, Guyana, Tanzania	1,500,000	-



Grant recipient	Geographical scope	2009	2010
Overseas Development Institute (ODI)	Global	1,373,000	2,500,000
Rainforest Alliance, Inc	Ghana	3,500,000	1,500,000
Regional Community Forestry Training Centre (RECOFTC)	Global + Nepal, Lao PDR, Indonesia	2,700,000	3,500,000
Regnskogfondet (Rainforest Foundation Norway)	Global + Indonesia, PNG, Ecuador, DRC	9,700,000	13,000,000
Rights and Resources Initiative (RRI)	Global	6,800,000	8,600,000
Snøball Film	DRC, Tanzania	1,150,000	-
SUM - Centre for Development and the Environment	Global	700,000	700,000
Tebtebba Foundation	Global + Indonesia, Nepal, Kenya, Nicaragua, Peru, Vietnam, Philippines, Peru	6,000,000	6,770,000
The Nature Conservancy (TNC)	Indonesia	5,000,000	4,000,000
The Samdhana Institute	Indonesia	3,000,000	1,750,000
The Woods Hole Research Center	Global + Lao PDR, Vietnam, Cambodia, Ecuador, Colombia, Bolivia	8,000,000	6,000,000
World Agroforestry Centre – ICRAF	Vietnam, Nepal, Indonesia, Peru, Cameroon	6,900,000	9,000,000
World Resources Institute	Global + Brazil, Indonesia, Cameroon	4,500,000	5,100,000
WWF International - Forest based Carbon Network Initiative	PNG, Indonesia, DRC, Peru, Colombia	11,000,000	11,000,000
FN-sambandet (United Nations Association of Norway)	Norway	-	311,000
WWF Norway	Global	1,350,000	-
WWF Madagascar	Madagascar	-	4,000,000
Transparency International	Indonesia, PNG, Vietnam	-	4,000,000
Global Canopy Programme	Guyana	-	1,025,000
Utviklingsfondet (The Development Fund)	Guatemala, Honduras, Nicaragua, Costa Rica	-	2,500,000
(Coordination seminar for the Indonesian partners)	Indonesia	-	187,000
<b>Total</b>		<b>172,757,000</b>	<b>163,093,000</b>

### 3. Purpose and objectives

The purpose of this evaluation is to document the lessons learned from NICFI's civil society support scheme and to provide feedback to NICFI and other REDD+ stakeholders.

In order to achieve the purpose, the evaluation will assess the overall results of the civil society support scheme. Specifically, the evaluation has two main objectives:

1. Assess the influence of the policy-oriented and knowledge-generating REDD+ activities on the national and international REDD+ processes
2. Assess the contribution of the field-based, local or sub-national, REDD+ demonstration activities on the national and international REDD+ processes

### 4. Scope

This evaluation covers only the project portfolio supported by NICFI's civil society support scheme. Other NICFI-funded REDD+ activities that are being implemented by civil society organisations, such as those supported through the Norwegian Embassy in Tanzania, the Amazon Fund in Brazil and the Congo Basin Forest Fund, will be reviewed separately and are not included in the present evaluation.

The lessons learned from NICFI's civil society support scheme should be compared with documented lessons from the growing literature on REDD+. For example, several hundred 'REDD+ pilot projects' are in the pipeline or being implemented, which potentially offer valuable lessons for realising REDD+ under varied circumstances<sup>5</sup>. Some of the REDD+ demonstration activities have been included in the applied research component of NICFI's civil society support scheme. The publications from these NICFI-supported research activities are likely to provide valuable references, but they should also be reviewed and treated as part of the evaluation object.

### 5. Evaluation questions

The below list of questions is not exhaustive, but serves as a specification of the above objectives and scope and as a basis for developing the evaluation approach and methodology. The answers to these questions should contribute to achieving the purpose of the evaluation, i.e. to document the lessons learned and to provide feedback to NICFI and other REDD+ stakeholders.

#### ***Portfolio as a whole***

- Is the portfolio of support likely to help NICFI in reaching its overall objectives, including the climate-related and development-related goals? How and why have the projects succeeded or failed at contributing to NICFI's goals?

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5 For example, see the following two publications: (1) Johns, T., Johnson, E., Greenglass, N. 2009. An Overview of Readiness for REDD: A compilation of readiness activities prepared on behalf of the Forum on Readiness for REDD. Version 2. December 2009. The Woods Hole Research Center, USA. (2) Wertz-Kanounnikoff, S. and Kongphan-apirak, M. 2009. Emerging REDD+: A preliminary survey of demonstration and readiness activities. CIFOR Working Paper No. 46. CIFOR, Bogor, Indonesia.

- Is the balance between policy-oriented / knowledge-generating activities and field-based REDD+ demonstration activities appropriate?
- Is the geographical distribution of the project portfolio appropriate, including the balance between organisations from the North and the South?
- To what extent are early lessons being systematically documented to inform NICFI's overall strategy? What has been the role of NICFI in capturing the lessons learned?
- How do the civil society projects relate to other government-led and multilateral REDD+ programmes in the respective countries, and how are the lessons learned transferred to those other stakeholders?
- Did the three-year funding window provide the right balance between flexibility and predictability?

### ***REDD+ policy-oriented and knowledge-generating activities***

General question:

- To what extent and how have the policy-oriented and knowledge-generating activities influenced national REDD+ processes in the respective countries and the development of the international REDD+ regime?<sup>6</sup>

Specific questions:

- To what extent and how have the projects contributed in building the capacity of local communities and indigenous peoples to engage in the REDD+ debates?
- To what extent and how have the projects been successful in promoting REDD+ co-benefits and equity, in particular the safeguards associated with (i) the rights of indigenous peoples and local communities, (ii) gender and women's rights, (iii) biodiversity conservation, and (iv) anti-corruption and fiduciary control?<sup>7</sup>
- To what extent and how have the projects contributed to the development of REDD+ methodologies, in particular to setting reference levels and MRV systems?

### ***Field-based REDD+ demonstration activities***

General question:

- To what extent and how have the field-based REDD+ demonstration activities influenced the national and international REDD+ policy processes?

Specific questions:

- What are the characteristics of the different REDD+ demonstration activities?
- To what extent and how have REDD+ co-benefits and equity been safeguarded in the demonstration activities, including (i) the rights of indigenous peoples and local communities, (ii) gender and women's rights, (iii) biodiversity conservation, and (iv) anti-corruption and fiduciary control?

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6 The international REDD+ regime includes both the current delivery architecture (especially the multilateral system) and the UNFCCC negotiations on REDD+.

7 Equity refers to the sharing of REDD+ benefits among different stakeholders, while the debate on co-benefits in REDD+ has concentrated on environmental services (e.g. biodiversity), socio-economic services (e.g. poverty alleviation), governance and rights issues (e.g. rights of indigenous peoples and local communities), and climate change adaptation. Safeguards refer to policies that promote equity and co-benefits, while avoiding harmful side-effects, e.g. anti-corruption safeguards and anti-plantation safeguards.

- How does the performance of the REDD+ demonstration activities compare to REDD+ relevant activities elsewhere and in the past?
- To what extent have the field-based REDD+ demonstration activities been designed to allow ex-post impact evaluation<sup>8</sup> and to yield information on what works, what doesn't, why, and at what cost?

## 6. Methodology

A mixed methods (qualitative and quantitative) approach is envisaged for this evaluation. In order to address the above objectives and questions, the evaluation team shall develop a research strategy and methodology based on international best-practices to ensure an objective, transparent, evidence-based and impartial assessment. The evaluation team will make use of secondary and primary data which will be analysed using suitably defined qualitative and quantitative performance indicators. Primary data may be collected using empirical methods through interviews and questionnaires. Triangulation or cross-checking shall be done to ensure the validity of the data.

Field studies will be an important part of this evaluation. The selection of countries, projects and case studies will be proposed by the team in the technical proposal and agreed during the inception phase. Prior to the field studies, the team shall reconstruct the programme theory underlying NICFI's civil society support scheme in consultation with NICFI (including Norad) and with reference to policy documents.

During the inception phase, the team shall conduct a review of all project documents related to the civil society support scheme as well as a sample of academic studies and evaluations of REDD+ relevant forest conservation projects elsewhere and in the past. It is expected that these publications will be referred to in the evaluation report and will help develop the lessons learned.

The civil society support scheme shall be assessed using the OECD/DAC evaluation criteria relevance, effectiveness and efficiency<sup>9</sup>. The evaluation shall be conducted in accordance with the prevailing OECD/DAC Evaluation Quality Standards<sup>10</sup>.

## 7. Evaluation team

This evaluation will require team members with in-depth knowledge about REDD+ policy developments at the international and national level combined with local level knowledge of REDD+ demonstration activities and policy advocacy.

The team leader shall be involved in at least parts of the field work for all case studies to ensure methodological and conceptual consistency. The team leader

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8 Impact evaluation assesses the changes that can be attributed to a particular intervention, such as a project, program or policy, both the intended ones, as well as ideally the unintended ones. Impact evaluation involves counterfactual analysis, that is, "a comparison between what actually happened and what would have happened in the absence of the intervention". This approach is also known as BACI (before, after, control, intervention). See, for example: <http://www.3ieimpact.org/> and [www.worldbank.org/impacetevaluation](http://www.worldbank.org/impacetevaluation).

9 See Glossary of Key Terms in Evaluation and Results Based Management, OECD/DAC, 2002

10 <http://www.oecd.org/dataoecd/55/0/44798177.pdf>

shall have documented experience in managing complex, multi-disciplinary evaluations.

LTS International shall suggest a composition of team members, taking into account the size of the evaluation (see below) and the expected distribution of personnel categories (see tender document).

### **8. Budget**

The size of this evaluation is 50 consultant weeks. LTS International shall propose a budget based on the personnel requirements and the expected travel and subsistence expenses.

### **9. Deliverables and time frame**

17 June: Proposed team and methodology  
23 June: Start of the evaluation  
1 August: Inception report  
14 October: Draft final report  
21 October: Feedback workshop  
11 November: Final report  
2 December: Seminar

The reports shall be prepared in accordance with the Evaluation Department's Guidelines for Reports.

## Annex 2 – Supported partners that were included in the assessment

### **Amazon Conservation Organisation**

Amazon Conservation Association is an international non-governmental organisation based in Washington DC that focuses on the nexus between cultural and natural resource conservation. It undertakes sub-national REDD+ demonstration activities in Peru through two Civil Society Support Scheme grants:

Grant 1: 3,000,000 NOK, June 2009 to June 2010. Project Title: New REDD Models for Tropical Montane Forests: Science, Policy, and Economic Incentive Structures for Fire Control and Indigenous Poverty Alleviation in the Peruvian Andes. Project Purpose: (i) improve knowledge and accounting practices for terrestrial GHG emissions, (ii) lower transaction costs for mid-size REDD projects, (iii) collaborate with indigenous communities to introduce culturally appropriate REDD projects, and (iv) integrate REDD into a diversified income portfolio for rural livelihood.

Grant 2: 9,900,000 NOK, June 2010 to May 2013. Project title: Regional REDD Policy and Working Models for Indigenous Communities in the Peruvian Andes-Amazon Interface: Implications for National Baseline. Project purpose: (i) develop a cost-reducing Decision Support Tool; (ii) partner with and empower indigenous stakeholders; (iii) test innovative REDD mechanisms that can be integrated into existing legal frameworks, (iv) introduce cutting-edge REDD support tools; (v) convene stakeholders to discuss and improve REDD project implementation.

The evaluation team visited the project in Peru.

### **Center for Clean Air Policy**

The Centre for Clean Air Policy (CCAP) is an international non-profit think tank based in Washington DC that works on climate, REDD+ and air quality policy at the local, U.S. national, and international levels. CCAP has received two grants through the Civil Society Support Scheme for the project “Assisting Developing Countries in Establishing Integrated Forest Policies to Reduce Greenhouse Gas Emissions”, to undertake work focused on the international climate negotiations and also subnational activities in several countries:

Grant 1: NOK 4,800,000, April 2009 – July 2010. The project promoted two concepts at the global policy level: REDD+ as a Nationally Appropriate

Mitigation Action (NAMA), and up-front financing for the three-phase approach to REDD+. CCAP promoted these concepts in policy recommendations for institutions including UNFCCC, the United States Congress, and California. In Mexico, Indonesia and Cambodia, CCAP conducted analysis for government partners and built in-country capacity for REDD implementation at the national and sub-national levels.

Grant 2: NOK 3,000,000, June 2010 – June 2011. In 2010, the project continued to build capacity and REDD knowledge in Mexico and Indonesia. CCAP also maintained influential contributions to the global policy debate (e.g. through the REDD+ Partnership). Project outcomes for 2010 are difficult to judge at this stage.

The evaluation team interviewed the Project Leader in Washington DC and visited the project's local partner in Indonesia.

### **Conservation International**

Conservation International (CI) is a conservation-focused non-profit, non-governmental organisation with headquarters in the United States that undertakes scientific research, policy and field work. CI has received two grants from the Civil Society Support Scheme for the project "People need nature to thrive":

Grant 1: 2,800,000 NOK, 2009-2010. Support to the international climate change negotiations, primarily through development of a tool for comparative analyses of REDD+ mechanism design options and capacity building of developing country governments around the negotiations.

Grant 2: 21,100,000 NOK, 2010-2013. Focus on strengthening national REDD+ planning in Peru and Madagascar. In Madagascar the project is providing technical support and building capacity to develop the national REDD+ strategy and in Peru the project is developing a REDD+ project and supporting Peruvian institutions to develop clear policies and capacity on REDD+.

The evaluation team interviewed project directors at the CI headquarters in Arlington and visited the country programme in Peru.

### **Centre for International Forestry Research (CIFOR)**

The Center for International Forestry Research (CIFOR) is a non-profit, global research facility, headquartered in Bogor, Indonesia, that conducts research to enable more informed and equitable decision making about the use and management of forests in less-developed countries. It is part of the CGIAR system.

CIFOR has a NOK 80,000,000 (NOK 20,000,000 per year) grant from the Civil Society Support Scheme to undertake the project "Learning from REDD: A Global Comparative Study" between Jun 2009 to Jun 2013. The project is a four-

year research and knowledge-sharing strategy on Reducing Emissions from Deforestation and Degradation (REDD+).

The project aims to provide policymakers and practitioners with the information, analysis and tools they need to ensure effective and cost-efficient reduction of carbon emissions with equitable impacts and co-benefits. It involves research on establishing monitoring and reference levels for measuring carbon emission reductions, with a view to informing the international climate negotiations and national level REDD+ implementation initiatives.

It also undertakes research on policy processes and strategies that relate to forests and climate change at national level and developing practices for REDD+ implementation through development of case studies from Indonesia, Vietnam, Nepal, Cameroon, DRC, Tanzania, Bolivia, Brazil and Peru .

The evaluation team held meetings with many staff involved in the project at CIFOR headquarters in Bogor, and also interviewed country level and/or field staff in Cameroon, Indonesia and Peru.

#### **Center for International Policy / Avoided Deforestation Partners**

Avoided Deforestation Partners (ADP) is an informal network dedicated to advancing U.S. and international climate policies along with business solutions that include robust incentives to protect tropical forests. The Center for International Policy (CIP) is a non-profit research and advocacy organisation based in Washington, DC.

ADP is the implementing partner and CIP is ADP's fiscal sponsor. CIP / ADP have received two grants (NOK 3,500,000 in 2009, and NOK 4,000,000 in 2010) to implement the project "Reducing Emissions from Deforestation and Degradation".

The project seeks to promote the adoption of U.S. climate policy rules that maximizes investments to protect tropical forests through the implementation of strong market based forest carbon provision in order to influence a post-2012 climate agreement that includes an effective, efficient and equitable REDD+ mechanism.

The evaluation team interviewed key project staff by Skype.

#### **Clinton Climate Initiative**

The Clinton Climate Initiative Forestry Programme of the William J Clinton Foundation, an international foundation based in the United States, is focused on developing forestry projects and carbon measurement systems that help governments and local communities receive compensation for conserving and re-growing forests.



The Programme has received two grants (NOK 6,900,000 2009-2010; NOK 20,000,000, 2010-2013) for the project “Addressing the challenges of scaling up REDD+ activities in Indonesia”.

