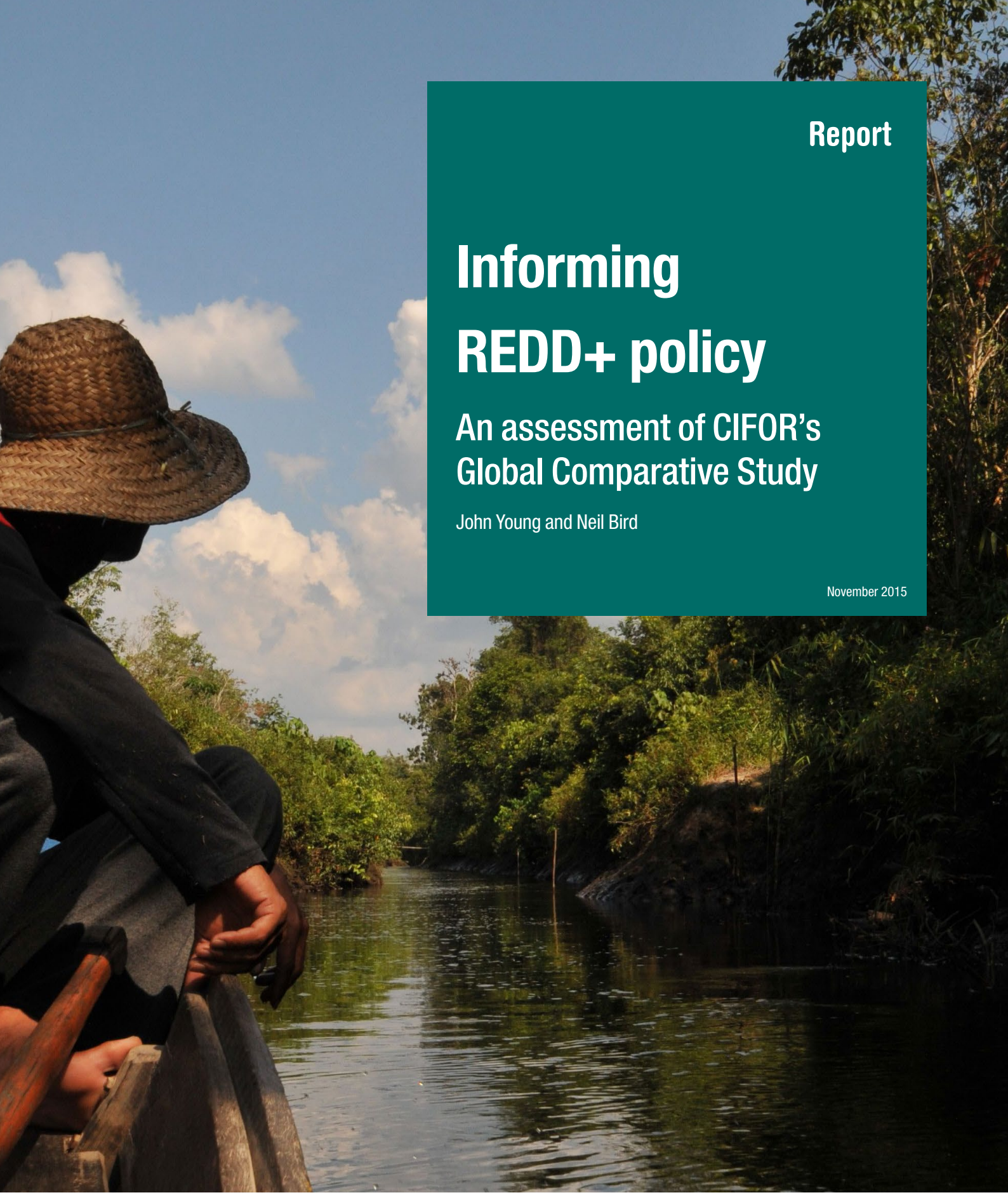


Report

# Informing REDD+ policy

## An assessment of CIFOR's Global Comparative Study

John Young and Neil Bird

November 2015

ODI | CIFOR

**Overseas Development Institute**
203 Blackfriars Road
London SE1 8NJ

Tel. +44 (0) 20 7922 0300
Fax. +44 (0) 20 7922 0399
E-mail: info@odi.org.uk

www.odi.org
www.odi.org/facebook
www.odi.org/twitter



ISSN: 2052-7209

Cover photo: Sophie Furnival/CIFOR , Travelling through a peat swamp forest

# Contents

# List of tables, figures and boxes

## Tables



## Figures



## Boxes

# Acknowledgements

The authors thank all assessment participants, including the ODI and CIFOR teams, other researchers and reference group – a detailed list of participants and their roles is included in Annex 2.

We would like to thank all other CIFOR staff, partners and stakeholders, who provided information to inform this assessment through surveys, interviews, focus group discussions and workshops.

Also to Dan Cooney and John Colmey for providing information and statistics on CIFOR's communication work and helping with the surveys. And finally, to Lucya Yamin, for her logistical support.

While much of the content of this report was generated in collaborative workshops, the authors take full responsibility for the accuracy of the information presented, the final synthesis and the opinions expressed in this report.

# Acronyms

**3E+:** Enhance, Extend, Empower
**AIDER:** Association for Integrated Development and Investigation
**AusAid:** Australian Agency for International Development
**BAM:** Bosques Amazónicos
**CDKN:** Climate and Development Knowledge Network
**CERSGIS:** Centre for Remote Sensing and Geographical Information Services
**CGIAR:** Consultative Group for International Agricultural Research
**CI:** Conservation International
**CIFOR:** Center for International Forestry Research
**COMIFAC:** Commission des Forêts d'Afrique Centrale
**COONAPIP:** Panama's Indigenous Peoples' Coordinating Body
**COP:** Conference of Parties
**COR:** Collaborative Outcomes Reporting
**DAR:** Rights, Environment and Natural Resources
**DFAT:** Australian Department of Foreign Affairs and Trade
**FAO:** Food and Agricultural Organization of the United Nations
**FCPF:** Forest Carbon Partnership Facility
**FORDA:** Forestry Research and Development Agency
**FREL:** Forest Reference Emissions Level
**FTA:** Forests, Trees and Agroforestry
**GCS:** Global Comparative Study
**GCS** REDD+: Global Comparative Study on Reducing Emissions from Deforestation and Forest Degradation Plus
**GHG:** Greenhouse gas
**GFC:** Guyana Forestry Commission
**GOFC-GOLD:** Global Observation of Forest and Land Cover Dynamics
**IC-SEA:** Global Change Impact Center for Southeast Asia
**ICEL:** Indonesian Center for Environmental Law
**IFCA:** Association of Inshore Fisheries and Conservation Authorities
**INCAS:** Indonesia National Carbon Accounting System
**IPCC:** Intergovernmental Panel on Climate Change
**IUCN:** International Union for Conservation of Nature
**M&E:** Monitoring and Evaluation
**MEIA:** Monitoring, Evaluation, and Impact Assessment
**MINAM:** Ministry of Environment Peru
**MLLE:** Multiple Lines and Levels of Evidence
**MoU:** Memorandum of Understanding
**MRV:** Measurement, Recording and Verification
**NGO:** Non-governmental Organisation
**Norad:** Norwegian Agency for Development Cooperation
**ODI:** Overseas Development Institute
**PNCB:** National Program for Forest Conservation
**QCA:** Qualitative Comparative Analysis
**R-PIN:** Readiness Plan Idea Note
**R-PP:** Readiness Preparation Proposal
**REDD:** Reducing Emissions from Deforestation and Forest Degradation
**REDD+:** Reducing Emissions from Deforestation and Forest Degradation and Enhancing Forest Carbon Stocks
**REL/RL:** Reference Emission Levels and Reference Levels
**REPAR:** Parliamentarians on the Sustainable Management of Central African Forest Ecosystems
**SESA:** Strategic Environmental and Social Assessment
**SoC:** Story of change
**SPIA:** Strengthening Impact Assessment
**TNC:** The Nature Conservancy
**ToC:** Theory of change
**UN-REDD:** United Nations Reducing Emissions from Deforestation and Forest Degradation
**UNDP:** United Nations Development Programme
**UNEP:** United Nations Environment Programme
**UNFCCC:** United Nations Framework Convention on Climate Change
**WWF:** World Wide Fund for Nature

# Summary of recommendations

The evidence collected from this assessment suggests that a combination of research, policy engagement and practical support on the ground has been an effective approach to secure the impact of CIFOR's Global Comparative Study (GCS) programme. Specific recommendations from this assessment to maintain and improve this impact further are as follows:

1. **Maintain the emphasis on rigorous research**: CIFOR is a research-based organisation. Robust research-based evidence must continue to underpin all of CIFOR's work on policy engagement and practical implementation.
2. **Adopt realistic policy objectives:** CIFOR should set realistic policy objectives that are clear, measurable and time bound in order to facilitate rigorous monitoring and evaluation (M&E).
3. **Understand and address the politics of policy processes**: An understanding of the political context of policy processes, their unpredictability and how changes happen, helped the GCS programme to locate, position and balance its research and other work. This emphasis should continue.
4. **Adopt a theory of change (ToC) approach for all projects and project proposals:** While the assessment does not prove that using a ToC-based approach increased the impact of the programme, it does illustrate that the emergent approach used by the GCS REDD+ programme has worked, and it has had significant impact. It will be important to build on this by continuing to give careful thought to possible uptake pathways through political policy processes, in order to identify the specific research needs of decision-makers and how best to meet them.
5. **Identify the most appropriate balance between policy-relevant and more fundamental research:** CIFOR could be more systematic in identifying opportunities to engage with policy and practice at sub-national, national and global levels. In doing so, there is a balance to be struck between what is relevant (what is actively demanded by policy-makers) and what is imperative (what policy-makers should be aware of).
6. **Improve communications and engagement:** This assessment has identified the value of specific communication products for specific audiences. A more politics-aware, ToC-driven approach will also require improved communication products and processes.
7. **Determine the balance between science and communication in different contexts:** The most productive balance between basic research, and engagement and communications will be different in countries where CIFOR has a presence and those where it does not. The evidence from the assessment suggests that uptake of research, and influence on policy development, is limited in the latter set of countries, and therefore more targeted and tailored products may be necessary.
8. **Improve project management processes:** The emergent approach to programme management within a sound overall framework of regular team meetings, clear responsibilities for component leaders, and a strong reliance on individuals interested in collaboration has worked well in the GCS REDD+ programme. This should be reinforced in future programmes by ensuring all team members have a shared vision and understanding of the ToC, with stronger internal communications and an emphasis on the continuous evaluation of progress.
9. **Increase emphasis on M&E:** It is increasingly important for research organisations to be able to demonstrate the value of their work in order to convince donors to continue funding, and help research managers to maximise the use and usefulness of the research. CIFOR should establish M&E systems to ensure the systematic collection of evidence on impact, achievements and lessons learned, which are then documented and communicated effectively.

# Executive summary

## Background

The goal of CIFOR's research on forests and climate change mitigation is 'to ensure that the international post-2012 climate regime and national-level REDD schemes are designed in such a way as to ensure that forest-based emissions reductions are efficient, equitable and provide benefits to affected communities in developing countries'. CIFOR's Global Comparative Study on REDD (GCS REDD+) began in 2009 and has included comparative studies of international, national and sub-national REDD+ experiences in 15 tropical forest countries, and the production of knowledge products to inform effective, efficient and equitable REDD+ policies and projects.

## The assessment

The assessment aimed to assess the contribution that CIFOR's GCS REDD+ programme has made to this goal, to offer suggestions for changes to or improvements of current and future CIFOR research programmes, and to develop assessment methods that can demonstrate CIFOR's outcomes and impacts. The assessment was undertaken as a collaborative partnership between CIFOR staff, a team from Royal Roads University and a team from the Overseas Development Institute (ODI). The assessment used a modified collaborative outcomes reporting (COR) approach[1] to describe how GCS research outputs and engagements have contributed to planned and unexpected outcomes. The approach involved: 1) meetings between CIFOR and ODI staff to agree the methodology and key assessment questions; 2) a research phase; 3) collaborative analysis with CIFOR staff and other stakeholders; and 4) a 'sense-making' workshop for CIFOR, ODI and Royal Roads University teams to discuss the emerging findings and agree the conclusions and recommendations.

The main question for the assessment was '**How well has the GCS achieved its goals, and how could it be improved?**' This was broken down into seven sub-questions:

1. How has GCS activity contributed to its end-of-programme outcomes?
2. Are the target audiences using the GCS work?
3. Are the target audiences aware of GCS work?
4. Have GCS engagement and communication channels been effective?
5. Have GCS projects produced relevant science to achieve its goals?
6. Have the GCS programme and its projects been effectively integrated across scales (sub-national, national and global)?
7. Has the GCS used coherent strategies to achieve its outcomes?

These questions were applied across six specific studies: an international case study on the contribution of CIFOR research to the adoption of the step-wise approach in international processes; a study of the contribution of CIFOR work to REDD+ readiness in Indonesia; light-touch country case studies in countries where CIFOR has worked (Cameroon, Peru and Tanzania); episode studies in countries where CIFOR has not been active on the ground (Costa Rica, Ghana and the Philippines); and the collection of ten 'stories of change'; and a review of communication activities.