The project purpose is to facilitate the design, validation and implementation of a portfolio of replicable REDD+ projects using a project-based approach to build capacities, contribute to REDD+ policy development and monetise forest carbon for 750,000 hectares of threatened forest and peat lands in Indonesia.

In Edinburgh, the evaluation team interviewed the Clinton Climate Initiative Forestry Programme South-East Asia Director, who is the director of the supported project, and held interviews with CCI project staff, local project partners and participating communities in Indonesia.

### **Environmental Investigation Agency**

The Environmental Investigation Agency (EIA) is a non-profit, international campaigning organisation with offices in Washington DC and London, UK that focuses on investigating and exposing environmental crimes and campaigning against illegal wildlife trade and threats to the environment.

Through Civil Society Support Scheme grants, the EIA seeks to apply lessons about demand-side drivers and civil society engagement with REDD+ policy and practice, in order to create the conditions for an effective, transparent and accountable mechanism that will promote better forest governance.

International policy-related activities supported through the grants are focused on the UNFCCC, World Bank, multilateral REDD+ institutions and United States national policy. At national level in Peru and Indonesia, the project strengthens local partners' capacity to monitor and document forest governance problems and investigates and documents deforestation drivers, monitor REDD+ related fraud and develop policy recommendations.

These activities have been undertaken through the following two grants:

Grant 1: NOK 2,000,000, July 2009 to June 2010 for the project “Enabling REDD by transforming timber trade: integrating successful strategies from combating illegal logging”.

Grant 2: NOK 6,750,000, June 2010 to May 31st 2013 (NOK 2,225,000 per year) for the project “Enabling a better REDD+ mechanism by integrating civil society participation and lessons from illegal logging at local, national and international scales”.

The evaluation team held meetings at EIA headquarters in Washington DC and with the EIA Indonesia team in London.

## **Forest Trends**

Forest Trends is an international non-profit organisation based in Washington DC that aims to expand the value of forests to society; to promote sustainable forest management and conservation by creating and capturing market values for ecosystem services; to support innovative projects and companies that are developing these new markets; and to enhance the livelihoods of local communities living in and around those forests.

Forest Trends has received two grants from the Civil Society Support Scheme, both for the project “Accelerating REDD Readiness through the Katoomba Incubator: Delivering Benefits to Communities While Mitigating Climate Change through Forest Conservation”. The project aims to improve the capacity of developing countries and project developers to carry out REDD+ activities and build solid REDD+ frameworks of action in Latin America, Africa and Asia.

Grant 1: NOK 6,800,000 2009-2010. The project undertook activities at the international policy level and at national level in Mexico, Tanzania, Ghana and Vietnam. Activities were focused on (i) scale up of the Katoomba Incubator program, through supporting the establishment of REDD+ projects on the ground; (ii) supporting the process of preparing national REDD+ strategies; and (iii) delivering information on global forest carbon markets.

Grant 2: NOK 3,000,000, 2010-2011. The project continued the global activities and the national activities in Brazil, Peru and Ghana.

The evaluation team interviewed project management at the Forest Trends headquarters in Washington DC and some of the project’s local partners and stakeholders in Peru.

## **Forest Peoples’ Programme**

The Forest Peoples’ Programme (FPP) is an international non-governmental organisation based in Moreton-in-Marsh, UK .The FPP operates around the tropical forest belt, where it serves to bridge the gap between policy makers and forest peoples through advocacy, practical projects and capacity building.

The FPP has received two grants from the Civil Society Support Scheme for the project “Promoting the rights of forest peoples in national and international policy-making on REDD+”:

Grant number 1: NOK 3,000,000, 2009 –2010, in co-financing. Advocacy on REDD+ policy development support forest peoples’ participation in REDD+ policy-making processes in Guyana, Suriname, Peru, Paraguay, Panama, Liberia, Cameroon, Central African Republic, DRC, Nepal, and Indonesia was undertaken.

Grant number 2: NOK 9,000,000, (NOK 3,000,000 per annum) 2010 -2013. Activities focused on the promotion of indigenous peoples’ and forest-dependent communities’ rights in national and international REDD+ policy formation and in

REDD+ implementation. The project was active in Guyana, Suriname, Peru, Paraguay, Panama, Cameroon, DRC, Nepal, and Indonesia. The evaluation team interviewed project management by telephone in relation to the Peru activities and conducted interviews with national partners in Cameroon, DRC, Indonesia and Peru, and with the FPP Indonesia team.

### **Global Witness**

Global Witness is an international non-governmental organisation, headquartered in London, that campaigns against natural-resources related conflict and corruption and associated environmental and human rights abuses.

Global Witness has received two grants from the Civil Society Scheme, primarily to support policy advocacy work related to REDD+ safeguards.

Grant 1: NOK 2,400,000, July - December 2009 for the project "Climate Change, Forests, Poverty and Sustainable Development Guiding REDD through Copenhagen – to 2012 and beyond". The aim of the project was to build a strong team of international campaigners to ensure that REDD+ is included in a post-2012 regime with sound safeguards.

Grant 2: NOK 6,000,000, June 2010 - December 2011 for the project "Building the Foundations for Global REDD+ – from international negotiations to national REDD+ support".

This project involved continuation of international advocacy focused on strong REDD+ safeguards for a REDD+, development of a for independent REDD+ monitoring model, and advocacy and policy work focused on the FCPF, UN-REDD, EU-FLEGT.

The evaluation team meet with the project co-ordinators at their London headquarters.

### **ICRAF - The World Agroforestry Centre**

ICRAF is an international centre for research in agroforestry with its headquarters in Nairobi, Kenya. Its work focuses on mitigating tropical deforestation, land depletion and rural poverty through improved agroforestry systems. It is part of the CGIAR system.

ICRAF has received two grants from the Civil Society Support Scheme for phases of the project "REALU Architecture: Reducing Emissions from All Land Uses". The project aims to "develop through action research, a set of approaches, methodologies and national capacities to implement effective landscape-based strategies for REDD+ within a context of rural sustainable development, national sovereignty, respect for indigenous rights, and the integrity of a global greenhouse gas accounting system."

Grant 1: NOK 6,900,000, Jul 2009 to Jul 2010. The project produced papers and policy briefs aimed at informing the international community and the UNFCCC

negotiations, and national reports based around the concept of nesting REDD+ within whole landscape carbon accounting. Case studies were developed in Cameroon, Indonesia, Nepal, Peru and Vietnam.

Grant 2: NOK 27,000,000, June 2010 to June 2013. Continuation of activities covered under grant 1, with case studies under development in Cameroon, Indonesia, Peru and Vietnam.

The evaluation team had email contact with the project lead in Nairobi, and met with country staff and local partners in Cameroon, Indonesia and Peru.

### **International Institute for Environment and Development (IIED)**

IIED is a policy research organisation that works at the interface between environment and development. IIED has received two grants for the project "Poverty and sustainable development impacts of REDD architecture: Options for equity, growth and the environment".

The project focuses on developing policy briefs and other research aimed at increasing understanding of how different options for REDD+ architecture at international, national and sub/national level will affect achievement of sustainable development and poverty reduction. Target groups are policymakers at international, national and subnational levels and civil society, as well as managers of REDD+ pilot projects and local communities. Focal countries are Brazil, Uganda, Tanzania, Vietnam, and Ghana.

Grant 1: NOK 1,500,000, 2009, and

Grant 2: NOK 12,300,000, 2010 -2013.

### **Rainforest Foundation Norway**

Rainforest Foundation Norway is a non-governmental organisation based in Oslo, Norway that campaigns for national and international laws to protect rain forests and their inhabitants. The project "REDD+, Rights and Results: Reducing deforestation and forest degradation through involvement of civil society and indigenous peoples in global and national REDD+ planning and implementation" has been supported by two grants from the Civil Society Support Scheme.

The project focuses on a combination of international and national policy advocacy and network development, with local and national civil society strengthening, facilitation and financial support.

Grant 1: NOK 9,700,000, 2009-2010. In addition to international advocacy, national initiatives were undertaken in DRC, Ecuador, Indonesia, Papua New Guinea, with small scale inputs in Guyana.

Grant 2: NOK, 39,000,000, 2010-2013. Funding, capacity building, advocacy, facilitation to establish civil society participatory mechanisms in four target countries (Indonesia, Papua New Guinea, Ecuador and DRC), and facilitate and/

or strengthen the development of relevant civil society REDD+ networks, lobbying activities at national and international levels focused on addressing strategic policy issues / actors (multilateral REDD+ initiatives, initiatives of important donor countries).

The evaluation team held meetings with project management and coordination staff at Rainforest Foundation Norway's headquarters in Oslo, met with local partners in Indonesia through participation as an observer at the Indonesia project partners meeting in Jakarta, held a second meeting with the RFN's Indonesia lead in Jakarta and met with project partners in DRC.

### **Rights and Resources Initiative**

The Rights and Resources Initiative (RRI) is a coalition of international, regional and community organisations engaged in development, research and conservation focused on land and forest policy reforms. The RRI headquarters are in Washington DC.

The RRI has received two grants through the Civil Society Support Scheme:

Grant 1: NOK 6,800,000 2009-2010; and

Grant 2: NOK 25,800,000 2010-2013 based on NOK 8,600,000 per year for the project "Supporting Effective Investments and Interventions in Climate Change Mitigation in Forest Areas while Promoting Rights and Development."

The project aims to strengthen and complement existing REDD+ initiatives by informing the design and implementation of just, credible and effective forest-climate policies and REDD programs, and by piloting strategic projects in key REDD+ countries to strengthen forest tenure, forest governance and local peoples engagement in program and policy development through: country level activities; analysis and monitoring of REDD+ programme design and implementation; global platforms for independent civil society advice on REDD+ and learning, outreach and communications. The project is active in many countries, including Cameroon, Ghana, Indonesia and Nepal.

The evaluation team met with project coordinators in Washington DC and with local partners in Indonesia.

### **Samdhana Institute**

The Samdhana Institute is a non-profit organisation with a regional office in the Philippines and an office based in Bogor, Indonesia. It is a network of conservationists, development practitioners, and human rights activists that focus on leadership development, natural resource conflict resolution and community-led natural resource management.

The Samdhana Institute has received two grants through the Civil Society Support Scheme. These have been used to support preparedness and engagement of indigenous peoples, local communities, community based

organisations and local non-governmental organisations in REDD+ policy development and pilot projects in Indonesia. A small grants facility for small non-governmental organisations and community based organisations has been established, technical support and training / mentoring activities for these groups are also undertaken.

Grant 1: NOK 3,000,000. 2009 - 2010 for the project “Increasing Community Preparedness for Risks and Opportunities Related to Climate Change Mitigation /REDD+ in Indonesia”.

Grant 2: NOK 10,500,000, 2010-2013 for the project “Supporting preparedness and engagement of indigenous peoples, local communities, community based organisations and local NGOs in REDD+ policy development and pilot projects in Indonesia”.

The evaluation team met with project management / co-ordination staff in Bogor.

### **Tebtebba**

Tebtebba, the Indigenous Peoples’ International Centre for Policy Research and Education, is a non-governmental indigenous peoples’ organisation based in the Philippines that works to raise awareness of indigenous peoples’ situations, world views, rights and perspective on development, well-being and sustainability.

Tebtebba has been supported through two Civil Society Support Scheme grants to undertake activities related to indigenous peoples and REDD+ at the international level and in many countries including: Cameroon, Indonesia, Kenya, Nepal, Nicaragua, Peru, Philippines and Vietnam.

Grant 1: NOK 6,000,000. 2009-2010 for the project “Ensuring the effective participation of indigenous peoples in global and national REDD+ processes”.

Grant 2: NOK 19,730,760, 2010-2013 for the project “Ensuring rights protection, enhancing effective participation of, and securing fair benefits for indigenous peoples in REDD+ policies and programmes”.

The evaluation team interviewed local / implementing partners and in Cameroon and Peru.

### **Transparency International**

Transparency International (TI) is an anti-corruption focused, non-governmental organisation with international headquarters in Berlin, Germany, and a network of National Chapters established worldwide.

The TI project “Civil Society Capacity Building for Preventive Anti-Corruption Measures in Reducing Emission through Deforestation and Degradation Mechanisms (PAC REDD)” has been supported through the Civil Society Support Scheme through one grant of NOK 11,993,442, 2010-2013. The PAC

REDD project works on REDD+ transparency initiatives with forestry related government agencies, the private sector and civil society, and builds the capacity of civil society to monitor the integrity of REDD+ implementation. The project is active in Indonesia, Papua New Guinea and Vietnam.

The evaluation team held a phone interview with project management and co-ordination staff in Berlin and visited members of the Indonesia National Chapter in Jakarta that are involved in project implementation.

### **The Nature Conservancy**

The Nature Conservancy (TNC) is an international, conservation focused, non-governmental organisation based in Arlington, VA, United States. The organisation has received two grants from the Civil Society Support Scheme and undertakes research on technical REDD+ issues, demonstration project implementation and capacity building of stakeholders. The project functions at the international level, in the Amazon region, in Bolivia, Indonesia and Papua New Guinea.

Grant 1: NOK 5,000,000, 2009-2010 for the project “Developing an effective international REDD mechanism: Addressing implementation, science, and policy challenges”. This project sought to test and demonstrate REDD+ implementation in Indonesia, analyse and resolve technical issues related to degradation that affect REDD+ policy design, address critical policy challenges and build capacity of key stakeholders to participate in REDD+.

Grant 2: NOK 12,000,000 (NOK 4,000,000 per annum) 2010-2013 for the project “Community involvement and Benefit Sharing in REDD+ Programme Development”, which aimed to “advance local experience with, and global understanding of, successfully involving local and indigenous peoples in Reducing green house gas Emissions from Deforestation and forest Degradation in developing countries.

The evaluation team interviewed project management and coordination staff in TNC headquarters in the United States and visited the demonstration project in Indonesia, interviewing national project implementation staff, local partners and other local stakeholders of the project.

### **World Resources Institute**

The World Resources Institute (WRI) is a global, non-profit think-tank focused on policy research and analysis related to global environmental resources and issues, with headquarters in Washington DC.

WRI has received two grants from the Civil Society Support Scheme in support of their “Making REDD Work for the People and Planet” project. This project is part of WRI’s “Governance of Forests Initiative”(GFI), which aims to support and strengthen the institutions entrusted with the management and restoration of forests in the context of reducing emissions from deforestation and forest degradation (REDD) in developing countries.

The Civil Society Support Scheme funded work contributes at the international policy level through activities focused on the UNFCCC, FCPF, the US Lacey Act and the E.U. FLEGT programme. At the national level, various scoping and trialling exercises have been undertaken in Brazil, Cameroon, Guyana and Indonesia.

Grant 1: NOK 4,500,000, 2009-2010 for the GFI project “: A Civil Society Assessment of the Governance of Forests”,

Grant 2: NOK 15,300,000, 2010 – 2013 for the GFI project “Making REDD Work for People and the Planet: Improving the Governance of Forests”.

The Evaluation team interviewed project management and co-ordination staff at WRI headquarters and met with project partners in Cameroon and Indonesia.

### **World Wide Fund for Nature**

The World Wide Fund for Nature (WWF International) is a conservation focused, US based, international not for profit organisation. WWF International has received two grants from the Civil Society Support Scheme for early action activities focused on sustainable management of high carbon forest ecosystems through effective engagement of forest dependent communities and civil society and landscape scale land use planning.

Grant 1: NOK 11,000,000, 2009-2010 for the project “Engaging civil society in REDD: Tools, methodologies and capacity building to reduce emissions from forest loss and forest degradation” with activities in Indonesia, Congo basin, Guyana and Peru.

Grant 2: NOK 33,000,000, 2010 – 2013 for the project “REDD for People and Nature”, active in DRC, Indonesia and Peru

The evaluation team interviewed project management and coordination staff from WWF International and WWF Canada at WWF International headquarters in Washington DC, interviewed the director of WWF Indonesia in Jakarta, visited field projects in DRC, Indonesia and Peru, interviewed field implementation staff and project partners in DRC, Indonesia and Peru.



## Annex 3 – Examples of Strategic and non-Strategic Portfolio Management

The Darwin Initiative provides support to help countries rich in biodiversity but poor in resources and capacity to meet their obligations under CBD (plus CITES and CMS). Projects have a UK-based partner and partners in one or more developing countries. The application process is two-staged but there are no specific themes for each round of applications. Projects can cover marine, freshwater and terrestrial ecosystems but there is no target for the balance between these or in respect of partner countries, other than ensuring that UK Dependent Territories are included. Projects are judged by an advisory committee made up of experts in various relevant fields. Scientific merit is the sole criterion by which projects are judged and selected.

Many Darwin projects have achieved substantial scientific success but the impact is often more limited. In recent years, livelihood aspects have been included in the requirements for proposals to address but the size of the projects (around US\$ 400,000 over three years) limits the breadth of what can be done. Furthermore, as the proponents are often scientific research institutions, their knowledge of and ability to promote livelihood issues is at times restricted.

Darwin projects provide annual and final reports with brief interim half-yearly reports. Previously, these reports were reviewed by an external advisory group which selected reviewers on the basis of their scientific expertise and country experience. For some years, new projects were also screened and advice given on tightening up the structure of the logical framework and on monitoring and reporting systems that devolved from these. This system has currently been suspended due to shortage of funds.

The outsourced monitoring and evaluation contract included requirements for field based mid-term reviews and ex-post evaluations, as well as thematic and geographical reviews of current and closed projects. These reviews and project reports are all available on the website (<http://darwin.defra.gov.uk/>). A number of thematic evaluations for Darwin concluded that a strategic approach would have given more impact; indeed, the general finding from the review of the projects was that while there was a great deal of good science, the impact of isolated projects was generally much less than when there was a concentration in one country or linked together in a coherent theme.

The DFID FRP was highly strategic and designed to support DFID interventions in forestry. It was guided by a steering panel comprised of DFID advisers and a group of highly experienced subject-matter specialists. This panel discussed and

agreed the themes for each round of applications, normally only one or two themes for each annual round. The application process was a two-stage one. The panel was involved in the selection of concept notes and defining the outlines for the subsequent full proposal.

The full proposals were then developed by the partners with guidance and inputs from the programme management team. One innovation of the programme was that it provided funding for representatives from the partners to meet together physically and develop the final proposal, ensuring that all partners were engaged in this process. All FRP projects had to include two southern partner countries in addition to their developed country partner.

In addition to programme-level strategic planning, during project delivery, the FRP programme management team was actively engaged in discussion with the projects and also provided advice and backstopping. The programme itself also oversaw the preparation of publications including a range of professionally drafted policy briefs on project completion. All reports and publications were hosted on the programme website.

The programme management team also undertook strategic planning for the programme as a whole. This resulted in a portfolio that was of direct assistance to the delivery of DFID-funded forestry programmes. Some of the overall funding was retained and used to commission studies, background papers and thematic reviews of the portfolio.

In essence, these two different approaches both lead to good projects but the more targeted support with strategic management leads to better focus, synergy and impact and increases the value for achieving specific purposes (such as the climate goals of NICFI) tends to be greater. This approach, however, requires full-time attention. FRP employed two professional staff, a full-time administrator and a full-time finance person. It also employed specific short-term expertise when needed and additional administrative staff at critical periods such as when applications came in.

Between 2009 and 2012, the Norad Civil Society Support Scheme allocated NOK 650 million to various projects; this is a very substantial portfolio to manage. Compared with similar schemes of which the evaluation team members have experience, the level of resources allocated to programme management is low and this limits the capacity for more active engagement.

It is not very easy to compare the outcomes and impact of FRP and Darwin Initiative because both encompass many different projects and included examples of excellent and limited impact. It is nonetheless possible to draw the conclusion that the strategic approach adopted by FRP generally led to outcomes that were more directly relevant for the funding organisation which had specific aims in certain countries. Darwin did not set out to do this, preferring to try and deliver more general, high quality support for CBD.

The two programmes provide an analogy for the approach to the CSSS. If the desired end-point is a portfolio that addresses specific themes in a limited range of partner countries, then the managed programme approach like that of FRP is likely to be more effective. If the end-point is to support civil society more generally within the broad field of REDD+, then a more distant management style, such as that generally used by Norad CSD, is appropriate. NICFI Secretariat and Norad CSD have had experience of the less-engaged management approach which has characterised previous application rounds with the selection panel (which also included MFA) making adjustments and decisions on which projects to support on a case-by-case basis, with each partner having a preferred list and negotiation over the final suite of projects making up the portfolio.

The call for proposals 2013 – 2015, states the three main climate objectives of the initiative and notes that the scheme is intended to be both integrated and strategic. The first section also clearly states the requirement for proposals to be consistent with and supportive of the overarching goals of Norwegian development policy, the promotion of sustainable development and poverty reduction.

This call further identifies four thematic priority areas under which proponents are invited to submit concept notes. All four of these thematic areas (Sustainable landscapes; REDD+ relevant commodity supply chains; Analysis, concept and methodology development that contributes to planning and implementation of REDD+; and Creating global consensus on REDD+) relate to the wider operating environment of REDD+ and link with increased understanding of the underlying drivers of deforestation and degradation as well as the recent conceptual changes setting REDD+ more clearly within the wider land-use framework.

The call also stresses the desirability of working within one of Norway's major REDD+ partner countries, noting that proposals that do this will be prioritised. The general requirements emphasise the need for proposals to be aligned with national REDD+ policies and programmes when relevant. In addition, partnerships with relevant national stakeholders are specifically noted as valuable together with a requirement to consider and include as relevant, issues that relate to the key themes in Norway's development policy. The call for proposals as written appears to clearly anticipate a strategic approach to the scheme. Given its aims, this seems to be appropriate.

The Rules for Climate and Forest Funding to Civil Society, which were approved on 24 April 2012, relate to Chapter 166.73 of the regulations on financial management in the central government. The Rules are helpful in defining eligibility, the allocation criteria and the main contractual obligations of grantees. Section 4 of the Rules notes that, "funding decisions will include assessment of the organisation submitting the proposal as well as the proposal itself." It is also noted that the assessment will include both the relevance of the proposal itself

and its significance, or coherence, with the overall portfolio. These decision criteria are consistent with strategic portfolio management.

What is less clear in the Rules is, having noted that the scheme is to support the climate goal of the initiative, the need for redefinition of the objectives as “specific goals of the funding scheme for civil society.” The three stated goals are not inconsistent with the climate goals of the initiative: the first one is a re-expression of the first of the climate goals; the second is largely a generic one relating to knowledge and innovative solutions; the third focuses specifically on the participation of indigenous peoples and forest dependent communities. Given the information in the call for proposals, which includes details of Norway’s general development policy as well as the four thematic areas, this restatement of the objectives of the scheme may be unduly restricting and potentially confusing to applicants.

The approach adopted in the call for proposals is notably innovative and strategic and encourages proposals that relate to the wider operating environment of REDD+. The restatement of objectives in the Rules appears to limit this and to encourage proponents to refocus on the highly specific issues around forest dependent communities. From the outset, REDD and REDD+ were identified as dual mechanisms that linked reduced forest loss with development funding leading to enhanced protection and improved management. There is major effort from a range of donors to emphasise work on the drivers and securing better understanding of the wider issues and to move REDD+ beyond the narrow confines of forestry. While the call for proposal is well-congruent with these ideas, the Rules appear to be somewhat regressive in this respect.

One aim in a strategic call for proposals should be to encourage new and innovative ideas, as indeed is noted in the second specific goal of the Rules. Provided that the overall aims are clear, it is useful to encourage as wide a variety of ideas as possible. In order to do this, it is preferable to leave as much scope as possible for proponents to develop and suggest ideas and concepts that are congruent with the aims of the funding scheme.

Managing a strategic portfolio is usually done with a dedicated management team. The level of interaction required suggests that it would be hard to accomplish using the current system wherein projects are split among Norad desk officers, who have many other calls on their time and in some cases been subjected to transfers on a short time scale.

## Annex 4 – List of People Met

Organisation	First Name	Surname	Interviewee type	Country
<b>Norwegian Government</b>				
Minister of Environment and International Development	Erik	Solheim	Stakeholder	Norway
Ministry of Environment/ NICFI Secretariat	Leif -John	Fosse (hearing panel)	Stakeholder	Norway
Ministry of Environment/ NICFI Secretariat	Per Fredrik	Pharo	Stakeholder	Norway
Ministry of Environment/ NICFI Secretariat	Gry Asp	Solstad	Stakeholder	Norway
Ministry of Environment/ NICFI Secretariat	Andreas	Tveteraas	Stakeholder	Norway
Ministry of Foreign Affairs	Jon	Heikki Åas	Stakeholder	Norway
Ministry of Foreign Affairs	Per	Mogstad (hearing panel)	Stakeholder	Norway
Ministry of Foreign Affairs	Monica	Svenskerud	Stakeholder	Norway
Norad Department of Climate, Environment and Natural Resources Development	Ivar	Jørgensen	Stakeholder	Norway
Norad Department of Climate, Environment and Natural Resources Development	Leif	Tore Trædal (hearing panel)	Stakeholder	Norway
Norad/Civil Society Department (SIVSA)	Elisabeth	Forseth	Stakeholder	Norway
Norad/Civil Society Department (SIVSA)	Terje	Vigtel	Stakeholder	Norway
Norad/Civil Society Department (SIVSA)	Ingrid	Buli	Stakeholder	Norway
Norad/Civil Society Department (SIVSA)	Vidgis	Halvorsen	Stakeholder	Norway
Norad/Civil Society Department (SIVSA)	Astrid	Lervag	Stakeholder	Norway
Norad/Civil Society Department (SIVSA)	Kjersti	Lindoe	Stakeholder	Norway
Norad/Civil Society Department (SIVSA)	Gunvor	Skanche	Stakeholder	Norway
<b>Norway, non-government</b>				
Rainforest Foundation Norway	Lars	Løvold	Grant recipient	Norway
Rainforest Foundation Norway	Vemund	Olsen	Grant recipient	Norway

Organisation	First Name	Surname	Interviewee type	Country
Rainforest Foundation Norway	Anja	Lillegraven	Grant recipient	Norway / Indonesia
Rainforest Foundation Norway	Anne	Martinussen	Grant recipient	Norway / Indonesia
Rainforest Foundation Norway	Neni	Indriati	Grant recipient	Norway / Indonesia
<b>Cameroon</b>				
ASB-ICRAF	Zac	Tchoundjeu	Grant recipient	Cameroon
CAM-ECO	Joseph	Désiré	Partner - WRI	Cameroon
CAM-ECO	Jean	Inanga	Partner - WRI	Cameroon
CAM-ECO	Martin	Ziem	Partner - WRI	Cameroon
CED	Samuel	Nnah	Partner - FPP	Cameroon
CIFOR	Abdon	Awono	Grant recipient	Cameroon
CIFOR	Njyou	Mama Moustapha	Grant recipient	Cameroon
FPP	Emmanuel	Freudenthal	Grant recipient	Cameroon
IUCN	George	Akwah Neba	Grant recipient	Cameroon
MINFOF	Haman	Adama	Stakeholder	Cameroon
OKANI	Venant	Messe	Partner - FPP	Cameroon
Réseau de sociétés civiles communautaires	Jean	Abbé	Partner	Cameroon
<b>DRC</b>				
DGPA			Partner - Tebtebba	DRC
GTCR	Félicien	Kabamba	Partner - RFN	DRC
GTCR	Roger	Mutchuba	Partner - RFN	DRC
National REDD+ Coordination	Kanu	Mbizi	Stakeholder	DRC
Royal Norwegian Embassy	Jostein	Lindland	Stakeholder	DRC
Sustainable Development Department	Vincent	Kasulu	Stakeholder	DRC
WWF	Flory	Botamba	Grant recipient	DRC
WWF	Lumbuenamu		Grant recipient	DRC
WWF	Bruno	Perodeau	Grant recipient	DRC
<b>Indonesia</b>				
AMAN	Abdon	Nababan	Partner - RFN, WRI, RRI	Indonesia
AMAN	Rheinhard		Partner - RFN, WRI, RRI	Indonesia
AMAN	Mina	Setra	Partner - RFN, WRI, RRI	Indonesia
AMAN	Simpun	Simpurna	Partner - Samdhana	Indonesia
Ausaid / IAFCP	Timothy	Jessop	Stakeholder	Indonesia

Organisation	First Name	Surname	Interviewee type	Country
Ausaid / IAFCP	Grahame	Applegate	Stakeholder	Indonesia
Ausaid / IAFCP	Rachael	Diprose	Stakeholder	Indonesia
Berau Forest Carbon Programme Working Group (Pokja) - Secretariat	Astari (Yakobi)	Fadori	Partner - TNC/ Stakeholder	Indonesia
Berau Forest Carbon Programme Working Group (Pokja) - Secretariat	Fajri		Partner - TNC/ Stakeholder	Indonesia
Berau Ministry of Environment	Hari	Sopyan	Partner - TNC/ Stakeholder	Indonesia
Carbon Environmental Research (CER)	Delon	Marthinus	Partner - CCAP	Indonesia
Carbon Environmental Research (CER)	Muhammad	Ridwan	Partner - CCAP	Indonesia
Carbon Environmental Research (CER)	Ari	Suharto	Partner - CCAP	Indonesia
CIFOR	William	Sunderlin	Grant recipient	Indonesia
CIFOR	Dian	Augusta	Grant recipient	Indonesia
CIFOR	Maria	Brockhaus	Grant recipient	Indonesia
CIFOR	Daniel	Mudiarso	Grant recipient	Indonesia
CIFOR	Louis	Verchot	Grant recipient	Indonesia
Clinton Climate Initiative	Stepi	Hakim	Grant recipient	Indonesia
District Forestry Office, Berau	Mashadi		Partner - TNC/ Stakeholder	Indonesia
District Forestry Office, Kutai Barat	Yustinus	Yordanus Dani	Partner - WWF	Indonesia
District Forestry Office, Tanjabar	Erwin	Dri Handoyo	Partner - ICRAF/ Stakeholder	Indonesia
District Planning Office, Kutai Barat	Fincet	Aritodang	Partner - WWF	Indonesia
District Planning Office, Tanjabar	Ahmed	Palloge	Partner - ICRAF/ Stakeholder	Indonesia
East Kalimantan REDD+ working group	Dyah	Catur	Partner - WWF	Indonesia
EU-FLEGT	Andy	Roby	Stakeholder	Indonesia
FPP	Patrick	Anderson	Partner - RRI/Grant recipient	Indonesia
HuMa	Andiko		Partner - RFN, RRI	Indonesia
HuMa	Bernadinus	Steni	Partner - RFN, RRI	Indonesia
HuMa	Usi		Partner - RFN, RRI	Indonesia

Organisation	First Name	Surname	Interviewee type	Country
ICEL	Yustisia	Rahman	Partner - WRI, CIFOR	Indonesia
ICEL	Giorgio	Budi Indrarto	Partner - WRI, CIFOR	Indonesia
ICRAF	Meine	van Noordwijk	Grant recipient	Indonesia
ICRAF	Atiek	Widayati	Grant recipient	Indonesia
Kanopi		Ibrahim	Partner - TNC	Indonesia
Kemitraan	Avi	Mahaningtyas	Stakeholder	Indonesia
KOMDA REDD+ Central Kalimantan (province secretary)	Siun	Jarias	Stakeholder	Indonesia
Menapak	Ponidi	Maruan	Partner - TNC	Indonesia
Menapak	Yayan	Suhardiono	Partner - TNC	Indonesia
Ministry of Forestry	Agus	Sarsito	Partner - Clinton/ Stakeholder	Indonesia
National Council on Climate Change	Agus	Purnomo	Stakeholder	Indonesia
Penarung village		Head of village, customary chief and 7 community representatives	Stakeholder	Indonesia
Prakarsa Borneo	Rahmina		Partner - WWF	Indonesia
Pusaka	Emil	Kleden	Partner - FPP	Indonesia
Royal Norwegian Embassy Jakarta	Hege	Ragnhildstveit	Stakeholder	Indonesia
Royal Norwegian Embassy Jakarta	Joar	Strand	Stakeholder	Indonesia
Samdhana	Marisa	Kamili	Partner - RRI/Grant recipient	Indonesia
Samdhana	Ita	Natalia	Partner - RRI/Grant recipient	Indonesia
Samdhana	Gamal	Pasya	Partner - RRI/Grant recipient	Indonesia
Samdhana	Neni	Rochaeni	Partner - RRI/Grant recipient	Indonesia
Samdhana	Pete	Wood	Partner - RRI/Grant recipient	Indonesia
TNC - Berau	Herlina	Hertanto	Grant recipient	Indonesia
TNC - Berau	Zahari	Heru	Grant recipient	Indonesia
TNC - Berau	Tommy	Uganto	Grant recipient	Indonesia
Transparency International Indonesia Chapter	Mamik	Hayati	Grant recipient	Indonesia