## Theory of change

A key element of the COR approach is assessing progress against a theory of change (ToC). Although there was no explicit ToC when the GCS started, the programme design recognised the need to work with a range of stakeholders at the national and international level. This was developed during the programme into a ToC that identified multiple stakeholder groups (partners) and multiple impact pathways. This ToC was developed further to provide the basis for the assessment.

## Results

The results of the assessment against the key evaluation questions are as follows:

- **How well has the GCS achieved its goals, and how could it be improved:** The main goal of the GCS programme is hugely ambitious for a research organisation such as CIFOR, especially in such a highly contested policy arena, and clearly remains out of reach in the absence of a global agreement on REDD+. There is evidence, however, that the GCS programme is influencing the development of systems that are effective, efficient, equitable for when a global agreement is reached. CIFOR has influenced the United Nations Framework Convention on Climate Change (UNFCCC) to adopt a step-wise approach to setting reference levels internationally. The approach has also been adopted in several countries and CIFOR has demonstrably increased the capacity and influenced the behaviour of national policy-makers and other relevant actors.
- **How has GCS activity contributed to its end-of-programme outcomes:** CIFOR has achieved these outcomes in five main ways: 1) production of high-quality independent research and publications and extended outreach; 2) development of approaches and tools such as the step-wise approach; 3) provision of expert support at the international and national level; 4) hosting of international events and training; and 5) collaboration with and capacity development of national partners.

1 See: http://betterevaluation.org/plan/approach/cort

- **Are target audiences using the GCS work:** The GCS REDD+ ToC identifies six categories of actor expected to use CIFOR research: 1) national research partners; 2) proponents (national organisations involved in pilot projects); 3) national practitioners (operational agencies and practitioners, including communities, the private sector and the media; 4) national policy-makers; 5) international research partners; 6) and international policy actors (e.g. Intergovernmental Panel on Climate Change (IPCC), bilateral and multilateral donors). The assessment found strong evidence that all of these stakeholders are using CIFOR research in their work.
- **Are the target audiences aware of GCS work:** There is widespread awareness of CIFOR's work among the people contacted as part of this assessment. This is not surprising, however, since the assessment used CIFOR mailing lists for the surveys and interacted largely with those working with CIFOR staff for the country studies.
- **Have GCS engagement and communication channels been effective:** GCS uses a very wide range of channels for communication and engagement including digital (web and social media), publications, events and conferences, research collaboration, personal engagement, formal engagement with national governments and practical engagement with practitioners. The assessment found strong evidence that all of these channels are being used effectively. CIFOR has a particularly strong digital strategy to reach global audiences, CIFOR publications are well regarded and frequently consulted, international events and conferences are well known, well-attended and attract high-level participants. Respondents in the national case studies and the Indonesia Country Study workshop asked, however, for more national events. Research collaboration is clearly a very effective element of CIFOR's engagement work. CIFOR also engages effectively with a wide range of practitioners at the national level, including proponents (organisations testing REDD+ approaches at the field level).
- **Have GCS projects produced relevant science to achieve its goals**: The GCS programme has produced a vast range of relevant and useful science including five books and 84 book chapters, 157 journal articles, 48 working and occasional papers, 48 policy and information briefs, and five doctoral theses.
- **Has the GCS programme and its projects been effectively integrated across scales (sub-national, national and global):** The GCS was designed from the start as an integrated programme with interlocking components. Management and coordination mechanisms have been flexible and responsive and have evolved appropriately, as the programme has developed, but this seems to work best at international level among staff based in Indonesia, whereas some country-level staff have described not being fully aware of what other components are doing.
- **Has the GCS used coherent strategies to achieve its outcomes:** The original project design has been strengthened by the development of a global ToC identifying specific boundary partners and uptake pathways, but there remains some confusion among lower-level staff about the theory and practice of ToC.

## Assessing CIFOR's contribution to REDD+ policies and processes

Viewed against the overall ToC, CIFOR's GCS REDD+ programme has performed well, especially at the lower levels (knowledge production, tailored products and engagement). Even at the level of intermediate outcomes and end-of-programme outcomes CIFOR's GCS work has contributed to the knowledge base, thinking and strategic documents at the international and national level. The global and country case studies illustrate that CIFOR was one of a number of stakeholders contributing to the REDD+ process in Indonesia, and certainly made a significant contribution. This was partly through the work of one particularly influential member of staff who joined CIFOR in 2003 having been Deputy Minister of the Environment, and was centrally involved in the development of REDD+ policies. These findings were confirmed at the sense-making workshop where participants used a method developed by the Redstone Strategy Group to assess how much CIFOR had contributed to the development and implementation of REDD+ policies and procedures in Indonesia. While Indonesia is not yet completely 'REDD+ ready', it is now far more so than it was in 2005, and CIFOR's GCS work has clearly contributed to this.

The episode studies of the evolution of REDD+ policies and processes in three countries where GCS REDD+ had not been involved in country-level work found clear evidence that CIFOR's work contributed to the process in Ghana and the Philippines, mainly through key publications, workshops, learning events, networking, and 1:1 interactions with CIFOR staff especially providing advice and reviewing national policy documents.

## The assessment approach

The general consensus of the assessment team and GCS REDD+ component leaders is that the COR approach enabled CIFOR both to gather rigorous credible evidence of the outcomes of its research and to assess the effectiveness of its own processes. But the approach required substantial effort to develop a ToC that all stakeholders would accept as a reasonable description of what was expected to happen, and more involvement on the part of CIFOR staff in analysing the results in collaborative workshops than more traditional approaches would have demanded. With some simplification of the research questions and the component studies the approach could be useful for CIFOR and other research-based organisations seeking to engage with international and national policies.

## Recommendations

The evidence collected from this assessment suggests that a combination of national and international work, and of research, policy engagement and practical support on the ground, as adopted by the GCS programme, can be effective. But the balance between national and international work, and between academic research, capacity building and supporting national institutions, is likely to differ depending on the policy issue and context. Specific recommendations to CIFOR based on the analysis of the results of the assessment at the sense-making workshop are as follows:

1. **Maintain the emphasis on rigorous research**: CIFOR is a research-based organisation. Robust research-based evidence must continue to underpin all of CIFOR's work on policy engagement and practical implementation.
2. **Adopt realistic policy objectives:** CIFOR should set realistic policy objectives that are clear, measurable and timebound in order to facilitate rigorous monitoring and evaluation (M&E).
3. **Understand and address the politics of policy processes**: An understanding of the political context of policy processes, their unpredictability and how changes happen, has helped the GCS programme to locate, position and balance its research and other work. This emphasis should continue.
4. **Adopt a theory of change (ToC) approach for all projects and project proposals:** While the assessment does not prove that using a ToC-based approach increased the impact of the programme, it does illustrate that the emergent approach used by the GCS REDD+ Programme has worked, and it has had significant impact. It will be important to build on this by continuing to give careful thought to possible uptake pathways through political policy processes, in order to identify the specific research needs of decision-makers and how best to meet them.
5. **Identify the most appropriate balance between policy-relevant and more fundamental research:** CIFOR could be more systematic in identifying opportunities to engage with policy and practice at sub-national, national and global levels. In doing so, there is a balance to be struck between what is relevant (what is actively demanded by policy-makers) and what is imperative (what policy-makers should be aware of).
6. **Improve communications and engagement:** This assessment has identified the value of specific communication products for specific audiences. A more politics-aware, ToC-driven approach will also require improved communication products and processes.
7. **Determine the balance between science and communication in different contexts:** The most productive balance between basic research, and engagement and communications will be different in countries where CIFOR has a presence and those where it does not. The evidence from the assessment suggests that uptake of research, and influence on policy development, is limited in the latter set of countries, and therefore more targeted and tailored products may be necessary.
8. **Improve project management processes:** The emergent approach to programme management within a sound overall framework of regular team meetings, clear responsibilities for component leaders, and a strong reliance on individuals interested in collaboration has worked well in the GCS REDD+ Programme. This should be reinforced in future programmes by ensuring all team members have a shared vision and understanding of the ToC, with stronger internal communications and an emphasis on the continuous evaluation of progress.
9. **Increase emphasis on M&E:** It is increasingly important for research organisations to be able to demonstrate the value of their work in order to convince donors to continue funding, and help research managers to maximise the use and usefulness of the research. CIFOR should establish M&E systems to ensure the systematic collection of evidence on impact, achievements and lessons learned, which are then documented and communicated effective.

# 1. Background

## 1.1. The Global Comparative Study

The goals of the Center for International Forestry Research (CIFOR)'s research on forests and climate change mitigation, as expressed in the 2008–2018 Strategy, were as follows:

> *CIFOR's goal is to ensure that the international post-2012 climate regime and national-level REDD schemes are designed in such a way as to ensure that forest-based emissions reductions are efficient, equitable and provide benefits to affected communities in developing countries. Within four years, CIFOR's research will have informed negotiations toward a global REDD regime, and will have contributed to the design and implementation of national-level REDD schemes so that they meet these criteria. Within five years, CIFOR aspires to influence national-level REDD policies and strategies in at least five countries.*[2]

The principal vehicle for CIFOR's research on forests and climate change mitigation, the Global Comparative Study on REDD (GCS REDD+), was initiated in 2009. The GCS REDD+ is organised around four modules focusing on governance of national climate change policy; sub-national REDD+ projects; emission measurement, reporting and verification (MRV) systems; and carbon management at the landscape scale, with a cross-cutting module dedicated to the sharing and dissemination of knowledge. This is shown in Figure 1. Further research on benefit sharing was added in Phase 2.

Through the GCS REDD+, CIFOR and its partner organisations investigate international, national and sub-national REDD+ experiences through comparative studies of the implementation of REDD+ in 12 tropical forest countries[3] in order to identify challenges and provide solutions to support the design and implementation of effective, efficient, and equitable REDD+ policies and projects.

Through guidelines, tools and analysis derived from comparative research across these countries and elsewhere, GCS REDD+ aims to support all countries in their efforts to reduce emissions in an effective, efficient and equitable way. The first phase of GCS REDD+ was completed in 2013, and the second phase is due to be completed in December 2015.

## 1.2 The CIFOR Climate Change Programme Assessment

The CIFOR Climate Change Programme Assessment has three distinct but related objectives:[4]

1. To assess the contribution that CIFOR's GCS REDD+ Programme has made to the goals stated in CIFOR's 2008–22018 Strategy, and to offer suggestions for changes to or improvements in current and future CIFOR research programmes on forests and climate change.
2. To develop assessment methods that can demonstrate CIFOR's outcomes and impacts.
3. To inform CIFOR's strategy to achieving better outcomes and impacts.

Following substantial discussions between May and July 2014, it was decided to approach the assessment as a collaborative partnership involving CIFOR's climate change scientists, the CIFOR Monitoring, Evaluation and Impact Assessment team, a team from Royal Roads University, and a team from the Overseas Development Institute (ODI). A full list of all participants and their role is provided in Annex 2.

The assessment used a modified collaborative outcomes reporting (COR) approach[5] to develop a 'performance story' to describe how GCS research outputs and engagements have contributed to planned and unexpected outcomes. This approach assesses progress against an existing, or retrospectively constructed, theory of change (ToC), and assesses what other factors may have contributed. It draws on existing data, and new data arising from a consultative process with a wide range of stakeholders to assess the contribution the programme has made to the observed outcomes.

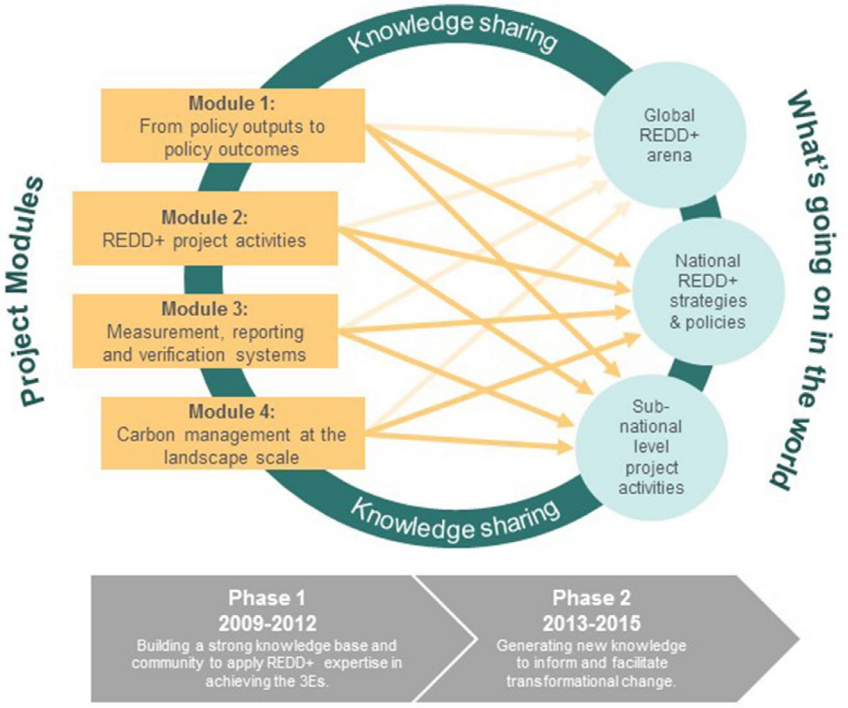
2 CIFOR's Strategy 2008–2018: 32.