Organisation	First Name	Surname	Interviewee type	Country
Transparency International Indonesia Chapter	Temek	Masduki	Grant recipient	Indonesia
UKP4	Heru	Prasetyu	Stakeholder	Indonesia
UN-Orcid REDD+ Coordination Office Central Kalimantan	Dewi	Elyana	Stakeholder	Indonesia
UN-REDD	Tomoyki	Uno	Stakeholder	Indonesia
UN-REDD	Keiko	Nomuru	Stakeholder	Indonesia
Walhi KalTeng (Central Kalimantan)	Arie	Rompas	Partner - RFN	Indonesia
Warsi	Hidayat	Rakhmat	Partner - RFN	Indonesia
Working Group of REDD+ Katingan District		Hendri N.	Stakeholder	Indonesia
Working Group of REDD+ Katingan District/POKKER SHK	Edy (+ secretary)	Subahani	Stakeholder	Indonesia
WRI	Moray	McLeish	Grant recipient	Indonesia
WWF Indonesia	Nyoman	Iswarayoga	Grant recipient	Indonesia
WWF Indonesia	Arif	Data	Grant recipient	Indonesia
WWF Indonesia	Wiwin	Effendy		Indonesia
WWF Indonesia	Zulfira	Warta	Grant recipient	Indonesia
Yayasan Petak Danum	Ihwan	Asmuri		Indonesia
Yayasan Petak Danum	Dewi	Ek Sinta	Grant recipient	Indonesia
Yayasan Petak Danum		Martianus	Partner - Samdhana	Indonesia
Yayasan Petak Danum	Arif	Muliadi	Partner - Samdhana	Indonesia
Yayasan Petak Danum	Ariana	Suciati	Partner - Samdhana	Indonesia
<b>Peru</b>				
ACCA - Director	Agusto	Mulanovich	Partner - WWF	Peru
ACCA - Project coordinator	Karen	Eckhardt	Partner - ACA	Peru
AFIMAD - President	Martin	Huaypuna	Partner - WWF	Peru
AIDSESEP - Technical Advisor	Roberto	Espinosa	Partner - EIA, FPP	Peru
AIDSESEP - Veedor Nacional	George		Partner - EIA	Peru
AIDSESEP - Vice President	Daizi	Zapata	Partner - EIA, FPP	Peru
Amazonicos por la Amazonia	Dolly	del Aguila	Partner - FT Katoomba	Peru
Amazonicos por la Amazonia	Norith	Lopez	Partner - FT Katoomba	Peru
Amazonicos por la Amazonia	Karina	Pinasco	Partner - FT Katoomba	Peru
Amazonicos por la Amazonia	Miguel	Tang	Partner - FT Katoomba	Peru
AMPA - Executive director	Miguel	Tang Tuesta	Partner - CI	Peru

Organisation	First Name	Surname	Interviewee type	Country
AMPA - Legal expert and territorial planning	Dolly Cristina	Arévalo	Partner - CI	Peru
AMPA - Policy and Projects	Karina	Pinasco Vela	Partner - CI	Peru
AMPA - Social specialist	Norith	López Sandoval	Partner - CI	Peru
APECO - Executive director	Silvia	Sánchez Huamán	Partner - CI	Peru
Bajo Naranjillo native community, Chief	Segundo Noe	Cahuaza Peas	Stakeholder	Peru
BAM - legal counselor and project developer	Claudia	Ochoa	Partner - CIFOR	Peru
BAM - project developer	Jorge	Torres	Partner - CIFOR	Peru
Carbon Decisions International, REDD baseline modeling	Juan Felipe	Villegas	Partner - ACA	Peru
Central Ashaninka del Rio Ene - Lawyer	Paula	Acevedo	Partner - FPP	Peru
Central Ashaninka del Río Ene - President	Ruth	Buendía	Partner - FPP	Peru
Chirapaq - Director	Tarcila	River	Partner - Tebtebba	Peru
CI - ES coordinator	Percy	Summers	Grant recipient	Peru
CI - Executive Director	Luis G.	Espinel	Grant recipient	Peru
CI - Project manager	Milagros	Sandoval	Grant recipient	Peru
CI - Project manager	Milagros	Sandoval	Partner - CIFOR	Peru
CI - Technical Manager	Claudio	Schneider	Grant recipient	Peru
CI - Technical Manager	Claudio	Schneider	Partner - CIFOR	Peru
CI - Territorial planning coordinator	Eddy	Mendonza	Grant recipient	Peru
CIFOR - Regional communications officer LA	Gabriela	Galindo	Grant recipient	Peru
CIFOR - Research Fellow	Mary	Menton	Grant recipient	Peru
CIFOR - Senior Scientist	Peter	Cronkleton	Grant recipient	Peru
Conservation International	Claudio	Schneider	Grant recipient	Peru (phone)
Coordinator of Moore Foundation project in Madre de Dios & Technical Advisor of the Mesa SAR of Madre de Dios	Piero	Rengifo	Partner - WWF	Peru
Coordinator of SPDA in Madre de Dios	Luisa	Rios	Partner - WWF	Peru
DAR (Derecho Ambiente y Recursos Naturales) - President	Hugo	Che Piu Deza	Partner - CIFOR	Peru
Ecoan - Project coordinator and manager	Efraín	Samochuallpa	Partner - ACA	Peru

Organisation	First Name	Surname	Interviewee type	Country
EcoREDD - Forest and Governance Program Officer	Braulio	Buendía Buendía	Partner - EIA	Peru
EIA - Forest and Climate Policy Adviser	Julia	Urrunaga	Grant recipient/ Partner - CIFOR	Peru
FECONAYA - education secretary	Victor	Huancho Jaquin	Partner -Tebtebba	Peru
FECONAYA - President	Jesus	Colina	Partner -Tebtebba	Peru
FEDAMAD - Technical Advisor	Julio	Pareja	Partner - WWF	Peru
Federation of Brazil Nut producers in Madre de Dios	Carlos	Moreno Fuller	Stakeholder	Peru
FERIAAM - Lawyer	Franklin	Enrique Izquierdo	Partner - CI	Peru
Foro Ecológico - Coordinator	Sandro	Escobar	Partner - EIA	Peru
FPP - Overall Project Coordinator	Tom	Griffiths	Grant recipient	Peru
Frankfurt Zoological society	Johny	Farfán F.	Partner - ACA	Peru
Government of San Martin - Head of Regional Environmental Authority	Sylvia	Reategui	Stakeholder	Peru
Government of San Martin - Secretary of REDD roundtable	Karla	Mendoza	Stakeholder	Peru
Grupo de Trabajo de la Sociedad Civil para la Interoceanica Sur - Coordinator	Juan Carlos	Florer	Partner - WWF	Peru
ICRAF - Former Peru Project Coordinator	Marcos	Rugnitz Tito	Grant recipient	Peru
ICRAF - Marketing Specialist (Interim Project Manager)	Jason	Donovan	Grant recipient	Peru
ICRAF - Project Coordinator	Claudia	Silva Aguad	Grant recipient	Peru
ICRAF Latin America - Regional Coordinator	Jonathan	Cornelius	Grant recipient	Peru
Indigenous Development Office of San Martin - Indigenous Technician	Víctor Antonio	Cachique	Stakeholder	Peru
Libelula - Environmental expert	Daniela	Freundt Montero	Partner - CIFOR	Peru
Libelula - Manager of eco-efficient businesses	Javier	Perla Álvarez	Partner - CIFOR	Peru
Manu National Park, Specialist	Nelson	Anaya Bellido	Partner - ACA	Peru
MINAG (Ministry of Agriculture) - Director of Forest and Fauna promotion	Rocio	Malleux Hernani	Stakeholder	Peru
MINAM - Chief of Department	Lucia	Ruiz Ostoic	Stakeholder	Peru

Organisation	First Name	Surname	Interviewee type	Country
MINAM - Director of the Department of Information and Forest and Fauna Control	Rafael	Ramírez Arroyo	Stakeholder	Peru
MINAM - Executive Coordinator for the National Program on Forest Conservation for the Mitigation of Climate Change	Elvira	GómezRvero	Stakeholder	Peru
MINAM - General Director of Climate Change, Desertification and Water Resources	Eduardo	Durand López-Hurtado	Stakeholder	Peru
MINAM - REDD+ expert	Kenneth	Peralta Nario	Stakeholder	Peru
MINAM (Ministry of Environment) - Vice-Minister of Strategic Development and Natural Resources	Gabriel	Quijandría Acosta	Stakeholder	Peru
MSAR - Manager of Natural Resources and Chairman	Cesar	Huisa	Partner - WWF	Peru
Nature Services Peru	Frank	Hajek	Partner - ACA	Peru
Nature Services Peru	Max	Jamieson	Partner - ACA	Peru
Project Member	Nadesca	Pacaheo	Stakeholder	Peru
Regional Government of Cusco	José Israel	Aragón Romero	Partner - ACA	Peru
Regional Government of Madre de Dios - Asesor Presidente Regional	Freddy	Vracko	Stakeholder	Peru
RPAN - Coordinator	Gustavo	Solano	Partner - WWF	Peru
SPDA - Forest Program director	Jose Luis	Capella	Partner - CI	Peru
Universidad Nacional Amazónica de Madre de Dios - Project coordinator	Gabriel	Alarcon	Partner - WWF	Peru
Veeduría - Project Coordinator	Manuel	Buendía	Partner - EIA	Peru
WWF - Deputy director	Daniel	Arancibia	Partner - CIFOR	Peru
WWF - Deputy Director	Daniel	Arancibia	Grant recipient	Peru
WWF - Environmental Policies Officer	Carlos	Soria	Grant recipient	Peru
WWF - Forest Carbon Officer	María	Arroyo	Grant recipient	Peru
WWF - Regional Representative Southern Amazon/Southern Cone	Patricia	León	Grant recipient	Peru
<b>Germany, UK, USA</b>				
Transparency International Secretariat, Berlin	Claire	Martin	Grant recipient	Germany (by telephone)
Transparency International Secretariat, Berlin	Lisa	Eldges	Grant recipient	Germany (by telephone)

Organisation	First Name	Surname	Interviewee type	Country
Transparency International Secretariat, Berlin	Ronald	Fisher	Grant recipient	Germany (by telephone)
Clinton Climate Initiative	Stephen	Devenish	Grant recipient	UK
EIA – Indonesia team	Tomasz	Johnson	Grant recipient	UK
EIA – Indonesia team	Jago	Wadley	Grant recipient	UK
Global Witness	Davyth	Stewart	Grant recipient	UK
Global Witness	Stacy	Taylor	Grant recipient	UK
Avoided Deforestation Partners	Jeff	Horowitz	Grant recipient	USA (Skype)
Center for Clean Air Policy	Diana	Movius	Grant recipient	USA
Conservation International	Fred	Blotz	Grant recipient	USA
Conservation International	Steven	Panfil	Grant recipient	USA
Conservation International	Lilian	Spijkerman	Grant recipient	USA
Environmental Investigation Agency	Amanda	Johnson	Grant recipient	USA
Environmental Investigation Agency	Fiona	Mulligan	Grant recipient	USA
Forest Trends and Katoomba Group	Kerstin	Canby	Grant recipient	USA
Forest Trends and Katoomba Group	Michael	Jenkins	Grant recipient	USA
Global Environmental Facility	Ian	Gray	External	USA
Rights and Resources Initiative	Augusta	Molnar	Grant recipient	USA
Rights and Resources Initiative	Andy	White	Grant recipient	USA
The Nature Conservancy	Jill	Blockhus	Grant recipient	USA
World Bank	Tuukka	Castrén	External	USA
World Bank	Peter	Deweese	External	USA
World Bank	Gerhard	Dieterle	External	USA
World Bank	Nalin	Kishor	External	USA
World Resources Institute	Florence	Daviet	Grant recipient	USA
World Resources Institute	Chrystal	Davis	Grant recipient	USA
World Resources Institute	Elsie	Whited	Grant recipient	USA
Worldwide Fund for Nature - US	Naikoa	Aguilar-Amachastegu	Grant recipient	USA
Worldwide Fund for Nature - US	Bruce	Cabarle	Grant recipient	USA
Worldwide Fund for Nature - US	Elaine	Pura	Grant recipient	Vancouver based

**Indonesia, additional stakeholders and beneficiaries**

Farmer groups in the villages supported by Yayorin for Hkm (community forestry)

Yudi Hermawan

Linggang Melapeh village (Head of village and 7 community representatives and officials)

Village of Nkolenyeng

**Clinton Project Partners' Meeting**

POKKER SHK, Bioma, Starling Resource, RMU, Rimba Raya, Yayasan Puter, FFI Kalbar, KABAN Foundation, University of Palangkaraya, LEI, RHOI Kaltim, Yayasan Kaliandra, and Yayorin