3 Module 1 of the GCS originally worked in 12 countries, which had expanded by 2015 to 15, although Module 2 works only in six countries, Module 4 in four countries, and Module 3 globally and in a few countries.

4 The full terms of reference for the Climate Change Programme Assessment are included in Annex 1. These simplified objectives were agreed following the Inception workshop, based on more comprehensive objectives set out in the Terms of Reference.

5 See: http://betterevaluation.org/plan/approach/cort

**Figure 1: Relationship between project modules and target audiences in phase 2**




*Source: Learning from REDD+: An Enhanced Comparative Analysis. A proposal prepared by CIFOR for submission under teh Government of Norway's Climate and Forest Iniative. 16 October 2012.*

The approach involved four basic steps:

1. Preparation – preparation and planning through a series of meetings between CIFOR and ODI staff, a two-day inception workshop involving all component leaders and senior management in CIFOR, and a one-day workshop for CIFOR staff who would be undertaking the CIFOR country case studies (August–September 2014).
2. Research – documentary review and new studies at the global and national level including countries in which the GCS REDD+ Programme has and has not worked (October 2014–February 2015).
3. Analysis and reporting – the discussion of draft reports in country case-study workshops with stakeholders in Indonesia and the other CIFOR countries, a workshop to review the findings of the communication review with the component leads and communications staff in Bogor, and a data-integration workshop in London for the assessment team to agree how to draw the results together for the final report (February–March 2015).
4. Learning and sharing – a sense-making workshop in London involving the research module leaders and senior managers in CIFOR to discuss the emerging findings and agree on the conclusions and recommendations, and a presentation and discussion of the final results at the CIFOR Annual Meeting in October 2015 (July–October 2015).

The preparation phase finalised the main question for the assessment and a set of seven sub-questions to be explored through each of the component studies at international, national and sub-national level.

The main question was: How well has the GCS achieved its goals, and how could it be improved?

The seven sub-questions were:

1. How has GCS activity contributed to its Programme outcomes?
2. Are the target audiences using the GCS work?
3. Are the target audiences aware of GCS work?
4. Have GCS engagement and communication channels been effective?
5. Have GCS projects produced relevant science to achieve its goals?
6. Have the GCS programme and its projects been effectively integrated across scales (sub-national, national and global)?
7. Has the GCS used coherent strategies to achieve its outcomes?

The preparation phase also identified six specific studies to collect information for the assessment:

- **An international case study:** on the contribution of CIFOR research to the adoption of the step-wise approach in setting reference emission levels and reference levels (REL/RL) in international processes and recommendations, and the degree to which it has been incorporated into national-level plans.
- **A detailed case study of the contribution CIFOR work has made to REDD+ readiness in Indonesia:** to assess the contribution of CIFOR research and communication, engagement and capacity development work to REDD+ policies, procedures and capacity.
- **Light-touch case studies in countries where CIFOR has undertaken GCS REDD+ research:** to assess CIFOR's contribution to REDD+ readiness both through international channels – focusing on the MRV story – and through CIFOR's presence on the ground. The countries chosen were Brazil, Peru, Cameroon and Tanzania, but it was possible to complete studies only in Peru and Cameroon within the assessment timeframe.
- **Episode studies in countries where CIFOR has not been active:** the purpose of these studies, commissioned from independent researchers, was to assess the impact of CIFOR's work in countries where the CIFOR GCS REDD+ Programme had not been active.
- **Stories of change:** exploration of ten 'stories of change' identified by CIFOR staff and other stakeholders where CIFOR's work seems to have been influential.
- **Communications review:** two surveys to explore the impact of GCS-derived messages on audiences identified in its global and national theories of change, and a workshop with research and communications staff in CIFOR to analyse the results, identify evidence of good uptake and use of CIFOR-generated information, and any lessons to strengthen good practice.

The overall timing and integration of these studies is shown in Figure 2.Further details of the assessment process are provided in the Process Report in Annex 3: Process Report.

## 1.3 Theory of change

A key element of the COR approach is assessing progress against the Programme's Theory of change (ToC). While there was no explicit ToC when the GCS started in 2007, it was implicit in the programme design through a clearly articulated research framework.[6] The design recognised the complexity of the context and the need to develop collaborative work with stakeholders at the global, national and sub-national level on a range of different issues, and use the results to generate a wide range of tailored communication products for specific audiences in order to achieve results. The framework recognised (but did not elaborate on) different impact pathways based on different stakeholder ('partner') groups.

The original figure showing the Programme design in the first proposal to donors illustrates this well, with the overall flow of knowledge running 'against' time and interweaving through this complexity to inform policy and practice at the global, national and sub-national level. (See Figure 3 below.) It is worth noting here the slight change between this early representation, and the later representation used for Phase 2 (see Figure 1).

Since 2013, CIFOR has invested considerable energy in developing theories of change, impact pathways and outcome mapping (grounded in earlier political economy research) and has generated various versions of ToC for its work. One, developed for the CGIAR-wide Forests Trees and Agroforestry (FTA) Flagship Programme 4 (Climate Change), of which the GCS is the major part, showed a progression from the production of science, through engagement with different partners to policy outcomes, but with implicit feedback loops through, for instance, 'co-production of science' and 'partner-centred knowledge dissemination'. It would be impossible to do either of these without prior engagement with researchers in order to identify research topics of mutual interest, and with partners in order to find out what knowledge they need. This ToC is shown below in Figure 4.

Further work was done at the inception workshop, the country case-study planning workshop and in subsequent meetings with CIFOR staff to develop more detailed theories of change for the global MRV case study and the Indonesia and other CIFOR country case studies. These were used to develop the specific research questions and interview questions for each study. They were all reviewed again at the data-integration workshop in London to provide a ToC for GCS to use as the basis for the overall assessment (shown in Figure 5).

6 CIFOR (2012) 'Climate change mitigation. Avoiding deforestation and greenhouse gas emissions, enhancing forest carbon stock. A framework proposal'. Bogor: CIFOR. Available at: http://www.cifor.org/publications/pdf_files/framework-proposal/d1-climatechangemitigation.pdf

**Figure 2: Assessment components and timing**

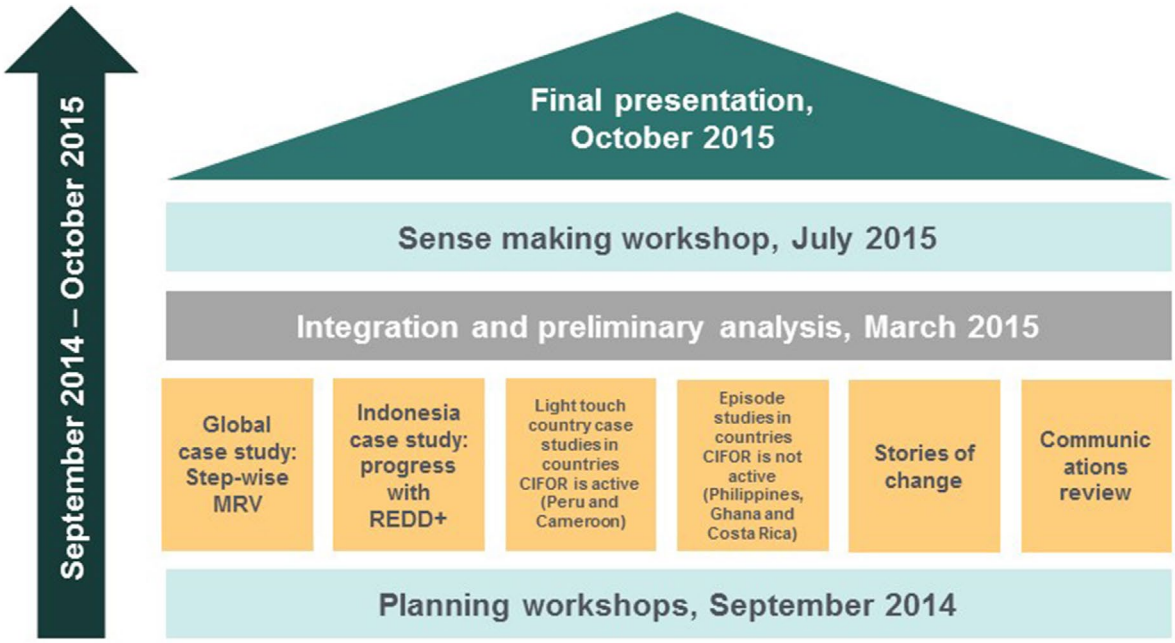
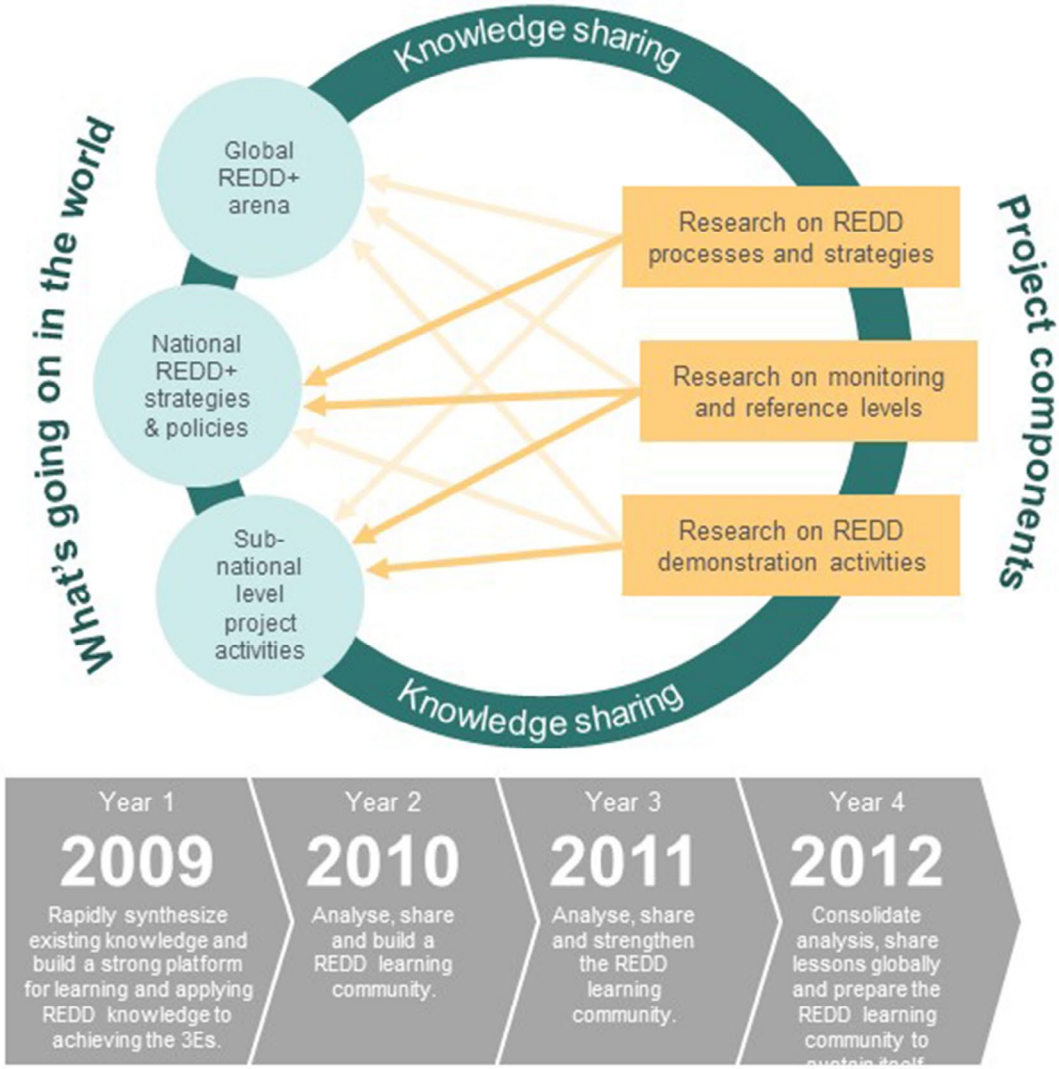
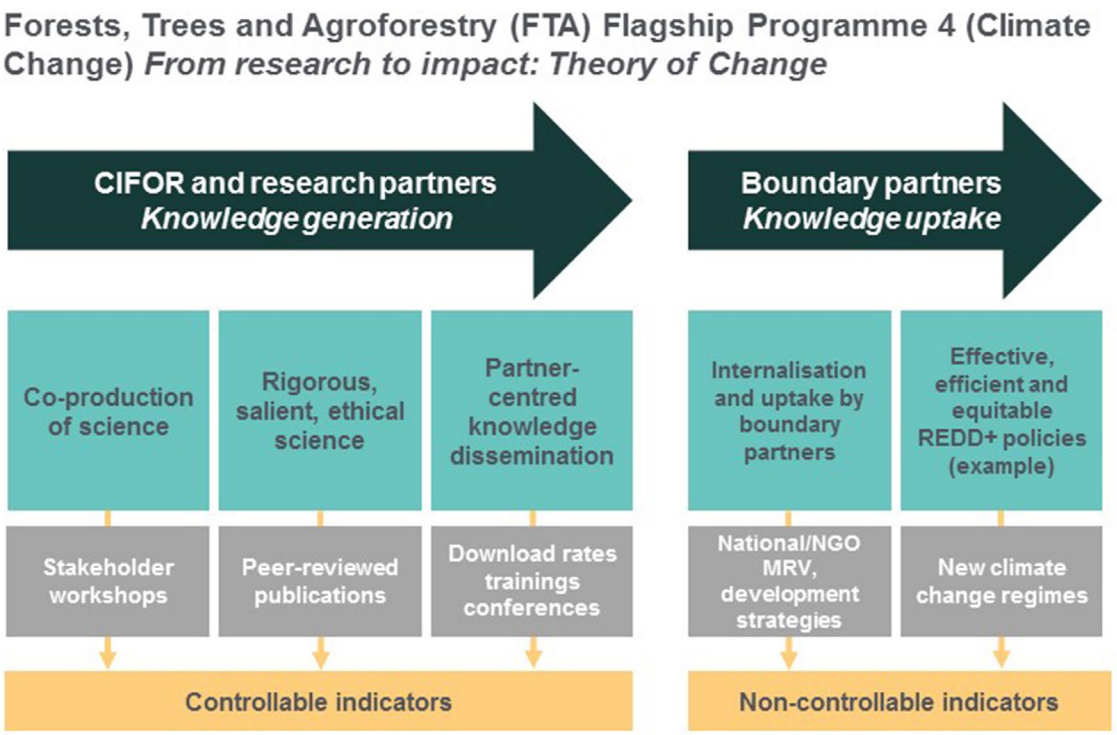


**Figure 3: The original project design**



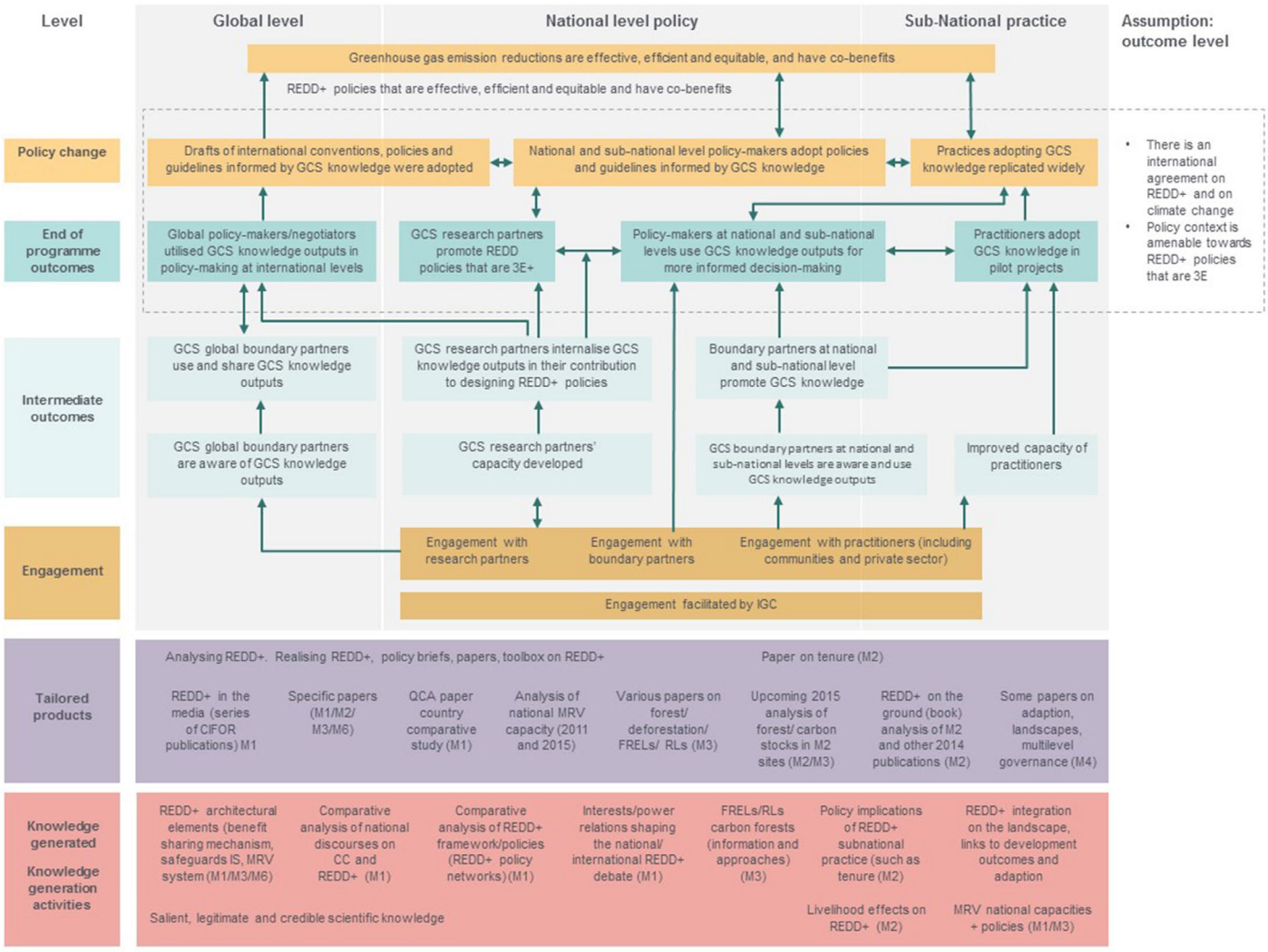

*Learning from REDD: A Global Comparative Analysis. A proposal prepared by CIFOR for the Government of Norway's Climate and Forest Initiative. 27 February 2009.*

**Figure 4: FTA Flagship Programme 4 theory of change**




*Slide developed by Christopher Martius following a meeting on ToC in Bogor in 2013.*

**Figure 5: GCS theory of change used for the overall assessment**



# 2. Results

## 2.1 Performance against the theory of change

The following points are a summary of the results reported against the overall GCS ToC with some illustrative evidence to support them. More detailed descriptions of the results achieved, and the supporting evidence, are presented in Annex 3.

### Knowledge generation activities

GCS REDD+ has generated a huge range of new knowledge in all the areas of research including:

- The architectural elements of REDD+ in a number of major forested countries in Latin America, Africa and Asia, including the distribution of potential REDD+ benefits in Peru, the economic value of forests and benefit sharing in Cameroon, and linking community-level and national REDD+ monitoring in Indonesia (Murdiyarso 2013).
- Enhanced knowledge of national circumstances related to governance, the national discourse on REDD+ and national policy frameworks, including national-level studies in 15 countries and global comparative studies (e.g. Brockhaus et al. 2013).
- Important new research on the carbon effects of REDD+ including the implications of bio-diesel-induced land-use changes (e.g. Achthen and Verchot 2010), and emissions from wetlands (e.g. Murdiyarso et al. 2011), which has also contributed to other research programmes in which CIFOR is involved (e.g. SWAMP – which researches high-carbon wetlands in 23 countries).
- Response to a number of key weaknesses recognised in the global IPCC Guidance for national GHG inventories, and further research to fill the gaps, including approaches to country assessments (e.g. Herold and Skutsch 2011) and methods to assess deforestation (e.g. Verchot et al. 2010).
- A new conceptual framework for assessing countries' progress in their ability to assess emissions and the likely accuracy of their assessments (e.g. Herold et al. 2012).
- Linkages between national policy and implementation at the local level (e.g. Larson et al. 2014).
- National MRV capacity (e.g. Romijn et al. 2012).
- Interlinkages between REDD+ and poverty reduction, and the livelihood impacts of REDD+ projects (e.g. Sunderlin 2014).

### Tailored products

The GCS REDD+ programme has produced a very large number of publications. Peer-reviewed journal articles are considered important to maintain the necessary scientific credibility to influence the international REDD+ community. GCS REDD+ has also produced a large volume and range of products tailored for specific audiences (some of which are also peer reviewed). Specific products that were highlighted during the assessment included:

- Major flagship publications, *Analysing REDD+*, *Realising REDD+*, *Moving Ahead with REDD* and *REDD+ on the Ground*, which have attracted much policy attention. They were produced to coincide with the UNFCCC negotiations, often in multiple formats and languages. *Analysing REDD+* was published in two forms: a summary and long version. Both were tailored to meet audience needs, and appeared in six languages. *Realising REDD+* was published in four major languages.
- A very high volume and range of scientific papers, maintaining CIFOR as a leading source of scientific knowledge regarding REDD+. Over 150 publications including books, scientific articles and working papers were produced in 2012 and 2013 alone according to the FTA evaluation.
- Specific publications tailored to global and national audiences are usually produced in the national language in which the study took place. For example, the policy network analysis in Peru carried out by CIFOR and Libelula was published in the form of an info brief in English and Spanish.
- CIFOR's products on national REDD+ processes and policies were cited most frequently by academics in the two surveys as the key sources on REDD+.
- CIFOR has published at least 11 papers on the importance of land tenure and REDD+ in different countries.
- CIFOR's tailored online products attract huge interest. The latest CIFOR publication received nearly 14,000 page views, with 44% of readers reading the content between December 2014 and June 2015.

## Communication and engagement

CIFOR's approach to global GCS REDD+ communication has been highly effective. International and national academics, policy-makers and other stakeholders are interacting with CIFOR research through a variety of channels including the web site and other internet-based channels. Global, regional and national events and conferences are well known, well attended and attract high-level participants. Respondents in the country case studies, however, asked for more engagement with CIFOR scientists at the national level and more national events. Good examples of engagement with specific stakeholders identified in the assessment included:

- **With international boundary partners**: GCS REDD+ global boundary partners including researchers, policy-makers, donors and international advisers are aware of GCS REDD+ knowledge and value its contribution to their work. For example, the Centre for Remote Sensing and Geographical Information Services (CERSGIS), Northern Sector Project Manager of A Rocha Ghana, and IUCN, used CIFOR documents on reference levels and community participation in the REDD+ process, and CIFOR publications were reported to have been helpful for colleagues at Fauna and Flora International who are active in the REDD+ implementation in the country.
- **With international research partners**: through collaborative research, resulting in the publication of many collaborative publications, and through workshops, for example a workshop on the step-wise approach organised with Wageningen University GOFC-GOLD in 2012.
- **With national research partners**: through a very wide range of collaborative research with a broad range of national partners, and while not the primary focus, capacity building has been an important part of this form of engagement. For example, ICEL staff claimed that their collaboration with CIFOR on the co-production of policy network analysis had improved their capacity to undertake policy research and policy engagement.
- **With national boundary partners:** through the establishment of MoUs with national and sub-national governments to collaborate on REDD+ work, for example in Peru; through collaboration with the Ministry of Forestry in Indonesia on the establishment of the REDD-I; and through sharing publications and information, for example with Flora and Fauna International in Ghana.
- **With national practitioners:** GCS Module 2 has worked with a wide range of national 'proponents' in the GCS countries.

## Intermediate outcomes

The GCS REDD+ ToC expected these activities to contribute to greater awareness and use of GCS REDD+ knowledge by global and national research partners and boundary partners, and improved capacity of practitioners. Overall, this seems to have happened. For example:

- **Global boundary partners' awareness and use of GCS REDD+ knowledge:** the step-wise approach was discussed at SBSTA plenary at the Durban COP, and at side events, and GCS REDD+ knowledge has been used and promoted by global and national partners. For example, the approach was included in the Meridian Institute Report for the Government of Norway, and in Cameroon, COMIFAC cited GCS RDD+ documents in presentations to partners.
- **Research partners' awareness and use:** partners in Peru and Indonesia described how they had used GCS REDD+ approaches to strengthen their own work. For example, in Indonesia a government representative claimed that the REDD-I website had contributed to improving research in FORDA, and a Norway-funded CIFOR research partner incorporated the step-wise approach in recommendations to the Ethiopian and Guyanese governments.
- **Increased capacity of boundary partners:** there is evidence of increased capacity of GCS REDD+ boundary partners to develop national REDD+ Programmes, albeit mainly in countries in which GCS-REDD+ has had long-term activity. An interesting exception to this was the reported result of CIFOR workshops in Guyana, which helped national authorities to develop their own MRV system. There is a strong demand for more national events from national stakeholders, and staff from local forest agencies and national or sub-national NGOs seem to make more use of CIFOR research than other stakeholders. Most capacity strengthening appears to be the result of workshop and training activities, which provide a purposeful channel for knowledge transfer.

### End-of-programme outcomes

The GCS REDD+ ToC expected these intermediate outcomes to contribute to the use of GCS REDD+ knowledge in international and national policies, that research partners promote REDD+ policies that are 3E+, and that practitioners adopt GCS REDD+ knowledge. This has happened to some extent. For example:

- The step-wise approach to setting reference levels was taken up in an option paper by a major REDD+ donor country and subsequently fed into the UNFCCC negotiations, and GCS-REDD+ research has strengthened the knowledge base in national NGOs and multilateral organisations.
- Research partners are not seen to have promoted the 3E+ framework (efficiency, effectiveness, equity) explicitly, but have promoted the conditions towards achieving a 3E+ framework. Research partners in Peru (DAR and MINAM) claim that they started to address the issue of transparency and fairness in benefit distribution only after participating in GCS REDD+ activities in Peru in 2014.
- GCS-REDD+ outputs have provided national policy-makers with new information and tools to enable them to make more informed decisions on REDD+, although this appears largely restricted to those countries where there has been active involvement by CIFOR staff. Practitioners' adoption of GCS-REDD+ knowledge is variable and determined by multiple factors, something that a well-designed strategy should take into account.