**RFN Partners**

Regional REDD+ Workshop for IP and Local Communities

Yahi Papua

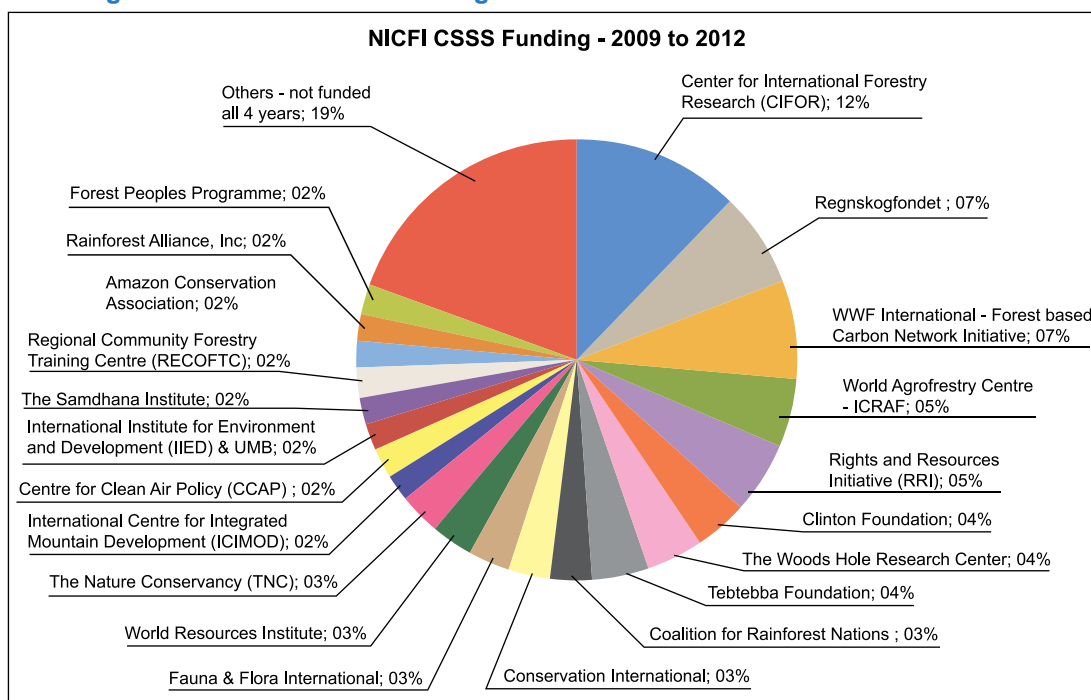
YMP Sulteng

**Samdhana Partner**

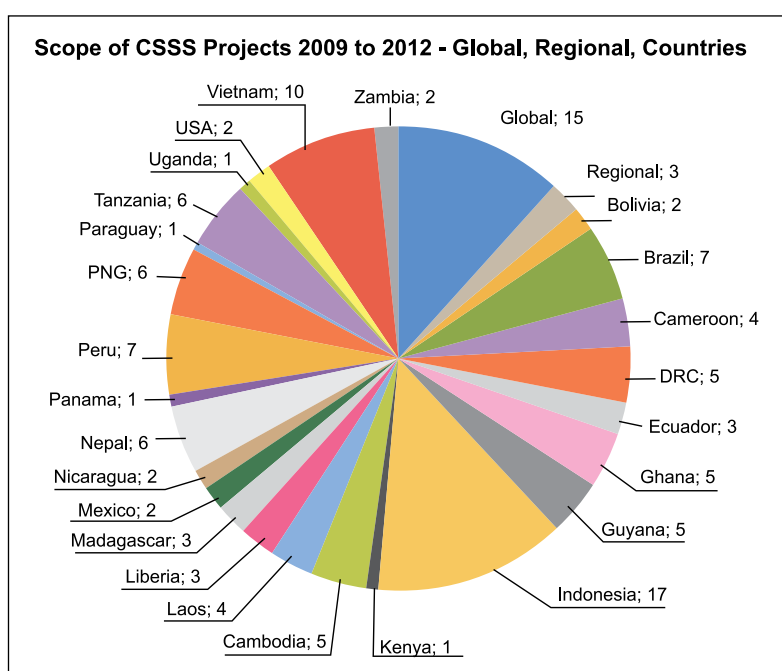
PPSDAK Pancur Kasih

## Annex 5 – Projects in the Portfolio

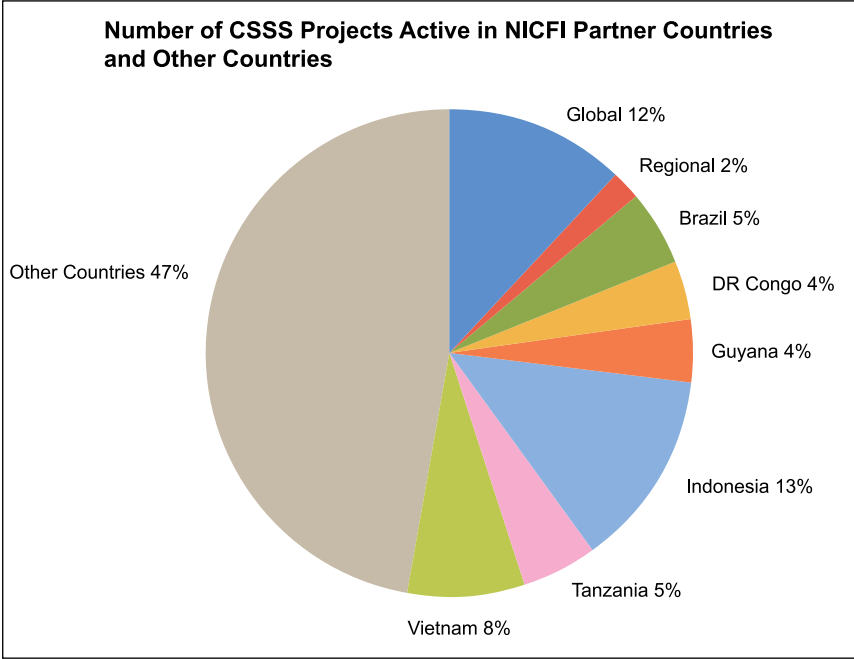
**Figure 10 NICFI CSSS Funding - 2009 to 2012**



**Figure 11 Scope of CSSS Projects 2009 to 2012 - Global, Regional, Countries**



**Figure 12** Number of CSSS Projects Active in NICFI Partner Countries and Other Countries





**Table – Project Funding – in Descending Size of Total Funding**

CFI funding, civil society 2009 and 2010 (NOK 1000)							
Grant recipient	2009:	2010:	2011:	2012:	Total	%	Cum%
Center for International Forestry Research (CIFOR)	20,000	20,000	20,000	20,000	80,000	12.3%	12.3%
Regnskogfondet	9,700	13,000	13,000	13,000	48,700	7.5%	19.8%
WWF International - Forest based Carbon Network Initiative	11,000	11,000	11,000	11,000	44,000	6.8%	26.5%
World Agroforestry Centre - ICRAF	6,900	9,000	9,000	9,000	33,900	5.2%	31.8%
Rights and Resources Initiative (RRI)	6,800	8,600	8,600	8,600	32,600	5.0%	36.8%
Clinton Foundation	6,900	6,800	6,700	6,500	26,900	4.1%	40.9%
The Woods Hole Research Center	8,000	6,000	6,000	6,000	26,000	4.0%	44.9%
Tebtebba Foundation	6,000	6,770	6,650	6,311	25,731	4.0%	48.9%
Coalition for Rainforest Nations	3,500	6,000	6,000	6,000	21,500	3.3%	52.2%
Conservation International	2,800	6,800	6,000	5,500	21,100	3.2%	55.4%
Fauna & Flora International	7,000	4,000	5,000	5,000	21,000	3.2%	58.6%
World Resources Institute	4,500	5,100	5,100	5,100	19,800	3.0%	61.7%
The Nature Conservancy (TNC)	5,000	4,000	4,000	4,000	17,000	2.6%	64.3%
International Centre for Integrated Mountain Development (ICIMOD)	4,000	3,500	3,490	3,280	14,270	2.2%	66.5%
Centre for Clean Air Policy (CCAP)	4,800	3,000	3,000	3,000	13,800	2.1%	68.6%
International Institute for Environment and Development (IIED) & UMB	1,500	5,000	5,000	2,300	13,800	2.1%	70.7%
The Samdhana Institute	3,000	3,500	3,500	3,500	13,500	2.1%	72.8%
Regional Community Forestry Training Centre (RECOFTC)	2,700	3,500	3,500	3,500	13,200	2.0%	74.8%
Amazon Conservation Association	3,000	3,500	3,500	2,900	12,900	2.0%	76.8%
Rainforest Alliance, Inc	3,500	3,000	3,000	3,000	12,500	1.9%	78.7%
Forest Peoples Programme	3,000	3,000	3,000	3,000	2,000	1.8%	80.6%

CFI funding, civil society 2009 and 2010 (NOK 1000)							
Grant recipient	2009:	2010:	2011:	2012:	Total	%	Cum%
<b>Projects below not funded all 4 years</b>						<b>19.4%</b>	
Transparency International		4,000	4,000	4,000	12,000	1.8%	82.4%
WWF-Madagascar		4,000	4,000	4,000	12,000	1.8%	84.3%
International Union for Conservation of Nature (IUCN)	6,900	3,500	-	-	10,400	1.6%	85.9%
Forest Trends & Katoomba Group	6,800	3,000	-	-	9,800	1.5%	87.4%
International Institute for Sustainable Development (IISD)	5,000	4,000	-	-	9,000	1.4%	88.8%
Environmental Investigation Agency	2,000	2,250	2,250	2,250	8,750	1.3%	90.1%
IWGIA International Work Group for Indigenous Peoples	4,000	1,500	1,500	1,500	8,500	1.3%	91.4%
Global Witness	2,400	3,000	3,000	-	8,400	1.3%	92.7%
Overseas Development Institute (ODI)	1,373	2,500	2,500	1,500	7,873	1.2%	93.9%
Meridian Institute	7,850				7,850	1.2%	95.1%
Center for International Policy (CIP) / Avoided Deforestation Partners (ADP)	3,500	4,000	-	-	7,500	1.2%	96.3%
Global Canopy Programme		2,800	1,300	1,300	5,400	0.8%	97.1%
Norges Naturvernforbund/ Regnskogsfondet	1,134	1,100	1,200	1,200	4,634	0.7%	97.8%
Foundation for People and Community Development (FPCD)	1,400	1,000	1,000	1,000	4,400	0.7%	98.5%
SUM - Centre for Development and Environment	700	700	700	700	2,800	0.4%	98.9%
Utviklingsfondet		2,500			2,500	0.4%	99.3%
Norsk Romsenter	1,500				1,500	0.2%	99.5%
WWF Norway	1,350				1,350	0.2%	99.7%
Snøball Film	1,150				1,150	0.2%	99.9%
FN-samandet UN Association of Norway UNA		311	-	-	311	0.0%	100.0%
Coordination seminar for the Indonesia actors (w/ Embassy in Jakarta)		187	-	-	187	0.0%	100.0%
<b>GRAND TOTAL</b>	<b>170,657</b>	<b>175,418</b>	<b>156,490</b>	<b>147,941</b>	<b>650,506</b>		

### Key to Shading

	Funded in all four years 2009 - 2012
	Funded 2010 – 2012 only
	Funded 2009 – 2011 only
	Funded 2009 and 2010 only
	Funded 2010 only
	Funded 2009 only

## Annex 6 – Points from Washington DC discussions on “REDD+ refocusing”

The points below summarise views and opinions gathered during informal discussions with key people in Washington. They do not represent definitive opinions and are provided for interest only. They are not and are not intended to be, a policy analysis.

### 1. Drivers of the change in thinking on REDD+:

- Despite on-going negotiations under the UNFCCC and major funding pledges to multilateral instruments for REDD+ (FCPF, FIP, UNFCCC) and bilaterally, by Norway and other donors, the delay and uncertainties regarding the post-Kyoto global climate regime has caused a situation where funding commitments for REDD+ are nowhere near the scale envisaged before Copenhagen. Regional compliance regimes (ETS, California) offer some hope, but are unlikely to significantly alter the situation. The voluntary carbon market is similarly affected, and has pretty much stagnated.
- Institutions and experts involved in REDD+ have come to realize that there has been a gross underestimation in what is required in terms of political will, commitment and institutional effort and capacity development for countries (especially the critical high forest cover/high deforestation and degradation ratio countries, and especially regarding governance) to achieve “REDD+ readiness,” i.e. the capacity to produce verifiable carbon emission reductions from reduced deforestation and forest degradation.
- The indigenous peoples’ rights issues - prominent especially in the high-forest countries - are also starting to create political controversy, and despite good efforts (e.g. the Dedicated Grant Mechanism in FIP) may lead to further bogging down of the readiness processes in drawn-out conflicts on land-rights.
- Despite of all the information on drivers, many R-PP’s seem to be very much forest sector focused and it is questionable whether they will be able to address the cross-sectoral causes of deforestation (mining, infrastructure, agro-industry, etc.) “REDD Cells” are also worryingly located in the Ministries of Environment and/or forestry/agriculture, with minimal influence on the other sectors (the same story as with the TFAP’s and NFP’s and other previous efforts to halt deforestation).

- Promoters of private REDD+ projects have also come to realise that developing viable projects is a much more complicated and time consuming process than they had initially been prepared for, and the future carbon based revenue streams may offer rather meagre pickings to offset these costs. The realisation that a REDD+ is not only about measuring and counting CO2 emissions, but about changing unsustainable land use patterns, and addressing drivers that are outside forests and forest sector, is increasingly important for project owners / developers.
- In the time period it will take (even in the best of cases) to get a global climate agreement in place (10+ years?), to establish the basis for a compliance market and a business logic for private REDD+ investment of sufficient scale, and to get countries “REDD+ ready”, many countries will have “slid down” on the deforestation curve to a point where there will be less to gain from reducing deforestation and degradation, and more to gain from restoration and rehabilitation of degraded areas.
- Related to the previous point, a recent study financed by PROFOR found out that there are globally about 2 billion hectares of degraded and lost forest lands that are suitable for restoration. Of those, about 1.5 billion hectares would be best-suited for mosaic restoration, in which forests and trees are combined with other land uses, including agroforestry, smallholder agriculture, and settlements. These are also the landscapes with a high potential impact on poverty reduction. These results were presented at Durban and resonate well with the Bank management as they have had recent experience from this type of lending operations (e.g. in China). <http://www.profor.info/profor/knowledge/assessing-potential-forest-landscape-restoration>
- Major global institutions, such as the World Bank and many large international environmental NGOs, have invested a lot of institutional effort and prestige in REDD+ and need to find a way to make it work. The World Bank is also starting to see REDD+ related grants as a potential way to make borrowing more attractive – not so much to the forest sector per se (which has been stagnated for the past 10 or so years, and has been mainly dependent on a few countries, such as China, India and Russia, which are “graduating” out of IBRD lending, IDA lending for the past 10 years has been negligible), but in the context of broader programmatic lending to land-use planning, land registration, rural development, climate smart agriculture, etc.).
- So the narrow focus on deforestation and degradation, and the over-optimism started by the Stern report is now starting to wear off, and the question in the forest community in the international institutions is: can a collapse - and consequent loss of reputation and finance for the sector - be avoided and REDD+ now recast into something that is more robust, holistic and in tune with the national development needs and requirements (and consequently also more realistic as a vehicle to promote borrowing from the Bank and other Multilateral Development Banks).

## 2. Features of the “recast” REDD+:

Where is REDD+ headed based on all this?

- Increased emphasis on Africa because of dependence on ODA for funding, meaning also clearer linkage with poverty reduction and agriculture, food security, etc. (MDG – link) but many African countries are struggling to make progress with REDD+.
- From an exclusive focus on high-forest & high deforestation countries towards countries with major land areas available for restoration type activities.
- Increasing focus on investments that make inherent sense such as improved land management, create a basis for better land governance, provide sustainable benefit streams to local populations from various commodity chains, not only forest based – with possible future carbon finance as an added income stream, but not critical to viability of investments.
- Back to basics – no silver bullet of exclusively climate-focused REDD+ projects: SFM; agroforestry systems; land-use planning and land registration; mosaic-type land-use involving agriculture, agroforestry, forestry plantations (commercial & outsourced), conservation of biodiversity, community development. This was the thesis of Reidar Persson of SIDA in the 1990's!
- Increasing focus on other commodity chains (soy, palm-oil, cattle, mining) impacting on forest conversion and increased attention to and use of degraded areas which could be “restored”.
- “Packaging” of REDD+ finance into larger investment programs for rural development / agricultural – agro-industry investments, and incorporating soil carbon on agricultural lands into the MRV systems (and developing much more robust and simple systems for crediting).
- Catchwords: landscape approaches & forest restoration & climate smart agriculture

### 3 Some additional points:

- In the 2011 review for the REDD+ Partnership, the majority of developing countries expressed great scepticism that REDD would still be around in 5 years. Many also commented that because they feared readiness funding would dry up, they were moving too quickly.
- It is not at all clear that there has been a realistic assessment of the viability of REDD+ for a number of countries, especially in Sub-Saharan Africa. Most of these countries will not be able to achieve reduction on a national basis for decades (and this is compounded by the poorly understood significant natural variation cycles in savannah woodlands).
- Furthermore, many poorer and aid-dependent countries have no real understanding of what is meant by “results-based payments” and have seldom been required to meet obligations to secure further funding.
- Because REDD+ is being largely driven from outside the sector, there is too much focus on the carbon flux and insufficient on the forest. Linked to this is the monitoring industry that has developed and is now a strong voice in perpetuating current approaches.
- Adding to the earlier point on the low level of funding coming through, a report from the recent REDD+ partnership meeting in London noted that there were also huge discrepancies between pledges and funds flowing, with an often pitiful proportion reaching the countries. .
- Comparing REDD+ with FLEGT, one major gap is the ability of countries to export VPA certified timber before illegal logging is fully eliminated whereas for REDD+, it is national level gains that have to be made. There is a German initiative called Rapid Early Movers that is designed to bridge this gap but it is hard to find information about it.
- The views coming out of the recent FAO forestry evaluation on REDD+ are in line with the views found in the DC interviews: REDD should be considered mainly as another environmental service instead of being stand-alone and the focus should be on achieving SFM. This view is also congruent with that of GEF, who see simple measurements such as UNFCCC Tier 1 combined with basic inventory and biodiversity survey as more than adequate.
- CDM largely failed to engage with forests and land use and was also captured by three countries: Brazil, China and India. One reason for this was the sheer complexity and the high transaction costs but there is no sign of REDD+ having learned from this.
- In the recent FAO-Finland evaluation it was suggested to make forest monitoring more sophisticated than “10% canopy cover” and determine the relative values compared with what would be expected without degradation. Countries could then be rewarded on the basis of progress towards such a

goal with much simpler monitoring, although the perverse incentive to destroy forest would need to be dealt with. This approach could also be used as a way of monitoring and rewarding protection and restoration, looking at forest cover, composition and delivery of environmental services holistically.



# Annex 7 – Report on Research Projects

## 1 Introduction

The intervention logic for supporting research on REDD+ can be slightly different from that of other projects supported under the CSSS. Research projects primarily produce new knowledge, rather than directly reducing emissions, or directly engaging in advocacy activities. This section provides discussion and evidence on the progress and impacts of the research element of the CSSS portfolio.

## 2 Research Projects Supported By the CSSS

There are four projects within the portfolio which are primarily focused on research activities: CIFOR *Global Comparative Study* (GCS), ICRAF *Architecture of REALU: Reducing Emissions from All Land Uses*, IIED and UMB *Poverty and Sustainable Development Impacts of REDD Architecture*, and the Meridian Institute's *REDD Options Assessment Analysis*.

It is important to note that a number of other projects also involve some research activities and outputs, e.g. the WRI governance indicators, and Transparency International's governance risk maps. The focus of this section is on the core research projects, with some discussion of wider research outputs and the communication of lessons learned.

## 3 Impact of Project Activities

### ***3.1 Research generally requires time to produce results and some research is still at an early or mid stage, but outputs are already being generated***

Component 2 of the CIFOR Global Comparative Study is using the “Before, After, Control, Intervention” (BACI) method to study REDD+ projects, and due to delays in the implementation of the projects studied, it may be some years before the “after” data are collected, and the results from the study are available. However, it should be noted that Component 2 has already produced a number of other outputs, such as five papers on land tenure, the BACI method itself (which has had 32,000 downloads), MRV capacity building for project developers, and an interactive map displaying all REDD projects.

Similarly the ICRAF REALU project is at a relatively early stage, with identified actions, such as the planting of latex/rubber trees for the demonstration project in Indonesia, still to be implemented. The research findings on the success of this demonstration project will only be available once the trees have reached maturity, and it is known whether there is a viable market for the latex/rubber product (approximately 7 to 8 years time). It is important to note that although such results will only be available in the future, the project has had interim outputs and impacts, such as building capacity for low carbon land use planning at the district level, and creating interest in REALU as a Nationally Appropriate Mitigation Action (NAMA) for Indonesia.

The IIED and UMB project has produced a number initial outputs, such as baseline reports, information on transaction costs, and lessons on benefit transfer approaches, but a number of aspects of the research will only yield results in the future, and possibly beyond the period funded by CSSS. For instance, the after surveys for the REDD+ projects which are being studied may not take place within the current project cycle.

One interviewee commented that often the generation of research results does not keep pace with the needs of policymakers, however, because the international negotiations on REDD+ are progressing slowly the research outputs from CSSS funded projects are largely keeping pace with policymakers' needs.

### ***3.2 There are a large number of research outputs which are actively communicated to target audiences, and these are highly likely to have an impact***

CIFOR's Global Comparative Study is producing a large number of outputs, covering topics such as the drivers of deforestation by country, MRV capacity and other challenges by country, methodologies for studying REDD projects, information on the importance of land tenure, and land use change emission factors. The research is actively communicated to target audiences through a wide variety of media including web sites, blogs, newsletters, peer reviewed publications, reports, traditional media (print and broadcast media), "knowledge" products such as a spreadsheet tool for negotiations on reference emission levels, and events such as Forest Day. Information is available on methods of communication (e.g. numbers of downloads, number of newsletter recipients etc), but there is limited information on the impact of the research outputs. However, the high quality of the research and the active communication programme mean that the impact is likely to be high.

The IIED/UMB project has communicated its findings through its in-country partners, who participate in the national REDD+ working groups in their respective countries. The research outputs are also communicated at the international level through events such as COP 17. Similar to CIFOR, there is information on the research outputs and the target audiences that are reached,

but there is limited information on the impact of the research (largely because it is difficult to measure or estimate the impact of research).

ICRAF also communicate their research approach and findings through a variety of channels, such as briefing papers, and side-events at the COP and SBSTA meetings. One example of communication through direct contact is with the Indonesian National Planning Agency, that is considering the REALU concept as a Nationally Appropriate Mitigation Action (NAMA). If REALU is adopted as a NAMA this would be a highly significant impact from the research project.

### ***3.3 There are several causal steps between research activities and impact on NICFI's climate and development objectives***

CIFOR Component 3 has developed a step-wise approach for forest carbon inventories, which is now being adopted. This research output is therefore having an impact in terms of the quality of national carbon accounting, but it is important to note that there may be several further causal steps before there is impact in terms NICFI's climate change objectives. For instance, improved national accounting may build confidence in the robustness of national crediting, and, as an additional causal step, this increased confidence may contribute to the inclusion of REDD in a post-2012 climate change regime.

Similarly, research on emission factors has shown the high carbon loss from the conversion of mangrove forest (CIFOR, Component 3), and this may result in new policies and actions to protect mangrove forests (thereby contributing to NICFI's objectives of conserving natural forests, or achieving verified emissions reductions). However, there are several further causal steps for this to happen, e.g. the research needs to be understood by policymakers or project developers, and new policies or projects need to be designed and implemented.

Similar examples of the indirect linkages between research outputs and NICFI's ultimate climate change objectives can be given for the other research projects too. The relative "indirectness" of research and its ultimate impact on achieving climate change objectives largely explains why it is difficult to assess the impact that research is having, and why research projects tend to have information on outputs, but limited information on impact. One exception to this is the Meridian Institute's options assessment report, which was directly targeted at informing the international negotiations on REDD+, and the impact is more easily observed.

### ***3.4 NICFI funding has been used to leverage further funding, build collaborative partnerships, and the research outputs can be used for further applications***

CIFOR has used the CSSS funding to leverage further funding from the EU. CIFOR also commented that the data and information which has been generated from the Global Comparative Study can also be utilised in further research projects, and knowledge products.

ICRAF are applying to the Cargill Foundation to extend the REALU demonstration project across Jambi province in Indonesia, and ICRAF is also looking at developing REALU as a NAMA, together with Indonesia's National Planning Agency.

The CSSS funding enabled IIED and UMB to work together for the first time, and UMB and the Tanzanian partner are collaborating in a further project.

### ***3.5 Policy focused research has been highly influential***

The Meridian Institute's REDD Options Assessment Report appears to have been highly influential and timely, and contributed to the adoption of the phased approach to REDD+. The influence of this project has been documented in a previous evaluation study, available at:

[http://www.regjeringen.no/upload/MD/2011/vedlegg/klima/klima\\_skogprosjektet/Evalueringsrapportene/Report\\_12\\_2010\\_Global\\_web.pdf](http://www.regjeringen.no/upload/MD/2011/vedlegg/klima/klima_skogprosjektet/Evalueringsrapportene/Report_12_2010_Global_web.pdf)

One interviewee commented that academic-focused research can be delayed by the peer-review process, and by academic partners being reluctant to publish material which may not meet academic standards. This can mean that information that would be useful and timely may not be made available to the audiences that need it. However, other interviewees commented that there is too much partisan or opinion-based research published on REDD+, and there is a need for more objective, scientific information. This view was also expressed by AUSAID.

### ***3.6 A possible gap in the research portfolio is a rapid-response research facility***

The head of Indonesia's Presidential Working Unit for Supervision and Management of Development (UKP4) commented that the Unit would like to be able to commission CIFOR to undertake rapid research projects, but CIFOR are not able to work at short notice as their resources are already committed to on-going research projects.

## **4 Operational Aspects**

### ***4.1 A number of the research proposals were not designed specifically to support NICFI's climate and development objectives***

CIFOR Global Comparative Study developed its research plan and presented it to a number of donors, rather than designing the research specifically in response to the call for proposals for the CSSS. However, it is important to note that the content of the research programme is strongly aligned with the NICFI's objectives. For example, the development of a reference emissions level tool for

negotiators should support the negotiations towards the inclusion of REDD+ in a post-2012 climate change regime.

ICRAF REALU concept was also developed prior to the CSSS call for proposals, with funding from the EU FP7 and the Packard Foundation. The project appears to be less directly aligned with NICFI's objectives, though the project may still be a highly important contribution to the debate on the nature of REDD+. The REALU concept may be perceived as opposed to REDD (and therefore not aligned to NICFI's objectives) as the concept is based on the premise that REDD is too narrow, and should be expanded to include emissions from all land uses. However, REALU may also offer a route for evolving REDD, and therefore the project supports the ultimate aim of reducing emissions from deforestation/degradation (alongside other land uses).

## 5 Monitoring and Evaluation

### *5.1 Monitoring and evaluation is generally focused on progress against workplans rather than on impacts*

ICRAF hold annual planning events, covering progress and discussion on new methods and tools. ICRAF/Partnership for the Tropical Forest Margins (ASB) has a global steering group with external members who also review progress and outputs.

The monitoring and evaluation process for the IIED/UMB project also involves measuring progress against the work programme, and there is no formal process for assessing the impacts of the project. A similar situation exists for CIFOR monitoring and evaluation.

As noted above, the linkages between outputs and impacts can be indirect and complex for research projects, and estimating impacts would be difficult and potentially resource intensive.

### *5.2 Assessment of quality is achieved through academic peer review*

The evaluation of quality is managed to a large extent through publication in peer reviewed journals. CIFOR has a policy of publishing research in peer reviewed journals before results are publicised more widely.

### *5.3 Limited formal base-lining by projects, but it appears that the scale of research funded through the CSSS is unique, and would not have occurred in the absence of the fund*

The projects did not establish baselines for evaluating the impact of their activities. The likely baseline for the CSSS-supported research projects is that similar research would still exist, but not at the scale achieved through CSSS funding. For example, the International Union for the Conservation of Nature

(IUCN) is undertaking similar work to Component 2 of CIFOR Global Comparative Study, however the IUCN is not working at the same scale. Similarly, other institutions are working on land use change emission factors for the tropics, but are not as comprehensive as the work undertaken by CIFOR Component 3. A key benefit of the breadth and scale of the Global Comparative Study is that it can draw conclusions about what works and what doesn't work in different circumstances and national settings, and this information would not be available in the absence of the project.

Similarly for ICRAF, the CSSS has allowed the REALU approach to be demonstrated in four countries, which increases the opportunity to obtain generalised lessons. It is unlikely these generalised lessons would be available in the absence of the CSSS.

## 6 Communicating Lessons Learned

### *6.1 Sovereignty can be an issue for determining whether research is accepted by national governments*

CIFOR commented that sovereignty and national ownership can be very important in Indonesia, and international research may not be accepted if it is perceived as external interference. CIFOR and ICRAF have close relationships with the Indonesian Government, and the issue of national ownership does not appear to be a problem for these institutions in Indonesia. However, the issue of sovereignty may be problematic for other research institutions, and the same issue may arise for CIFOR and ICRAF in countries other than Indonesia. The importance of sovereignty and national ownership of research was corroborated by UNREDD/UNDP.

Many of the research outputs from the IIED/UMB project have the branding of the in-country partners, to help ensure that there is national ownership of the research.

### *6.2 There isn't a formal route for research projects to communicate lessons learned to Norad Civil Society Department and NICFI, in a timely way*

CSSS funded projects are required to write a report on lessons learned at the end of the funding period, but there does not appear to be a formal route for communicating important new research to Norad Civil Society Department and NICFI in a timely way. Component 3 of the CIFOR project organised a meeting in Oslo which was useful for communicating research findings to Norwegian Government delegates. However, the initiative for the event came from CIFOR, and does not appear to have been replicated for all research projects.

### ***6.3 Research is more likely to be used if it is communicated directly to government departments and ministries***

A representative in the Cameroonian Ministry of Forestry and Wildlife suggested that research publications should be submitted officially to the government, with a covering letter explaining why it is relevant.

The efficacy of direct communications with governments is evidenced by CIFOR and ICRAF experience of direct relationships with the Indonesian Government. Similarly, IIED commented that the direct relationship between the in-country partners and their respective governments is important for communicating lessons learned.

## **7 Conclusions and Recommendations**

### ***7.1 Conclusions on impacts***

Some forms of research can require reasonably long periods of time to generate results and impacts; however, long-term research can be highly valuable. It is to be expected that some important research topics will not fit within a 3-4 years project cycle.

The projects are producing high quality research, and the findings and lessons are being actively communicated to target audiences, and the research is therefore likely to have a high impact.

### ***7.2 Recommendations on impacts***

NICFI should continue to fund a mixed portfolio of research activities to meet both short and long-term needs, and to meet the requirements of a range of REDD+ stakeholders, such as project developers, advocacy groups, government departments and MRV institutions, as well as meeting the direct requirements of policymakers and negotiating teams. The breadth of impact would be greatly reduced if the fund were changed to focus solely on short-term research projects aimed at the current stage of REDD+ negotiations.

The idea of a rapid-response research facility (with the purpose of responding to requests for information from key REDD+ stakeholders) should be explored further.

### ***7.3 Conclusions on monitoring and evaluation***

Projects tend to measure their progress in terms of their work plans. Projects collect information on outputs and communication activities, and there is less information on impacts. This is largely because it is difficult to track and measure the impacts of research outputs.

#### ***7.4 Recommendations on monitoring and evaluation***

Measuring the impact of research outputs is inherently difficult, and it is not recommended that research projects should be required to expend significantly more time and resources in estimating impacts. However, some more consideration of impacts may help research projects to focus on who their target beneficiaries are and how they are reaching them (as well as providing useful information to the grant administrators). Streamlined guidelines should be developed for estimating the impact from research, e.g. projects could request periodic feedback from target beneficiaries.

#### ***7.5 Conclusions on communicating lessons learned***

The research projects are active in communicating their findings to target audiences, but, given the funding relationship with Norway, there is a conspicuous absence of a formal mechanism/process through which projects can fast-track lessons learned to the relevant Norwegian government departments/embassies.

#### ***7.6 Recommendations on communicating lessons learned***

The portfolio should continue to be structured to ensure national/regional ownership of research (e.g. through the inclusion of national partners), which enhances the utilisation and impact of results and outputs.

A mechanism should be put in place, such as the creation of a knowledge exchange officer post, to receive research outputs from funded projects and disseminate the information to the relevant personnel within Norwegian government departments and embassies.