### Policy change

The GCS REDD+ ToC expected these outcomes to contribute to the adoption of GCS REDD+ knowledge in international policies and practices. While there is some evidence that this has happened, the absence of an international agreement on REDD+ has limited their implementation in practice. Nevertheless:

- The step-wise approach was adopted and included in UNFCCC Decision 12/CP.17, paragraph 10, which states that the Parties 'agree[s] that a step-wise approach to national forest reference emission level and/or forest reference level development may be useful, enabling Parties to improve the forest reference emission level and/or forest reference level by incorporating better data, improved methodologies and, where appropriate, additional pools, noting the importance of adequate and predictable support as referenced by decision 1/CP.16, para. 71'. The step-wise approach is part of the Warsaw Framework for REDD+. The annex 2 (e) to the Warsaw Framework for REDD+ states that 'if applicable, whether descriptions of changes to previously submitted forest reference emission levels and/or forest reference levels have been provided, taking into account the step-wise approach'.
- The uptake of GCS-REDD+ knowledge has occurred in countries in which CIFOR has a presence, for example in Peru, where the REDD+ MINAM project from the PNCB (National Programme for Forest Conservation) is developing a proposal for safeguards to meet and adapt to the Peruvian context the seven safeguards established by the UNFCCC. MINAM is also revising the commitments framed in the process of preparation and implementation REDD+ from FCPF, through the Strategic Environmental and Social Assessment (SESA). The step-wise approach has also been adopted in Ethiopia, Guyana and Indonesia.

## 2.2. Performance against the evaluation questions

The following points aggregate the summary of results achieved against the main assessment question and seven sub-questions. More detailed descriptions of the results achieved, and the evidence supporting those statements, can be found in the results chart against the assessment questions in Annex 4.

### The main question: How well has the GCS achieved its goals, and how could it be improved?

The main goal of the GCS programme is hugely ambitious for a relatively small research organisation, especially in such a highly contested policy arena, and in the absence of a global agreement on REDD+ is clearly out of reach. There are firm indications, however, that the research-based evidence developed in the GCS programme is influencing the development of systems that will achieve reductions in greenhouse gas (GHG) emissions from forests in ways that are effective, efficient, equitable and will have co-benefits when a global agreement is reached. At the global level, CIFOR has influenced the UNFCCC negotiations in suggesting a step-wise approach to setting reference levels, which was formally adopted in 2011. This is a significant achievement for a research institution such as CIFOR. In addition, GCS research results have also clearly influenced the global UN-REDD Programme to include land tenure (in 2014), a major determinant of the equity of the outcome of REDD+ schemes. Two stories of change illustrate the positive contribution to international processes that CIFOR has made through the GCS programme. These are summarised in Box 1 below, and more detailed versions are included in Annex 5.

At the national level, the step-wise approach has been adopted in Ethiopia and Guyana as a direct consequence of the GCS programme. CIFOR has also demonstrably increased the capacity and influenced the behaviour of national policy-makers and other actors, for example in Peru and Indonesia, to promote 3E REDD+ approaches. CIFOR has had some influence on REDD+ policy development in countries where it has no country office, although evidence suggests that the presence of a CIFOR country office can increase impact. One of the stories of change illustrates how CIFOR has contributed to national policy processes. This is summarised in Box 2, and a more detailed version is included in Annex 5.

**Box 1: CIFOR's contribution to international processes**

Two stories of change highlight the positive contribution to international processes that CIFOR has made through the GCS Programme.

The first concerns the UN-REDD Programme. This is the United Nations collaborative initiative on Reducing Emissions from Deforestation and Forest Degradation (REDD+) in developing countries. The Programme was launched in 2008 and builds on the convening role and technical expertise of the Food and Agricultural Organization of the United Nations (FAO), the United Nations Development Programme (UNDP) and the United Nations Environment Programme (UNEP).

In the early years of the UN-REDD Programme, land tenure was not regarded as an issue that it should address. This changed with the contribution made by CIFOR's research on land tenure and REDD+, which was seen as being credible, academic and non-partisan and therefore was used by the UN-REDD external evaluation team to demonstrate the scientific need for land tenure to be part of UN-REDD's Programme. The credibility of CIFOR's research contributed to convincing the UN-REDD Policy Board of the scientific merits of tenure, which encouraged it to give it a higher priority in their Programmes. Land tenure is now a key part of UN REDD's core strategy, from which it had been absent before June 2014.

The second story concerns the measurement, reporting and verification of forest cover and emissions, which is an essential part of the global REDD+ process. Countries clearly have different capabilities and capacities to prepare data on carbon emissions. To address this problem, CIFOR scientists proposed a step-wise approach to such measurement that responds to the varying levels of capacity at the national level. The approach comprises three gradual steps of increasing quality in the data. As countries develop their institutional and technological capacity, they can move from step 1 to step 2 and then to step 3, improving the quality of their data sets as they progress.

The step-wise approach was adopted at the 2011 UNFCCC's Conference of Parties (COP) meeting in Durban. The approach was then recognised and reaffirmed during COP19 in Warsaw in 2013. It has become the main method used to guide countries to improve their capacity to carry out REDD+ Programmes, mainly in setting their forest reference emission levels (FREL) and forest reference levels. All Parties to the UNFCCC are expected to follow it (Decision 13/CP.19). The step-wise approach has therefore given countries with differing capacities the opportunity to engage with the international REDD+ process.

## Sub-question 1: How has GCS activity contributed to its end-of-Programme outcomes?

CIFOR has achieved these outcomes through five main mechanisms: high-quality independent research and publications and extended outreach; the development of approaches and tools; the provision of expert support at international and national level; international events and training; and collaboration with and capacity development of national partners. Specific information about each of these is provided below:

- **High-quality independent research and publications and extended outreach:** For example, GCS REDD+ research was instrumental in convincing UN-REDD to adopt land tenure into its logframe and CIFOR scientist William Sunderlin was subsequently invited to make a presentation to the UN Policy Board. As described in Box 2, CIFOR made the main scientific input for the governments of Norway and Indonesia regarding the moratorium on logging natural forests in Indonesia. Much of this research has been done in collaboration with international and national research partners, which has also increased their institutional and technical capacity. CIFOR also trains a large number of researchers from developed, emerging and developed countries through PhD programmes and post-doctoral positions.
- **Development of approaches and tools:** The step-wise approach has been important in helping to move the international REDD+ negotiations forward, and has been adopted at the international and national level, e.g. in Ethiopia, Guyana and Indonesia.
- **Provision of expert support at international and national level:** CIFOR staff and close associates are highly trusted and frequently asked for technical advice and support. For example, CIFOR staff were part of the INCAS/FREL design team and provided the scientific basis to develop INCAS/FREL in Indonesia, and Daniel Murdiyarso acted as the knowledge broker to ensure that CIFOR provided the right knowledge at the right time to the Indonesian Ministry of Environment.
- **International events and training:** International events and training are a vital part of how CIFOR achieves its impact. International events around the COPs have already been mentioned, as have international workshops where national policy-makers and researchers acquire knowledge and skills that they then apply back home. REDD+ policy-makers in Ghana and the Philippines interviewed for the assessment reported that they found CIFOR events and courses useful and asked for more.

- **Collaboration with and capacity development of national partners:** Much of CIFOR's national capacity-building work occurs as part of collaborative research and/or through work with the national proponent organisations in GCS REDD+ countries, but GCS REDD+ has also run a large number of training courses, workshops and seminars providing knowledge and skills to a wide range of partners at the national level.

## Sub-question 2: Are the target audiences using the GCS work?

The GCS REDD+ ToC identifies six categories of actor expected to use CIFOR research: national research partners, national proponents (i.e. organisations promoting REDD+ approaches at field level), national practitioners, national policy-makers, international research partners, and international policy actors including the IPCC, bilateral and multilateral donors etc. There is strong evidence that most of CIFOR's audiences are using its work, even in countries where there is no country office. Specific details about each audience are given below:

- **National research partners:** National research partners are involved not only in conducting CIFOR research, but also make use of the results. For example, in Peru a Libelula representative described how it used the results of CIFOR work to develop better approaches to communicating its work.
- **Proponents (national-level organisations involved in M2 work):** There is evidence that REDD+ national proponents in Cameroon and Indonesia are using the results of GCS REDD+ work in their own work on sustainable forest management.
- **National practitioners:** Operational agencies and practitioners (including communities, the private sector and the media) are clearly using CIFOR's work. For example, a private company in Peru, Bosques Amazónicos (BAM), is using CIFOR-derived work to develop and market carbon credits as part of a REDD+ project at the national level, and ICEL in Indonesia is using CIFOR's research on policy-network analysis to inform its own policy advocacy.
- **National policy-makers:** In many countries there is strong evidence of the use of CIFOR's work by national operational agencies and by policy-makers. For example, the step-wise approach has been adopted and applied in several countries including Ethiopia, Guyana and Indonesia. An interesting exception is Peru, where policy-makers were aware of the GCS MRV step-wise approach, but chose to use an approach developed by the University of Maryland because the data were freely available and immediately useful whereas the step-wise approach is a conceptual framework that requires data.
- **International research partners:** There is strong evidence that international research partners make use of CIFOR work in their own research and communications on REDD+. For example, CIFOR's research partners at Wageningen University in the Netherlands run the geospatial lab, which is part of GOFC-GOLD and has produced the methods sourcebook to help professionals implement IPCC procedures.
- **International policy actors (e.g. IPCC, bilateral and multilateral donors):** There is strong evidence that international policy actors and donors contributing to climate-related funds use CIFOR research in their work. For example, the adoption of the step-wise approach has already been mentioned, addition to which the governments of Indonesia and Norway both consulted CIFOR in the process of developing the forest moratorium in Indonesia.

### Box 2: CIFOR's contribution to national policy processes: the example of Indonesia's forest concession moratorium

This story of change (SoC) brings out the challenge of attributing policy change to the work of CIFOR and in particular the GCS Programme. The policy change refers to the national moratorium on the award of new licences in primary natural forests and peat lands, announced in 2011. Staff associated with the GCS Programme played an important role in furthering this national policy, but it is difficult to verify how far this can reasonably be attributed to CIFOR's research.

During the 2009 G20 summit, Dr Susilo Bambang Yudhoyono, President of the Republic of Indonesia, pledged to reduce Indonesia's GHG emissions by 26% by 2020, using domestic resources. This pledge was strengthened in May 2010 by a Letter of Intent (LoI) signed by the governments of the Republic of Indonesia and the Kingdom of Norway. The Norwegian government pledged up to US$1 billion to support Indonesia's work to reduce GHGs. Substantial reduction of carbon emissions would result from a moratorium on new forest concessions. First introduced in 2011, the moratorium has since been renewed in May 2013 and May 2015.

CIFOR's research influenced the LoI between Indonesia and Norway. One idea that had been discussed was the possibility of an extensive re-planting programme rather than a moratorium on new logging concessions. The timely release of a CIFOR research report *Reducing Forestry Emissions in Indonesia* showed that planting the number of trees needed to achieve emissions-reduction targets would require a land area twice the size of Indonesia. Acting as a 'trusted partner' CIFOR was able to influence the way LoI was drafted and negotiated because both parties trusted CIFOR's science-based policy advice.

### Sub-question 3: Are the target audiences aware of GCS work?

There is widespread awareness of CIFOR's work among those people contacted as part of this assessment. This is not surprising since the assessment used CIFOR mailing lists for the surveys and has interacted largely with those working with CIFOR staff for the country studies. There were, however, some interesting exceptions. Stakeholders interviewed for the episode study in Costa Rica, for instance, were largely unaware of CIFOR's work, and awareness was patchy elsewhere. For example, awareness of GCS REDD+ work on MRV was not widespread in Cameroon or Peru, and at the international policy level while the principles of the step-wise approach were well known, its origin in CIFOR was much less so, and few knew about the full range of CIFOR knowledge. This is hardly surprising given its range, and indeed at a policy level the origin of an idea can undermine its adoption.

### Sub-question 4: Have GCS engagement and communication channels been effective?

GCS uses a very wide range of channels for communication and engagement including digital (web and social media etc.), publications (often disseminated digitally), events and conferences, collaborative research, personal engagement of CIFOR staff with other stakeholders, bilateral engagement with national government, and practical engagement with practitioners. Broadly, CIFOR's approach to communication and engagement has been highly effective in comparison to other international programmes (e.g. CDKN), and there has been uptake of CIFOR-produced approaches by stakeholders where CIFOR does not have a local presence, such as in Ghana and the Philippines. Specific details on each channel are provided below:

- **Digital:** CIFOR has developed a strong digital strategy with global audiences, and produces information in a number of languages. The CIFOR newsletter and Forest News Blog were most frequently mentioned in the communication survey as the favourite sources for obtaining CIFOR's work. A comparison between the CIFOR and CDKN digital presence shows that CIFOR digital, website and social media channels have developed a stronger following (including in languages other than English), and that CIFOR has been driving a global discussion on forests and climate change. CIFOR also uses multimedia effectively. The CIFOR YouTube channel has a strong following. CIFOR's YouTube views and subscribers are significantly higher than CDKN's.
- **Publications:** The assessment found that CIFOR publications are well regarded and frequently consulted. The global survey found that CIFOR publications are the most popular form (65% of respondents), more so than scientific publications (38%). This was confirmed in the country studies. For example, informants in Cameroon felt that CIFOR's publications are well suited to technicians and other researchers, but some policy actors indicated that they are too voluminous for policy-makers such as parliamentarians and that more policy briefs are needed. They also suggested that CIFOR adapt and diversify its ways of communicating its research findings.
- **Events and conferences:** CIFOR's international events and conferences are well known, well-attended and attract high-level participants, but respondents in the national case studies and the Indonesia Country Study workshop asked for more national events. Events and conferences are also an important channel for stakeholders in countries where CIFOR is not active on the ground. For example, the episode study in Ghana found that Ghanaian professionals who are at the helm of Ghana's REDD+ process have benefited from learning events where resource persons from CIFOR have shared useful knowledge on subjects such as REDD+ Governance and mangroves.
- **Research collaboration:** CIFOR engages well with national research partners through collaborative research, as has been described above. CIFOR also provides training and informal support. Examples of this are illustrated in three stories of change, which are summarised in Box 3 below, and provided in more detail in Annex 5.

Collaboration sometimes does not meet the demand or match the specific needs of research partners. For example, the Peru country study found that *'CIFOR Peru has facilitated capacity-building and communication through different channels for the dissemination of its research. However, this is considered insufficient to meet demand and does not match the needs of its national and sub-national research partners'*. This may, however, reflect the fact that the level of demand for knowledge from CIFOR may exceed the resources available to country offices.

- **Personal engagement:** CIFOR staff are frequently consulted directly, organise meetings with key stakeholders, attend research meetings, and in some cases provide direct technical inputs, or act as a knowledge broker bringing different actors together. But there is a demand from policy-makers for more tailor-made products, and they would also like to be involved in setting the research agenda. For example, several partners in Cameroon interviewed for the country case study indicated that they frequently consult CIFOR scientists directly when they need information, and the examples of CIFOR's role in INCAS/FREL and Daniel Murdyarso's role as a knowledge broker in Indonesia have already been described above. Box 4 summarises this and two other examples from the stories of change. More detailed versions of the stories are provided in Annex 5.

- **Formal engagement with national government:** CIFOR engages well with national governments in the countries where it works on the ground. Sometimes this includes the establishment of a formal Memorandum of Understanding (MoU), such as in Peru, where CIFOR has established a formal MoU with the relevant ministry (MINAM). In Indonesia CIFOR has helped the government to set up a website, REDD-I, which has become the leading source of knowledge about REDD+ in the country. In Cameroon, CIFOR collaborated with REPAR, which acts as a channel to bring CIFOR's research, particularly regarding benefit sharing, the economic value of forests, and land tenure, to the relevant ministries.
- **Practical engagement with practitioners:** CIFOR also engages effectively with a wide range of practitioners at the national level including proponents (organisations testing REDD+ approaches at the field level).

### Sub-question 5: Have GCS projects produced relevant science to achieve its goals?

As described in detail in Section 2.1, the GCS Programme has produced a vast range of relevant and useful scientific knowledge, with CIFOR studies underpinning many of the key components of REDD+, including the step-wise approach, methods for assessing emissions, land titling and policy analysis. This has included five books and 84 book chapters, 157 journal articles, 48 working and occasional papers, 48 policy and information briefs, and five doctoral theses.[7]

### Sub-question 6: Have the GCS Programme and its projects been effectively integrated across scales (sub-national, national and global)?

The GCS was designed as an integrated programme with interlocking components. Component leaders have managed budgets and outputs autonomously, and collaborated informally. This has resulted in numerous collaborations among the scientists of the GCS modules and a wide range of knowledge-generation activities that are mutually reinforcing. Management and coordination mechanisms have been flexible and responsive and have evolved appropriately as the Programme has developed. There has been at least one annual staff meeting, although less frequent meetings between them, especially for more junior, country-based staff. There has been good collaboration and coordination in some countries, especially where staff work across components, but some country-level staff have described not being fully aware of what other components are doing.

#### Box 3: CIFOR's capacity building of research partners in the GCS Programme: the examples of ICEL, BAM and AIDER

Collaborating closely with country partners is a key element in the GCS theory of change. The outcome of collaborative research has varied across the GCS with positive, and some less positive, results. The outcome appears to be related to the type of organisation with which CIFOR works in partnership, although further analysis would be required to make any generalisations about what makes for the best 'match' between CIFOR and its collaborating organisations.

A positive example of this way of working involved the Indonesia Center for Environmental Law (ICEL), which was invited to collaborate with CIFOR on the Policy Network Analysis of REDD+ in Indonesia. Founded in 1993, ICEL is an NGO that focuses on environmental law to influence the policy-making process. Its mission includes capacity building through legal and policy reform, legal research and the formulation of alternative legislation and policies to support the public interest. Policy Network Analysis is a form of research used to determine the structures in which actors negotiate and try to influence policy processes, outputs and outcomes. CIFOR has used this form of research as the theoretical and methodological approach to analyse national policy processes. There is evidence that through working with CIFOR, ICEL has increased its capacity to conduct policy research, helping it to engage directly with policy-makers. The Policy Network Analysis has also contributed to ICEL's general knowledge. Evidence also suggests that the analysis conducted with CIFOR has added to general awareness of ICEL's work, thereby further helping its work and negotiations in environmental law and increasing its skills regarding REDD+.

More mixed results came out of GCS collaborative research in Peru, where one research partner acknowledged the success of the collaboration with CIFOR, and the other claiming not to have benefited from the arrangement. CIFOR's research partners in Peru include Bosques Amazónicos (BAM), a private company dedicated to the conservation, protection and restoration of tropical forests. BAM identified with the co-produced research, acknowledging that it had provided it with new insights into the governance of REDD+ in Peru (including the lack of information reaching local people). In contrast, AIDER (the Association for Integrated Development and Research), a non-profit organisation working to reduce deforestation and improve local livelihoods, felt that the research had not been co-produced, that CIFOR had gained more out of the partnership, and that there had been no improvement in its organisational capacity.

7 CIFOR REDD+ Publications Database.

### Sub-question 7: Has the GCS used coherent strategies to achieve its outcomes?

The original project design had an implicit ToC in the proposed activities, outputs and outcomes, as described above in Section 1. Much work has been done since then to identify boundary partners and develop a more elaborate global ToC, although specific versions were not developed for national programmes. There remains confusion among junior staff about the theory and practice of ToC, and it was unclear at the start of this assessment whether the ToCs upon which the assessment is based were retrospective or simply a representation of what had been done. The assessment found significant differences in some cases between the ToC and what actually happened.

## 2.3. Assessing CIFOR's contribution to REDD+ policies and processes

Viewed against the overall ToC, CIFOR's GCS REDD+ Programme has performed well, especially at the lower levels (knowledge production, tailored products and engagement). Even at the intermediate and end-of-Programme outcomes level CIFOR's GCS work has contributed to the knowledge base, thinking and strategic documents at the international and national level.

The individual global and country case studies illustrate that CIFOR was one of a number of stakeholders providing input to the REDD+ process in Indonesia, and certainly made a significant contribution. While the global and national case studies mapped the overall policy processes including the political and other external factors, and the activities of other stakeholders, it is not possible within the scope of this study to assess precisely what contribution CIFOR made among the medley of other actors and policy processes.

Three bodies of evidence do, however, allow some observations to be made: the detailed Indonesia case study, and in particular the Indonesia case-study workshop where the results were discussed with a wide range of stakeholders; the episode studies – deliberately focusing on countries where the GCS REDD+ Programme had not been active; and the sense-making workshop at which the results were discussed by the ODI and CIFOR assessment teams and the component leaders for all of the GCS REDD+ Programme modules.

### The Indonesia case-study workshop

The Indonesia case-study workshop brought together ten REDD+ stakeholders with CIFOR staff and the assessment team to review the emerging findings. A key exercise was the participatory development of a timeline showing the evolution of REDD+ processes in Indonesia from 2005 to 2015 showing the key policy events, the activities of the various stakeholder groups including CIFOR, and the evidence, which was considered to be important underpinning the events.

**Box 4: CIFOR's scientific staff/associates as trusted advisers to policy actors**

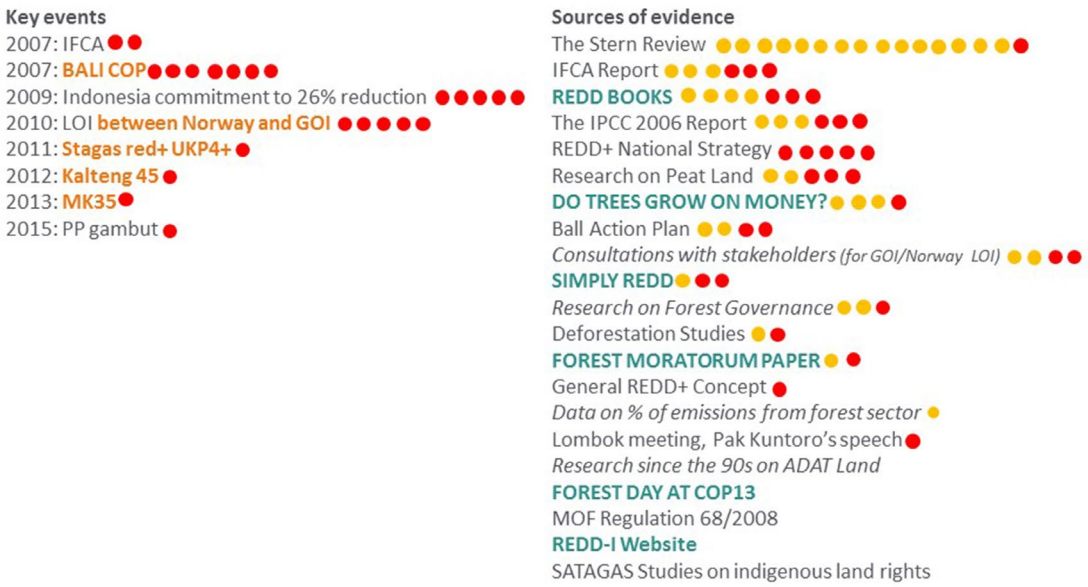
Three stories of change bring out the important role played by staff associated with the GCS Programme in furthering the policy agenda on REDD+ at various levels. These examples demonstrate the 'policy entrepreneurship' required of scientists if policy-related research is to gain traction with policy actors.

The first SoC describes the brokering role played by Daniel Murdiyarso, a principal research scientist at CIFOR, who was able to connect researchers with policy-makers (and vice versa), thus influencing the design of Indonesia's systems for calculating Forest Reference Emissions Levels (FREL). This has, in turn, helped to break new ground in policy on international climate change. The main attributes that allowed him to play this role include being a respected and accomplished scientist on climate change issues as well as having a strong knowledge of policy processes, having held senior positions in a range of influential institutions, including the Indonesian Ministry of Environment and the World Bank. These two factors were key to influencing national REDD+ policies in Indonesia.

The second SoC reflects on the role played by William Sunderlin, also a CIFOR principal scientist, in ensuring that the UN-REDD Programme took up issues related to land tenure. In the early years of the UN-REDD Programme, land tenure was not recognised as an issue that it should address. This changed with the contribution made by CIFOR's research on tenure and REDD+, which was seen as being credible, academic and non-partisan and was therefore was used by the UN-REDD external evaluation team to demonstrate the scientific need for land tenure to be part of UN-REDD's Programme. CIFOR's research, which included a presentation made by Dr Sunderlin to the UN-REDD Policy Board, helped to convince the Board of the scientific merits of taking land tenure into account, and led to its being given higher priority in its programmes.

The third SoC reflects on the role played by Martin Herold, a CIFOR senior associate, and his support to the development of Guyana's MRV system. Key to this system was CIFOR's step-wise approach introduced by Dr Herold, which ensured that the national authority for forests – the Guyana Forestry Commission – was firmly in control of the process. Each year since its introduction, the GFC is able to make carbon assessments based on institutional in-house capabilities and those elements that the GFC is unable to address are outsourced to external consultants. There is evidence that more of the work is being conducted in-house each year, securing greater national ownership over the process. The national REDD+ MRV system builds on existing capacities and data, international requirements and national needs and objectives, to support Guyana's participation in the global REDD+ process.

**Figure 6: Key events and sources of evidence in REDD+ in Indonesia**




The rankings given to the events and to the sources of evidence are shown in Figure 6.[8] In the rankings below, events and evidence to which CIFOR was considered to have contributed substantially or completely are shown in GREEN CAPITALS , and significantly in orange bold text.

These results seem to indicate that CIFOR work contributed substantially to the REDD+ process in Indonesia. Workshop participants also recognised one person in CIFOR who had been particularly influential in the process. He joined CIFOR as a researcher in 2003, having been Deputy Minister of the Environment from 2000 to 2002 and was subsequently centrally involved in the development of REDD+ policies. This role is described in more detail in one of the stories of change collected for this assessment, which is summarised above in Box 4, and described in detail in Annex 6.

It is important to note, however, that much of CIFOR's impact was achieved through its role in establishing the national REDD+ agency and contributing to drafting the national REDD+ strategy, both of which are now uncertain since the abolition of the former and the absorption of its functions in the Ministry of Forestry in late 2014. This illustrates the much greater impact of political factors than research-based evidence and advice and support from organisations like CIFOR.