## Annex 8 – Survey Instruments

### Evaluation Framework

	Judgement Criteria	Proposed Indicators	Means and Sources of Verification
<b>RELEVANCE</b>			
<b>1. Is the NICFI Civil Society Portfolio likely to contribute to achievement of NICFI core climate and development goals?</b>			
(assumptions at the <b>inputs</b> level)	1.1 Value of NICFI supporting NGOs and research organisations as stakeholders in the international climate negotiations, national and local REDD+ processes	A. Extent to which target beneficiaries (stakeholders at the international, national, sub-national and local level) value NICFI support of NGOS and research organisations as stakeholders	1. Qualitative, from interviews
(assumptions at the <b>inputs</b> level)	1.2 Closeness of alignment of the Portfolio with NICFI objectives	A. Extent to which projects are formulated specifically around NICFI objectives B. Evidence that projects are undertaking activities that are directly relevant to NICFI objectives	1. Review of project proposals and review documents 2. Interviews with project proponents
(assumptions at the <b>outputs</b> level)	1.3 Projects are technically sound	A. Field demonstrations are based on international best practice / the best available information B. Research and other activities are based on international best practice / the best available information	1. Project documentation 2. Interviews with project proponents 3. Interviews with target beneficiaries
<b>2. Is the NICFI Civil Society Portfolio well aligned with, but also additional to other REDD+ efforts?</b>			
(assumptions at the <b>inputs</b> level)	2.1 Additionality to other REDD+ efforts	A. Extent to which the Civil Society Support Scheme funds REDD+ activities that are not supported by other means Extent of duplication within the portfolio	1. Interviews with project proponents 2. Interviews with other donors / multilaterals / government 3. Interviews with target beneficiaries 4. Review of project documents

Assumptions at the <b>outputs</b> level)	Judgement Criteria	Proposed Indicators	Means and Sources of Verification
	2.2 Complementarity with other REDD+ efforts	<p>A. Extent to which projects are aligned with other NICFI activities at the national and international levels</p> <p>B. Extent to which projects are aligned with the REDD+ efforts of others (UNFCCC, donors, multilaterals, projects)</p> <p>C. Extent to which this is reflected in project design</p> <p>D. Extent and quality of contact with these other actors</p>	<ol style="list-style-type: none"> <li>1. Review of National and Global evaluation reports</li> <li>2. Interviews with stakeholders</li> <li>3. Review of policy / UNFCCC/ SBSTA documentation</li> <li>4. Interviews with project proponents</li> <li>5. Review of project documentation</li> </ol>
<b>3. Is the NICFI Civil Society Portfolio consistent with target beneficiaries' priorities?</b>			
(assumptions at the <b>inputs</b> level)	3.1 Closeness of alignment of the portfolio with target beneficiaries' needs	<p>A. Geographical focus of the portfolio</p> <p>B. Balance between northern and southern partners</p> <p>C. Process for identifying and assessing beneficiaries' needs</p> <p>D. Extent to which projects are aligned with target beneficiaries' needs in relation to each output area</p> <p>E. Extent to which the balance of different output types reflects target beneficiaries' needs</p> <p>F. Extent and quality of contact with target beneficiaries</p> <p>G. Perceived degree of influence of different types of supported proponents on the target beneficiaries</p> <p>H. Perceived importance of each project type in the development of international climate policy, national strategies and processes</p>	<ol style="list-style-type: none"> <li>1. Stakeholder interviews</li> <li>2. Review of Project documentation</li> <li>3. Project proponent interviews</li> </ol>
(assumptions at the <b>outputs</b> level)			
(assumptions at the <b>outcomes</b> level)	3.2 Closeness of alignment of the portfolio with national priorities	<p>A. Extent to which projects are aligned with and designed to take into account national policy, priorities and sustainable development objectives</p> <p>B. Extent to which this is reflected in project design</p> <p>C. Extent and quality of contact with government actors</p>	<ol style="list-style-type: none"> <li>1. Review of project proposals and reports</li> <li>2. Interviews with national stakeholders</li> <li>3. Review of policy documents</li> </ol>
(assumptions at the <b>inputs</b> level)			
(assumptions at the <b>outputs</b> level)			

	Judgement Criteria	Proposed Indicators	Means and Sources of Verification
<b>EFFECTIVENESS</b>			
<b>4. Is the NICFI Civil Society projects Portfolio achieving / expected to achieve objectives?</b>			
(assumptions at the <b>outputs</b> level)	4.1 Project progress	A. Evidence that project implementation is on target	1. Project documentation 2. Stakeholder interviews 3. Proponent interviews
(assumptions at the <b>outcomes</b> level)	4.2 Awareness and understanding of REDD+	A. Evidence of enhanced REDD+ awareness and understanding	1. Project documentation 2. Stakeholder interviews 3. Proponent interviews
(assumptions at the <b>outcomes</b> level)	4.3 Interest in and support for REDD+	A. Evidence of enhanced interest and support for REDD+ in target beneficiaries	1. Project documentation 2. Stakeholder interviews 3. Proponent interviews
(assumptions at the <b>outcomes</b> level)	4.4 National ownership of REDD+	A. Evidence of maintained or enhanced national ownership of REDD+ B. Extent of engagement and funding of local partners	1. Project documentation 2. Stakeholder interviews 3. Proponent interviews
(assumptions at the <b>outcomes</b> level)	4.5 Capacity building	A. Evidence of enhanced target beneficiary capacity and confidence (e.g. to engage in REDD+ debates, to undertake technical activities, to undertake M&E, to contribute at the COP) B. Evidence of new / enhanced networks / partnership building	1. Project documentation 2. Stakeholder interviews 3. Proponent interviews
(assumptions at the <b>outcomes</b> level)	4.6 Policy advocacy	A. Engagement in and contribution to national / international policy processes B. Contribution to issue reframing C. Contribution to increased political space for REDD+ policy relevant issues D. Contribution to promotion of broad scale REDD+ E. Promotion of REDD+ co-benefits and equity	1. Project documentation 2. Stakeholder interviews 3. Proponent interviews

	Judgement Criteria	Proposed Indicators	Means and Sources of Verification
(assumptions at the <b>outcomes</b> level)	4.7 Knowledge generating results (including demonstration projects)	A. Evidence that gaps in knowledge are being filled B. Evidence of uptake / incorporation into plans, strategies, processes, policy	1. Stakeholder interviews 2. Proponent interviews 3. Review of project documentation 4. Review of plans, strategies, processes, policies
(assumptions at the <b>outcomes</b> level)	4.8 Role as agent of change	A. Engagement in and contribution to national / international systems / processes B. Evidence of improvements in national / sub-national forest monitoring and forest-related GHG emissions accounting C. Verifiable emissions reductions D. Innovative activities E. Expected to pave way for new practices in formal / informal land use decision making	1. Stakeholder interviews 2. Proponent interviews 3. Review of project documentation 4. Review of plans, strategies, processes, policies
(assumptions at the <b>outcomes</b> level)	4.9 Unexpected outcomes	A. Evidence that the projects / portfolio has generated / caused any unanticipated outcomes, positive and negative	1. Stakeholder interviews 2. Proponent interviews
<b>EFFICIENCY</b>			
<b>5. Is the governance, administration and implementation of the portfolio efficient?</b>			
(assumptions at the <b>inputs</b> level)	5.1 Call design	A. Clarity of call scope B. Definition of scope and goals to be addressed C. Clarity of criteria for project selection	1. Proponent interviews 2. Call documentation
(assumptions at the <b>inputs</b> level)	5.2 Application process	A. Ease of use / quality of the application form B. Efficiency of the submission process C. Level of support on the process provided to applicants D. Quality of feedback provided on appraisal and selection	1. Proponent interviews
(assumptions at the <b>inputs</b> level)	5.3 Grant Management process	A. Adequacy of the time, expertise and funding allocated to administration of the Scheme B. Adequacy of the operational processes C. Timeliness of disbursement of funds D. Timeliness and adequacy of contact with the Grant Managers, including responses to questions	1. Stakeholder interviews 2. Proponent interviews

	Judgement Criteria	Proposed Indicators	Means and Sources of Verification
(assumptions at the <b>inputs</b> level)	5.4 Level of project funding	A. Adequacy of the size of the funding window	1. Proponent interviews
(assumptions at the <b>inputs</b> level)	5.5 Cooperation and coordination	A. Cooperation and coordination within Norway B. Cooperation and coordination between Norway and its partners C. Cooperation between proponents and their partners	1. Stakeholder interviews 2. Proponent interviews 3. Review of project documentation
(assumptions at the <b>outputs</b> level)	5.6 Project implementation	A. Efficiency of project partnerships B. Efficiency of coordination activities and processes	1. Stakeholder interviews 2. Proponent interviews
<b>6. Does the portfolio reflect ability to identify and share lessons learned, capitalise on these experiences and adapt quickly to changing conditions?</b>			
(assumptions at the <b>outputs / outcomes</b> level)	6.1 Communication Processes	A. Communication activities at project level B. Communication strategy at the portfolio level C. Evidence that beneficiaries /stakeholders are receiving knowledge and lessons learned D. Evidence that NICFI is receiving lessons learned	1. Review of project documents 2. Interviews with proponents 3. Interviews with beneficiaries / stakeholders 4. Interviews with NICFI 5. Review of relevant documentation
(assumptions at the <b>outputs / outcomes</b> level)	6.2 Flexibility and adaptability	A. Evidence that projects are adapting to changing circumstances to refine their approach	1. Review of project documents 2. Interviews with proponents
<b>7. Are the projects well set up in terms of M&amp;E and ability to conduct high quality analysis and reporting of results?</b>			
(assumptions at the <b>outputs</b> level)	7.1 Reporting	A. Clarity of the reporting requirements (structure, level of detail etc.) B. Clarity of the specification for financial reporting C. Quality and utility of analysis and reporting of results	1. Stakeholder interviews 2. Proponent interviews
(assumptions at the <b>outputs</b> level)	7.2 M&E	A. Clarity of objectives and project level 'programme theory' B. Evidence of an M&E system in place C. Quality of M&E system D. Quality of baseline data E. Evidence of monitoring	1. Project documentation 2. Proponent interviews

# Semi-structured Interview Guidance

## 1 NICFI’s core climate and development objectives:

- Work towards inclusion of DD in a new international climate regime
- Take early action to achieve cost-effective verifiable emissions reductions
- Promote conservation of natural forest to maintain their C storage capacity
- Consistent with Norway’s ODA objectives

## 2 Baseline Data

The NICFI Civil Society projects we’re looking at started in 2009, so we’re looking at baseline and contribution 2009-2012

**Table 1. Areas to cover in generating a perception-based portfolio baseline**

- Extent, focus, function and perceived value of Civil society engagement in REDD+
- Target beneficiaries’ needs
- National engagement with and ownership of REDD+
- Extent and quality of contact with target beneficiaries
- perceived degree of influence of organisations / organisation types
- Level of awareness and understanding of REDD+
- Interest in and support for REDD+
- Target beneficiary capacity
- Policy position and policy needs in 2009 in relation to REDD+
- Information / data / knowledge needs in 2009

## Typology

**Table 2 Categories of proponent organisation types, target beneficiary groups, activity themes and project operating levels to be used in the evaluation**

5 Proponent Groups	4 Target Beneficiary Groups	6 Key themes within projects	4 Project Operating Levels
1. Research institutions 2. Rights / advocacy focused NGOs 3. Conservation focused NGOs 4. Governance focused NGOs 5. Think Tanks / Policy focused NGOs	1. Parties to the UNFCCC / international policy actors 2. National level actors 3. Sub-national / Provincial actors 4. Local stakeholders /communities	1. REDD+ awareness and understanding 2. Capacity building and training 3. Research and knowledge generating activities (including pilots) 4. Policy advocacy – lobbying 5. Policy advocacy - Advice provision (supportive of governments) 6. Advocacy on Social and Gender Equity, social and environmental co-benefits	1. International 2. National 3. Sub-national/ Provincial 4. Local

### Linkage between target beneficiaries and activity levels

Target beneficiary group	Relevant Activity area
Parties to the UNFCCC / international policy actors	International Policy advocacy – lobbying and advice provision Research and knowledge generating activities related to policy, technical methodologies, approaches Capacity building and training related to the negotiations Development of methodologies and approaches Advocacy around rights, equity, environment issues related to REDD+
National level actors	National Policy advocacy – lobbying and advice provision National processes e.g. MRV, governance processes etc. Research and knowledge generating activities related to policy and methodologies Capacity building and training related to the negotiations, technical issues, processes Advocacy around rights, equity, environment issues related to REDD+
Sub-national / Provincial actors	As national, but at sub-national level also Trialling of processes, demonstration / pilot activities
Local stakeholders / communities	Local level governance, engagement, participation, MRV processes Awareness raising on REDD+ Local sustainable development and poverty reduction Protection of local rights, equity, environment Trialling of processes, demonstration / pilot activities

### Summary Score Column Legend

Strongly disagree	Disagree	Agree	Strongly agree
Very negative	Negative	Positive	Very positive
1	2	3	4

## Indicator Questions against the Evaluation Framework

	Judgement Criteria	Indicator questions	Summary Score
<b>RELEVANCE</b>			
(assumptions at the <b>inputs</b> level)	1.1 Perception that CSOs and research organisations are critical stakeholders in the international climate negotiations, national and local REDD+ processes (qualitative perceptions from interviews)	<p><b>1. Is the NICFI Civil Society Portfolio likely to contribute to achievement of NICFI core climate and development goals?</b></p> <p>A. To what extent do <b>target beneficiaries</b> / <b>other stakeholders</b> regard CSOs and research organisations as critical REDD+ stakeholders? (RELATE TO NICFI CORE OBJECTIVES)</p> <p>a. Role of civil society orgs in REDD+ internationally / nationally/ locally.</p> <p>b. Is / are this / these role/roles valuable internationally /nationally / locally? In what way are they valuable?</p> <p>c. Credibility of different categories of civil society partners. Why? Target beneficiaries</p> <p>d. Level of awareness of the supported projects (scope, results etc.) target beneficiaries, know about the projects? National level impacts?</p> <p>B. How do <b>project proponents</b> regard CSOs and research organisations as REDD+ stakeholders? (RELATE TO NICFI CORE OBJECTIVES)</p> <p>a. Role of civil society orgs in REDD+ internationally / nationally/ locally What is the role that you are trying to play? Triangulate with national players, what role nationally / internationally, why fund INGO to work nationally?</p>	
		<p>A. Awareness of NICFI? (needs to be a preliminary question) – <b>national target beneficiaries, project proponents</b></p> <p>B. To what extent is the <b>project</b> formulated specifically around NICFI objectives?</p> <ul style="list-style-type: none"> <li>Work towards inclusion of DD in a new international climate regime</li> <li>Take early action to achieve cost-effective verifiable emissions reductions</li> <li>Promote conservation of natural forest to maintain their C storage capacity</li> <li>Consistent with Norway's ODA objectives</li> </ul> <p>C. Is the <b>project</b> undertaking activities that are directly relevant to NICFI climate and development objectives?</p> <ul style="list-style-type: none"> <li>Work towards inclusion of DD in a new international climate regime</li> <li>Take early action to achieve cost-effective verifiable emissions reductions</li> <li>Promote conservation of natural forest to maintain their C storage capacity</li> <li>Consistent with Norway's ODA objectives</li> </ul> <p>a. Key activity groups</p> <p>b. Proponents' perceptions of relevance of these groups to the NICFI objectives</p>	
(assumptions at the <b>inputs</b> level)	1.2 Closeness of alignment of the Portfolio with NICFI objectives		
(assumptions at the <b>outputs</b> level)			



	Judgement Criteria	Indicator questions	Summary Score
(assumptions at the <b>outputs</b> level)	1.3 Projects are technically sound	<p>A. To what extent do <b>target beneficiaries</b>/ <b>other stakeholders</b> perceive the NICFI civil society projects as technically sound?</p> <p>B. Do <b>proponents</b> ensure technical rigour /based on quality information?</p> <p>a. Access to information</p> <p>b. International best practice for technical / research activities</p>	
<b>2. Is the NICFI Civil Society Portfolio additional to other REDD+ efforts?</b>			
(assumptions at the <b>inputs</b> level)	2.1 Additionally to other REDD+ efforts	<p>A. What <b>thematic additionality</b> / added value do <b>target beneficiaries</b> / <b>other stakeholders</b> / <b>project proponents</b> and their work bring to the REDD+ process? Is anyone else doing anything similar? REFER TO EACH OF THE NICFI CLIMATE AND DEVELOPMENT OBJECTIVES</p> <p>a. Examples</p> <p>b. Balance of activities</p> <p>c. Degree of duplication within the portfolio / between projects working in similar geographical or technical space</p>	

Judgement Criteria	Indicator questions	Summary Score
	<p>B. Financial additionality. Extent do <b>target beneficiaries</b> / <b>other stakeholders</b> / <b>project proponents</b> think that the Civil Society Support Scheme funds <u>organisations</u> (proponent groups) and <u>REDD+ activities</u> (activities groups) that are not supported by other means to undertake REDD+ activities?</p>	
	<ul style="list-style-type: none"> <li>a. Examples of other types of support?</li> <li>b. Types of organisations?</li> <li>c. Balance of proponent group types supported</li> <li>d. % dependence on CSSS support</li> <li>e. Has the funding been useful in leveraging additional resources / funding?</li> </ul>	