## The sense-making workshop

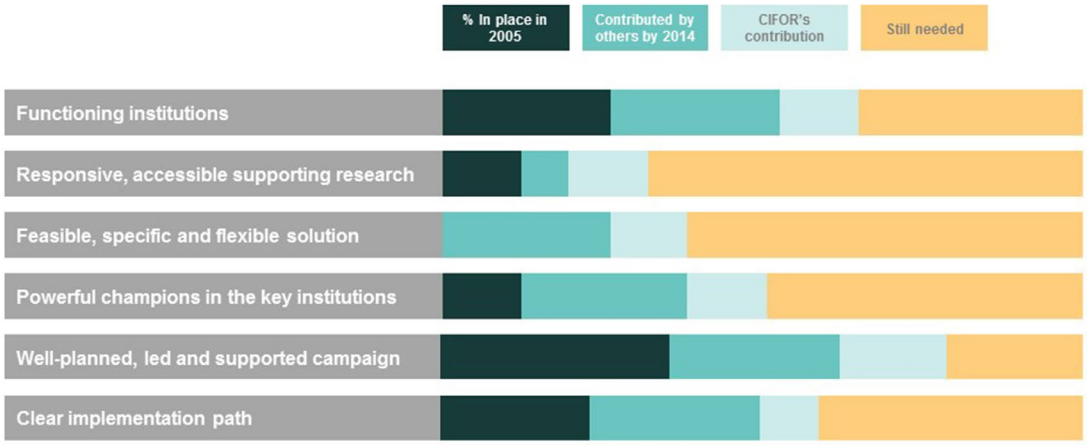
These findings were tested at the sense-making workshop held in London in July 2015 where participants used a method developed by the Redstone Strategy Group to assess how much CIFOR had contributed to the development and implementation of REDD+ policies and procedures in Indonesia. The method assumes that six 'conditions' are essential for the effective implementation of policy change: functioning institutions; responsive and accessible supporting research; a feasible, specific and flexible solution; powerful champions in the key institutions; a well-planned, led and supported campaign; and a clear implementation path.[9]

In the exercise, participants assessed what proportion (as a percentage) of each condition was met in 2005, before the CIFOR GCS Programme became involved, and in 2014, before the change in government in Indonesia and the absorption of the REDD+ agency into the Ministry of Forestry, what proportion of the increase could be attributed to CIFOR's work, and what other actors also contributed. The numbers are of course only very approximate estimates, but Figure 8 indicates the rough proportion that CIFOR may have contributed to increases in each of these.

8 Figure 6 shows the results of two ranking exercises. In the first (Key Events) each participant was given one red dot to stick on the event that they thought was the most important. In the second (Source of Evidence) CIFOR staff were given X red dots to allocate across the sources of evidence that they thought were the most important, and non-CIFOR participants were given Y yellow dots. The distinction was an attempt to balance the number of 'votes' between CIFOR and non-CIFOR staff to take account of the difference in numbers.

9 For a definition of these conditions and more information on the method see: http://www.redstonestrategy.com/wp-content/uploads/2013/09/2013-09-30-IDRC-Helping-think-tanks-measure-impact.pdf .

**Figure 7: CIFOR's contribution to REDD+ policies and processes in Indonesia**




While there were too few participants, most of whom work for CIFOR, for the results to be more than indicative, the exercise stimulated useful discussion. Indonesia is clearly not yet completely 'REDD+ ready', but it is now far more so than it was in 2005, and CIFOR's GCS work has clearly contributed to this, albeit in a modest way. While, as expected, CIFOR's relative contribution was highest in providing responsive, accessible, supporting research it has also contributed by helping to develop a clear implementation path, establishing functioning institutions, and supporting a well-planned campaign, which in CIFOR's terms would be better described as engaging with the key organisations to provide the necessary research-based evidence and advice on its implications.

### Episode studies

As part of the assessment, independent consultants were commissioned to undertake episode studies of the evolution of REDD+ policies and processes in three countries that had not been included in GCS REDD+ Costa Rica, Ghana and the Philippines. In a similar way to the process described above for the Indonesia country case study, the consultants were asked to map the evolution of REDD+ policies and processes, identify the factors shaping those processes and assess the contribution of CIFOR-derived knowledge.

The countries were deliberately chosen to represent different contexts. Whereas Costa Rica was an early mover on forests and climate change, having a forest incentives and subsidies system to reduce deforestation and degradation from 1979, the engagement of Ghana and the Philippines in forest and climate change is more recent. None of the countries has an integrated national financial REDD+ system. Table 1 below provides a summary of the consultant's assessments of the contribution CIFOR's work made to the evolution of REDD+ policies and processes.

While the CIFOR work has played a very small role in Costa Rica, there is clear evidence that CIFOR work contributed to the process in both Ghana and the Philippines. The main contribution was through major publications, workshops, learning events, networking, and 1:1 interactions with CIFOR staff, especially in providing advice and reviewing national policy documents.

## 2.4 The assessment approach

One of the objectives of the assessment was 'To develop assessment methods that can demonstrate CIFOR's outcomes and impacts develop and test new approaches'. The overall assessment method chosen for this assessment – Collaborative Outcomes Reporting – is described in Section 1, and more detail of the overall process is provided in the Process Report in Annex 6. Using the COR framework the approach collected information through six sub-studies, each employing common methods.

A main question *How well has the GCS achieved its goals, and how could it be improved*? and seven sub-questions underpinned the overall assessment:

- How has GCS activity contributed to its end-of-Programme outcomes?
- Are the target audiences using the GCS work?
- Are the target audiences aware of GCS work?
- Have GCS engagement and communication channels been effective?
- Have GCS projects produced relevant science to achieve its goals?
- Have the GCS Programme and its projects been effectively integrated across scales (sub-national, national and global)?
- Has the GCS used coherent strategies to achieve its outcomes?

Table 2 summarises the sub-studies and the methods they used, followed by an assessment of how well they worked.

**Table 1: A summary of the contribution of CIFOR knowledge in non-GCS REDD+ countries**

| Country | CIFOR's impact |
|---|---|
| Costa Rica | CIFOR has had little impact in Costa Rica, which has been a pioneer in REDD+ policies through the PES system since 1997.<br>FONAFIFO and the REDD+ Secretariat recognise the work of CIFOR in reference levels and benefit sharing but it has not had much of an impact on REDD+ process.<br>Key actors have not recognised CIFOR's material and activities, although there has been some acknowledgement of CIFOR authors in deforestation and governance issues (Angelsen and Larson). |
| Ghana | CIFOR has had some contributions on Ghana's REDD+ national policies.<br>The largest source of CIFOR's impact has been through its publications. *Realising REDD* has been a seminal and reference document.<br>CIFOR has been influential in shaping the understanding of the national REDD+ architecture.<br>CIFOR was influential in assisting in the development of the R-PIN document, having contributed to its preparation by reviewing and proving feedback.<br>Some professionals have benefited from international learning events hosted by CIFOR such as REDD+ Governance and those on mangroves.<br>Key national government professionals have used specific CIFOR documents to advance the national REDD+ agenda, including the following:<br>The Executive Director of the Centre for Remote Sensing and Geographic Information Services has used CIFOR documents on REDD+ reference levels and community participation in the REDD+ process.<br>The REDD+ Coordinator of the International Union for the Conservation of Nature (IUCN) of Ghana has benefited from REDD+ publications and readings in his implementation of REDD+ projects.<br>The Northern Sector Project Manager of A Rocha Ghana, Mr Daryl Bosu, found CIFOR documents on REDD+ Land Use and Tenure, and Payment for Ecosystem Services were useful.<br>There is evidence that actors who are not affiliated with the national REDD+ policies have also used CIFOR publications. |
| Philippines | CIFOR has had little influence on National REDD+ policies and procedures.<br>Key publications were used in crafting the PNRPS.<br>Dr Lou Verchot served as one of the reviewers of the PNRPS by providing comments on the web document.<br>CIFOR publications have been helpful for colleagues at FFI who are active in the REDD+ implementation in the country.<br>Key guidance on the development of policy options on carbon rights and benefit sharing 'Who Owns the Carbon in the Philippine Forest?' referenced CIFOR. |

**Table 2: Assessment sub-studies and methods**

| Sub-study | Methods |
|---|---|
| International case study<br>Indonesia case study<br>Case studies in GCS REDD+ countries | Construction of a ToC<br>Literature review<br>Interviews to assess the ToC and answer the assessment questions<br>Mapping the evolution of REDD+ policies and processes and factors influencing it<br>A stakeholder workshop to discuss the emerging results<br>A common reporting framework including results charts summarising key findings and the evidence for them |
| Episode studies in non-GCS REDD+ countries | Literature review and interviews to assess the ToC and answer the assessment questions<br>Mapping the evolution of REDD+ policies and processes and factors influencing it – especially CIFOR work<br>A common reporting framework including results charts summarising key findings and the evidence for them |
| Stories of change | Stories illustrating positive and negative examples of the use of CIFOR research |
| Communications review | Web-based surveys of people on CIFOR's mailing list<br>Discussion of the results with CIFOR scientists and communications staff |

## The overall COR approach

The COR approach has been used widely in natural resource management research projects in Australia but not much used elsewhere. The general consensus of the assessment team and GCS REDD+ component leaders is that the overall approach offered a valuable opportunity for CIFOR to gather rigorous evidence of the outcomes of its research and the effectiveness of its processes. Senior CIFOR scientists were initially sceptical of the value of another evaluation soon after a donor evaluation in 2012, during which some of them had felt criticised by external evaluators who appeared not to understand the challenges posed by their work environment. It was initially quite difficult to engage the active participation of CIFOR staff in the assessment, but during the course of the assessment they were increasingly prepared to contribute. CIFOR staff along with the researchers from Royal Roads University (who contributed substantially to two of the country case studies) carried out about 30% of the new evidence gathering, and senior CIFOR staff were actively involved in all of the preparatory, mid-term, and final sense-making workshops, and co-produced the recommendations at the final sense-making workshop.

The COR approach requires a coherent ToC. While there was an implicit ToC in the initial project design, and further work had been done to refine it over the last two years, it required much more effort than expected to develop a ToC that all stakeholders would accept as a reasonable description of what was planned. It was also not clear whether what was finally produced was a genuine description of what was expected at the outset, or a representation of what participants thought had actually happened. Both can be used, but the former is preferable to the latter, and it is important to know which it is.

The approach depends on producing interim and final results on time and in appropriate formats for the collaborative analysis workshops, and many of the sub-studies ran late, and the outputs (including sub-component reports and results charts) were incomplete at the time of the workshops. This was a particular problem for the data-integration workshop, by which time it had been assumed that draft reports of all of the sub-studies should have been completed.

The approach also involves the gathering a wide range of often rather superficial qualitative evidence to triangulate, and producing outputs in a format that enables easy comparison and aggregation (especially the results charts). This approach was unfamiliar to CIFOR scientists who are used to a much more rigorous in-depth approach and to reviewing and assimilating more traditional scientific papers.

The country case-study methodology, data-integration, sense-making, and country case-study analysis workshops were all slightly too short to achieve the necessary results. They should either have been a bit longer, or the content should have been trimmed to allow enough time for discussion. This was particularly the case in the sense-making workshop where there was not enough time to agree on a prioritisation of findings and the elaboration and prioritisation of recommendations.

The approach also depends on the systematic collection of information about other actors and political factors shaping policy processes in order to be able to assess the Programme's specific contribution. This was not done sufficiently well in most of the sub-studies. An attempt was made to assess this using the Redstone Strategy approach in the sense-making workshop, though as previously mentioned there were too few participants for the results to be more than indicative. But this might be a method worth trying with a larger and more representative group of participants, so a fuller description of the process and how the results were calculated is provided in Annex 6.

All of the sub-studies also suffered from 'mission creep', meaning that they became much more substantial studies in their own right, both in implementation and in writing up, partly because the people involved wanted to make them more scientific and more robust than was required for this type of assessment.

## The assessment questions

The seven sub-assessment questions, derived from ODI's work on assessing the impact of research on policy,[10] provided a useful framework for assessing internal processes in CIFOR over which it has control (strategy, management and outputs) and those over which it has increasingly less control (uptake and impact). But it proved quite difficult to distinguish between Question 3 ('Are the target audiences aware of GCS work?'), and question 2 ('Are the target audiences using GCS work?'). In fact, the assessment sub-questions mapped very closely onto the GCS REDD+ ToC, and in retrospect they could have been combined as a single list.

## The case studies

The case studies worked quite well, though it proved more difficult than anticipated for CIFOR to mobilise the resources for the CIFOR country case studies, partly through bad luck,[11] but also due to pressure of other work, and all took longer than expected. The original intention had been to carry out five CIFOR country case studies, but only three were completed within the timeframe of the assessment. None really mapped the policy process sufficiently and certainly did not identify the other factors that had shaped it in order to assess the specific contribution that CIFOR's work made.

10 Hovland, I. /2007) Making a difference: M&E of policy research.. London: ODI. Available at: http://www.odi.org/publications/1751-making-difference-m-e-policy-research

11 One of the key Royal Roads University researchers broke her leg, making it impossible to do the Brazil study.

This was probably due the unfamiliarity of the CIFOR researchers with this approach, and inadequate prior training. The Indonesia country study was supposed to be finished very early and provide both a model and an opportunity for CIFOR researchers undertaking the other studies to see how they should be done. The results of all of studies were late, and were inadequately processed into the necessary materials for either the data-integration or sense-making workshops – although it was still possible to use the information based on draft reports and one of the ODI team's first-hand information on all of them.