	Judgement Criteria	Indicator questions	Summary Score
(assumptions at the <b>outputs</b> level)	2.2 Complementarity with other REDD+ efforts	<p>A. Extent to which <b>target beneficiaries</b> / <b>other stakeholders</b> / <b>proponents</b> regard the projects as aligned with other NICFI activities at the national and international levels</p> <p>a. Alignment with Norway's negotiating position (phased approach, national approach seated in government rather than projects based etc. Refer to summary of key points from UNFCCC submissions)</p> <p>b. Alignment with bilateral efforts (Indonesia)</p> <p>c. Alignment with the work of the multilaterals (FCPF, UN-REDD)</p> <p>B. Extent to which <b>target beneficiaries</b> / <b>other stakeholders</b> / <b>proponents</b> regard the projects as aligned with the REDD+ efforts of others. Score using R-PP as proxy</p> <p>a. Alignment with international efforts</p> <p>b. Alignment with national efforts</p> <p>c. Alignment with provincial / local efforts (where applicable)</p> <p>d. Alignment with other donors</p> <p>e. Alignment with other projects</p> <p>C. How was alignment with these identified priorities / efforts reflected in <b>project</b> design? Examples of how</p> <p>D. What is the extent of contact with these other actors identified above <b>target beneficiaries</b> / <b>other stakeholders</b> / <b>proponents</b></p>	

	Judgement Criteria	Indicator questions	Summary Score
		<ul style="list-style-type: none"> <li>a. Meetings held?</li> <li>b. Frequency of meetings</li> <li>c. Covering what?</li> </ul> <p>E. What is the importance / value of contact with these other actors?  <b>target beneficiaries / other stakeholders / proponents</b></p> <ul style="list-style-type: none"> <li>a. Evidence of collaboration</li> <li>b. Cooperation</li> <li>c. Coordination</li> <li>d. Evidence of competitive situations</li> </ul>	
<b>3. Is the NICFI Civil Society Portfolio consistent with target beneficiaries' priorities?</b> (assumptions at the <b>inputs</b> level) (assumptions at the <b>outputs</b> level) (assumptions at the <b>outcomes</b> level)	3.1 Alignment of the portfolio with target beneficiaries' needs	<p>A. How closely aligned is the portfolio with <b>target beneficiaries'</b> needs?</p> <ul style="list-style-type: none"> <li>a. Geographical focus of the portfolio</li> <li>b. Balance between northern and southern partners</li> <li>c. Process for identifying and assessing beneficiaries' needs</li> <li>d. Extent to which the balance of activity types reflects target beneficiaries' needs</li> <li>e. Within activity types, are projects aligned with target beneficiaries' needs? Are they doing what's needed?</li> <li>f. Extent and quality of contact with target beneficiaries</li> <li>g. Perceived degree of influence of each proponent group on the target beneficiaries</li> <li>h. Perceived importance of each activity type in the development of international climate policy, national strategies and processes</li> <li>i. Evidence of participatory / collaborative design</li> <li>j. Evidence that projects have been designed to take issues of social and gender equity and social and environmental co-benefits into account</li> <li>k. Evidence that project implementation is in accordance with principles of social and gender equity and promotion of social and environmental co-benefits</li> </ul>	

Judgement Criteria	Indicator questions	Summary Score
(assumptions at the <b>inputs</b> level) (assumptions at the outputs level)	3.2 Alignment of the portfolio with national / provincial / local priorities  A. How closely are the projects aligned with national priorities (and provincial / local, where relevant)? <b>target beneficiaries</b>  a. Extent to which projects are aligned with and designed to take into account national policy, priorities and sustainable development objectives b. Extent to which this is reflected in project design c. Extent and quality of contact with government actors d. Evidence of participatory / collaborative design	
<b>EFFECTIVENESS</b>		
<b>4. Are the NICFI Civil Society projects achieving / expected to achieve the programme theory outcomes?</b>		
(assumptions at the <b>outputs</b> level)	4.1 Project progress  A. Is project implementation / is the project implementation perceived to be on target? <b>target beneficiaries / other stakeholders / proponents</b>	
(assumptions at the <b>outcomes</b> level)	4.2 Contribution to international / national policy development  A. Have the projects affected <b>international actors'</b> understanding of REDD+? <b>target beneficiaries / other stakeholders / proponents</b>  a. Examples b. Quantitative / qualitative evidence? Most significant change c. Through what mechanism? Generation of research / lessons learned, awareness raising campaigns etc. d. Which types of activities / organisations perceived to have been best at this?  B. Have the projects affected <b>international actors'</b> interest and support for REDD+? <b>target beneficiaries / other stakeholders / proponents</b>  a. Examples b. Quantitative / qualitative evidence? Most significant change c. Through what mechanism? Generation of research / lessons learned, awareness raising campaigns etc. d. Which types of activities / organisations perceived to have been best at this?	
	C. Have the projects built capacity <b>confidence</b> to contribute to international/ national REDD+ policy? <b>target beneficiaries / other stakeholders / proponents</b>	

Judgement Criteria	Indicator questions	Summary Score
	<ul style="list-style-type: none"> <li>a. Capacity and confidence to engage in REDD+ debates, to undertake technical activities, to undertake M&amp;E, to contribute at the COP</li> <li>b. New / enhanced networks / partnership building</li> <li>c. Quantitative / qualitative evidence? Most significant change</li> <li>d. Examples</li> <li>e. Through what mechanism? Generation of research / lessons learned, tailored advice provisions etc.</li> <li>f. Which types of activities / organisations perceived to have been best at this?</li> </ul>	
	<p>D. Have the projects contributed to national / international REDD+ policy development?  <b>target beneficiaries / other stakeholders / proponents</b></p> <ul style="list-style-type: none"> <li>a. Engagement in and contribution to international policy processes</li> <li>b. Contribution to issue reframing</li> <li>c. Contribution to increased political space for international REDD+ policy relevant issues</li> <li>d. Contribution to promotion of broad scale REDD+</li> <li>e. Promotion of REDD+ co-benefits and social and gender equity</li> <li>f. Development of social and environmental safeguards</li> </ul>	
4.3 Contribution to the development of internationally agreed technical / or other methodologies	<p>A. Have the projects contributed to the development of internationally agreed technical or other methodologies? Approach to R+ implementation frameworks, MRV, baselines, setting of reference levels etc.  <b>target beneficiaries / other stakeholders / proponents</b></p> <ul style="list-style-type: none"> <li>a. Developments / agreement on technical issues</li> <li>b. Gaps in knowledge are being filled</li> <li>c. Evidence of uptake / incorporation into policy</li> </ul>	
4.4 Contribution to Standards / safeguards for REDD+ implementation	<p>A. Have the projects contributed to the development of social, environmental and governance safeguards  <b>target beneficiaries / other stakeholders / proponents</b></p> <ul style="list-style-type: none"> <li>a. Contributions to the development</li> <li>b. Evidence of uptake / incorporation into plans, strategies, processes, policy</li> </ul>	

Judgement Criteria	Indicator questions	Summary Score
4.5 Local communities' and Indigenous Peoples' engagement in REDD+ international / national policy development	A. Have the projects affected local communities' / IPs' awareness and understanding of REDD+? <b>target beneficiaries / other stakeholders / proponents</b>	
	a. Broadly?	
	b. For specific groups? (gender, age, income level, livelihood type, ethnicity etc.)	
	c. Examples	
	d. Quantitative / qualitative evidence? Most significant change	
	e. Through what mechanism? Generation of research / lessons learned, awareness raising campaigns etc.	
	f. Which types of activities / organisations perceived to have been best at this?	
	B. Have the projects affected local communities' / IP's interest and support for REDD+? <b>target beneficiaries / other stakeholders / proponents</b>	
	a. Broadly?	
	b. For specific groups?	
	c. Examples	
	d. Quantitative / qualitative evidence? Most significant change	
C. Have the projects affected local communities' / IP's level of engagement in REDD+ international / national policy? <b>target beneficiaries / other stakeholders / proponents</b>		
a. Examples		
b. Quantitative / qualitative evidence? Most significant change		

	Judgement Criteria	Indicator questions	Summary Score
(assumptions at the <b>outcomes</b> level)	4.6 Breadth of participation in national REDD+ strategy development	<p>A. Have the projects contributed to broad awareness and understanding of REDD+?  <b>target beneficiaries / other stakeholders / proponents</b></p> <ol style="list-style-type: none"> <li>Broadly? Any gaps / missing groups?</li> <li>Examples</li> <li>Quantitative / qualitative evidence? Most significant change</li> </ol> <p>B. Have the projects contributed to broad interest and support for REDD+?  <b>target beneficiaries / other stakeholders / proponents</b></p> <ol style="list-style-type: none"> <li>Broadly? Any groups untargeted / disaffected? Why</li> <li>For specific groups?</li> <li>Examples</li> <li>Quantitative / qualitative evidence? Most significant change</li> </ol> <p>C. Have the projects contributed to the breadth of participation in national REDD+ strategy development?  <b>target beneficiaries / other stakeholders / proponents</b></p> <ol style="list-style-type: none"> <li>Examples</li> <li>Quantitative / qualitative evidence? Most significant change</li> </ol> <p>D. Have projects affected national / local ownership of REDD+?  <b>target beneficiaries / other stakeholders / proponents</b></p> <ol style="list-style-type: none"> <li>Whose agenda is being supported?</li> <li>In what way</li> <li>Examples</li> <li>Demonstrations / pilot projects</li> <li>Level of engagement and funding of national partners</li> <li>Balance between international / national partners</li> </ol>	



	Judgement Criteria	Indicator questions	Summary Score
(assumptions at the <b>outcomes</b> level)	4.7 Role as agent of change	A. Has the portfolio and its projects been an agent of change? <b>target beneficiaries / other stakeholders / proponents</b>	
		<ul style="list-style-type: none"> <li>a. Engagement in and contribution to national / international systems / processes</li> <li>b. Evidence of improvements in national / sub-national forest monitoring and forest-related GHG emissions accounting</li> <li>c. Verifiable emissions reductions</li> <li>d. Innovative activities</li> <li>e. Expected to pave way for new practices in formal / informal land use decision making</li> </ul>	
	4.8 Unexpected outcomes	A. Have the projects generated / caused any unanticipated effects <b>target beneficiaries / other stakeholders / proponents</b>	
		<ul style="list-style-type: none"> <li>a. Positive / negative?</li> <li>b. For whom?</li> <li>c. Time inputs for stakeholders</li> <li>d. Access to government / other actors</li> </ul>	
<b>EFFICIENCY</b>			
(assumptions at the <b>inputs</b> level)	<b>5. Is the governance, administration and implementation of the portfolio efficient? How does the governance, administration and implementation of the NICFI supported project compare with other similar schemes from the project's perspective?</b>		
	5.1 Call design	A. How clear are the calls for proposals? <b>Proponents</b>	
		<ul style="list-style-type: none"> <li>a. Clarity of the call</li> <li>b. Definition of scope and goals to be addressed</li> <li>c. Clarity of criteria for project selection</li> </ul>	

	Judgement Criteria	Indicator questions	Summary Score
(assumptions at the <b>inputs</b> level)	5.2 Application Process	<p>A. How efficient is the application process from the <b>Proponents'</b> and <b>local partners'</b> perspective?</p> <p>a. Application form</p> <p>b. Submission process</p> <p>c. Speed of the process</p> <p>d. Level of support on the process provided to applicants</p> <p>e. Quality of feedback provided on appraisal and selection</p>	
(assumptions at the <b>inputs</b> level)	5.3 Grant Management Process	<p>A. How efficient is the grant management process from the <b>Grant Managers'</b> perspective?</p> <p>a. Adequacy of the time, expertise and funding allocated to administration of the Scheme</p> <p>b. How does the overall experience of working with the grant managers of this scheme compare with other donors and other initiatives</p> <p>B. How efficient is the grant management process from the <b>Proponents'</b> perspective?</p> <p>a. Disbursement of funds – timely and efficient? Any cash-flow problems related to disbursement of these funds?</p> <p>b. Ease of contact with the management entity</p> <p>c. Timeliness and adequacy of responses to questions?</p>	
(assumptions at the <b>inputs</b> level)	5.4 Level of funding	<p>A. Is the size of the “funding window” appropriate? <b>Proponents</b></p> <p>a. Influence or restrict scope and design of projects?</p> <p>b. Level of funding to local partners</p>	

	Judgement Criteria	Indicator questions	Summary Score
(assumptions at the <b>inputs</b> level)	5.5 Cooperation and coordination	A. To what extent is cooperation and coordination evident within the process? <b>Proponents, Oslo stakeholders</b>	
(assumptions at the <b>outputs</b> level)		a. Extent of cooperation and coordination within Norway b. Extent of cooperation and coordination between Norway and its partners c. Extent of cooperation between proponents and their partners B. How efficient are project partnerships? <b>Proponents and their partners?</b>	
		a. Number of partners and the amount of time spent on coordination b. Coordination activities and processes c. Were project partners known to one-another before the project started d. How and to what extent have the various partners been involved at the various stages of the project: (identification, design, application, delivery, reporting)?	
		<b>6. Does the portfolio reflect ability to identify and share lessons learned, capitalise on these experiences and adapt quickly to changing conditions?</b>	
(assumptions at the <b>outputs</b> / <b>outcomes</b> levels)	6.1 Communication Processes	A. Are lessons learned identified and communicated? <b>Proponents Grant managers</b> / project level / portfolio level a. Identification and facilitation of contact with other relevant projects (in country / outside) b. Support for projects to develop a 'network'? What are the lessons learned? c. Existence of communication activities at project level d. Existence of communication strategy at the portfolio level e. Communication at national level f. Evidence that beneficiaries /stakeholders are receiving knowledge and lessons learned g. Evidence that NICFI is receiving lessons learned	
(assumptions at the <b>outputs</b> / <b>outcomes</b> levels)	6.2 Flexibility and adaptability	A. Are projects using lessons learned to adapt ? a. Examples of adaptation to new information or changing circumstances/ needs b. Are NICFI and SIVSA using lessons learned to adapt?	

Judgement Criteria	Indicator questions	Summary Score
7. Are the projects well set up in terms of M&E and ability to conduct high quality analysis and reporting of results? (assumptions at the <b>outputs</b> level)	<p>7.1 Reporting</p> <p>A. Do <b>proponents</b> regard the reporting requirements as efficient?</p> <ul style="list-style-type: none"> <li>a. Clarity of the reporting requirements (structure, level of detail etc.)</li> <li>b. Clarity of the specification for financial reporting</li> <li>c. Issues with feedback, requests for more details etc.?</li> <li>d. Extent to which the reporting is helpful to the work of the project partners? (Individually, jointly)</li> <li>e. Have reporting requirements influenced design of project?</li> <li>f. Do the requirements need information in addition to what is collected as part of project management?</li> <li>g. Similarity / alignment with the reporting requirements of other donors that proponents are engaged with?</li> </ul> <p>Do the <b>Oslo stakeholders</b> regard the project reporting as adequate?</p> <p>Quality and utility of analysis and reporting of results</p>	
(assumptions at the <b>outputs</b> level)	<p>7.2 M&amp;E</p> <p>A. Are <b>project</b> M&amp;E systems adequate?</p> <ul style="list-style-type: none"> <li>a. Quality of baseline data</li> <li>b. Project objectives and results are clear</li> <li>c. Level M&amp;E experience</li> <li>d. Evidence of an M&amp;E system in place</li> <li>e. Quality of M&amp;E system</li> <li>f. Evidence of ongoing monitoring</li> </ul>	

## EVALUATION REPORTS

- 7.99 Policies and Strategies for Poverty Reduction in Norwegian Development Aid
- 1.00 Review of Norwegian Health-related Development Cooperation 1988–1997
- 2.00 Norwegian Support to the Education Sector. Overview of Policies and Trends 1988–1998
- 3.00 The Project "Training for Peace in Southern Africa"
- 4.00 En kartlegging av erfaringer med norsk bistand gjennomfrivillige organisasjoner 1987–1999
- 5.00 Evaluation of the NUFU programme
- 6.00 Making Government Smaller and More Efficient. The Botswana Case
- 7.00 Evaluation of the Norwegian Plan of Action for Nuclear Safety Priorities, Organisation, Implementation
- 8.00 Evaluation of the Norwegian Mixed Credits Programme
- 9.00 "Norwegians? Who needs Norwegians?" Explaining the Oslo Back Channel: Norway's Political Past in the Middle East
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**Norad**

Norwegian Agency for  
Development Cooperation

Postal address

P.O. Box 8034 Dep. NO-0030 OSLO

Visiting address

Ruseløkkveien 26, Oslo, Norway

Tel: +47 23 98 00 00

Fax: +47 23 98 00 99

No. of Copies: 300

[postmottak@norad.no](mailto:postmottak@norad.no)

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