## The episode studies

The episode-study approach has been widely used to study the contribution of research to policy processes, but it depends on researchers understanding the historical analytical approach, and the importance of identifying and assessing the relative importance of the different factors involved. Doing this requires a detailed knowledge not only of the approach but also of the policy area itself. It proved difficult to find suitable consultants in the three countries chosen, and it was not possible to meet them in person, or bring them together before undertaking the studies. There was a Skype conference call with all of the consultants to brief them about and provide guidance on the approach. The difficulty was compounded by the fact that the ODI staff member overseeing the studies from London was not a technical specialist in the area, so found it difficult to brief the consultants effectively and to provide guidance for strengthening the draft reports. Nevertheless, it was possible to gather useful data through follow-up phone calls to strengthen the analysis of their findings.

## Stories of change

The original idea for the stories of change was that they would be collected through an open call to anyone who had been involved in the GCS REDD+ Programme to submit stories illustrating cases where CIFOR research had or had not been used. It was decided, however, at the inception workshop that it was unlikely that CIFOR staff or other scientists would be likely to volunteer to write stories of change, and different approach was taken – to identify interesting stories at the data-integration workshop in February 2015, and for one of the ODI assessment team to write up those stories based on documentary evidence and a few interviews. This was quite successful (see Annex 5), and they have contributed usefully to the ability of this assessment to provide tangible examples of how CIFOR work has been used, albeit that given the very limited time available these are inevitably rather superficial.

## Communication review

The communications review was always seen as a small part of the assessment, and it was recognised that it would have been impossible to make a thorough assessment of GCS REDD+ communications work in the time available. Nevertheless, the two surveys attracted a good response rate and provided useful quantitative data to support some of the qualitative findings from the other sub-studies. Using CIFOR contact lists, however, made it difficult to assess how CIFOR's products were viewed by those who were not already receiving them. All the same, the data provided material for useful discussions between CIFOR research and communications staff, but there will be a need for more detailed work to assess the specific impact of specific products and channels on specific audiences if CIFOR is to be able to make a truly evidence-based decision about the resources it should allocate to global 'broadcast' communications through the website and social media, global events, and more tightly targeted often face-to-face communications at the national level, since both are clearly important uptake pathways for CIFOR.

# Recommendations

## 3.1. Introduction

CIFOR's GCS programme faces a strategic challenge in identifying how to influence its policy audiences. At its most stark, there is a trade-off between working in depth in a few countries rather than operating more globally. The evidence collected in this assessment suggests that a balance has been struck within the GCS programme, with successful engagement achieved at both the international level (through influencing policies in the UNFCCC and the UN-REDD Programme) as well as at the national level (in Indonesia and Peru), although the latter evidence is less strong elsewhere (e.g. Cameroon).

At the national level, the evidence from the CIFOR country studies suggests the need for continuity in CIFOR's engagement with research partners and policy-makers, as well as with the broader community with which it interacts. This implies that to have a high impact on national policy processes requires considerable resources in terms of country offices, full-time staff and a long-term in-country presence. National REDD+ policy processes appear much less influenced by CIFOR's GCS research in countries where CIFOR has no presence (e.g. Costa Rica). So, the key to the trade-off may lie in identifying major REDD+ policy trajectories (be they at the national or international level) and investing in these (in terms of research and communication actions) over the mid term (at least five years) to maximise the chance of CIFOR's research outputs influencing policy.

A second theme running through a number of the component studies is whether CIFOR has achieved the right balance between pursuing its own research agenda and playing a capacity-building and supporting role to national institutions. These represent two different models of engagement and the potential trade-off between the two does not appear to have been sufficiently addressed to date. So, while collaborative working with research partners is a recognised element of the ToC, there was no evidence of an explicit risk-management strategy to ensure quality control, timeliness and effective outreach of research outputs, as Box 3 on the capacity building of research partners suggests. There is scope for the GCS Programme to invest in producing a short strategy document that would outline what makes for the best 'match' between CIFOR and its collaborating organisations, based on the type of partnership being sought. There is now a large body of experience in the GCS programme upon which such a strategy could draw.

A third major issue concerns how far the 3E+ criteria have guided the GCS research Programme. These criteria of effectiveness, efficiency and equity are seen to provide a coherent framework for evaluating REDD+ policy options, and by extension the research efforts of the GCS Programme. Yet, in some cases efficiency and equity may pull in different directions. There is evidence from this assessment to demonstrate that GCS research outputs have contributed to greater understanding of the elements that make for an effective response (e.g. the work on land tenure and governance). With the delay in implementing REDD+ payment schemes there has been less scope to study their distributional costs and benefits, although there is evidence in the country studies of relevant research being conducted (e.g. Cameroon, Indonesia and Peru). What is less clear is how the trade-offs between these criteria can be managed under REDD+ schemes, and the GCS research Programme has an opportunity to provide guidance on how to optimise such trade-offs. Whenever CIFOR research has led to the development of new concepts (e.g. the step-wise approach) the international community has been receptive to these new ideas because of CIFOR's reputation for producing credible, academic and non-partisan research.

## 3.2 Specific recommendations

The following recommendations are drawn from the results chart against the key evaluation questions (Annex 2), and were articulated during the discussions in the sense-making workshop.

1. **Maintain the emphasis on rigorous research:** CIFOR is a research-based organisation. Robust research-based evidence must continue to underpin all of CIFOR's work on policy engagement and practical implementation. There are several examples from this assessment that demonstrate the value of the CIFOR 'brand' as a provider of rigorous applied research; one of the strongest of these is the way that CIFOR's body of research on land tenure helped to influence a change in perspective of the UN-REDD Programme's Policy Board.
2. **Be realistic with policy objectives:** The main goal of the GCS programme is hugely ambitious and in effect out of reach for a relatively small research organisation. CIFOR should set more realistic policy objectives in clear, relevant and time bound language to facilitate rigorous monitoring and evaluation.

3. **Understand and address the politics of policy processes:** An understanding of the political context of policy processes, their unpredictability and how changes happen, has helped the GCS Programme to locate, position and balance its research and other work. For example, this type of research has been central to the approach adopted by the Module 1 team and through collaboration with other module researchers has helped to influence the behaviour of national REDD+ actors in several countries. This emphasis should continue.
4. **Identify the most appropriate balance between policy-relevant and more fundamental research:** CIFOR could be more systematic in identifying opportunities to engage with policy and practice at the sub-national, national and global levels. In doing so, there is a balance to be struck between what is relevant (what is actively demanded by policy-makers) and what is imperative (what policy-makers should be aware of).
5. **Adopt a ToC approach for all projects and project proposals:** While the assessment does not prove that using a ToC-based approach increased the impact of the Programme, it does illustrate that the emergent approach used by the GCS REDD+ Programme has worked, and the Programme has had significant impact. It will be important to build on this by continuing to give careful thought to possible uptake pathways within political policy processes, in order to identify the specific research needs of decision-makers and how best to meet them. This should include:

- Clear identification of what needs to change, recognising there are multiple pathways to change which require different strategies for different actors.
- Mainstream outcome mapping in all operations, including the systematic identification of boundary partners, outcome challenges and progress markers.
- Better articulation of underlying assumptions of how change happens.
- Formal review of the context and performance of projects, adapting throughout a project's lifetime through iterations of the ToC.

6. **Improve communications and engagement:** This assessment has clearly identified the value of specific communication products for specific audiences, and a more politics-aware, ToC-driven approach will also require improved communication products and processes. This should include:

- Investing in generating knowledge products at all stages of the project cycle: from early project notices, through intermediate research results to the final research outputs, effectively communicating activity at all stages of the research cycle.
- Clearly identifying specific 'target audiences' (individuals, organisations, classes of organisations) and strategies to reach them.
- Aiming for demand-centred rather than supply-centred knowledge products.
- Engaging with individuals and institutions (boundary partners) from the outset of the project.

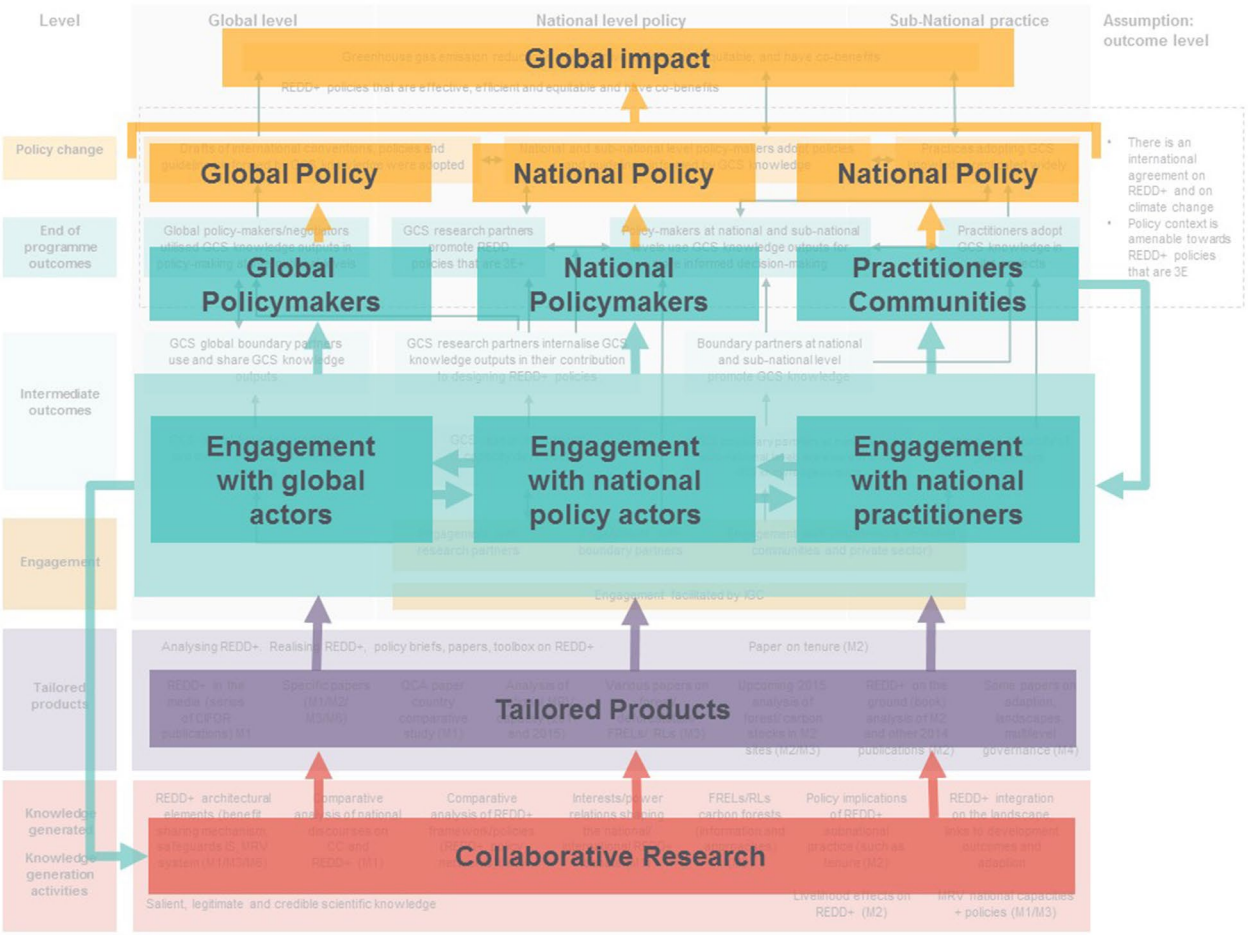
7. **The balance between science and communication in different contexts:** The most productive balance between basic research, and engagement and communications will be different in countries in which CIFOR has a presence and those where it does not. The evidence from the assessment suggests that uptake of research, and influence on policy development, is limited in the latter set of countries, and more targeted and tailored products may be necessary. Identifying the right balance will require co-management between lead scientists and CIFOR's communication department.
8. **Improve project management processes:** The emergent approach to Programme management within a sound overall framework, regular team meetings, clear responsibilities for component leaders, and a strong reliance on individuals' interest in collaboration has worked well in GCS REDD+ Programme. This should be reinforced in future Programmes by:

- Ensuring that all team members have a shared vision and understanding of the ToC.
- Establishing clear internal strategies and management principles, but recognising the need to be flexible and adaptive.
- Stronger internal communications and an emphasis on the continuous evaluation of progress.

9. **Increase emphasis on M&E:** It is increasingly important for all research organisations to be able to demonstrate the value of their work. This assessment has also demonstrated that policy research projects (even this assessment itself) rarely go according to plan and an effective M&E system can both provide the evidence that donors require in order to justify continued funding, and the evidence research managers need to maximise the use and usefulness of the research. This should include:

- Systematic collection of evidence on impact to provide rigorous evidence to improve research implementation, and for donors.
- Better systems to document achievements and lessons that can be fully understood by all team members and partners.
- Building capacity for developing ToC and undertaking systematic M&E across all staff, including broader use of KNOWFOR monitoring tools.
- Better approaches to identifying baselines, control groups and other forms of counterfactual, to assess causality, and to assess CIFOR's contribution.
- Better sharing of information and learning within and across projects.

**Figure 8: CIFOR's generic ToC at global, national and sub-national level**



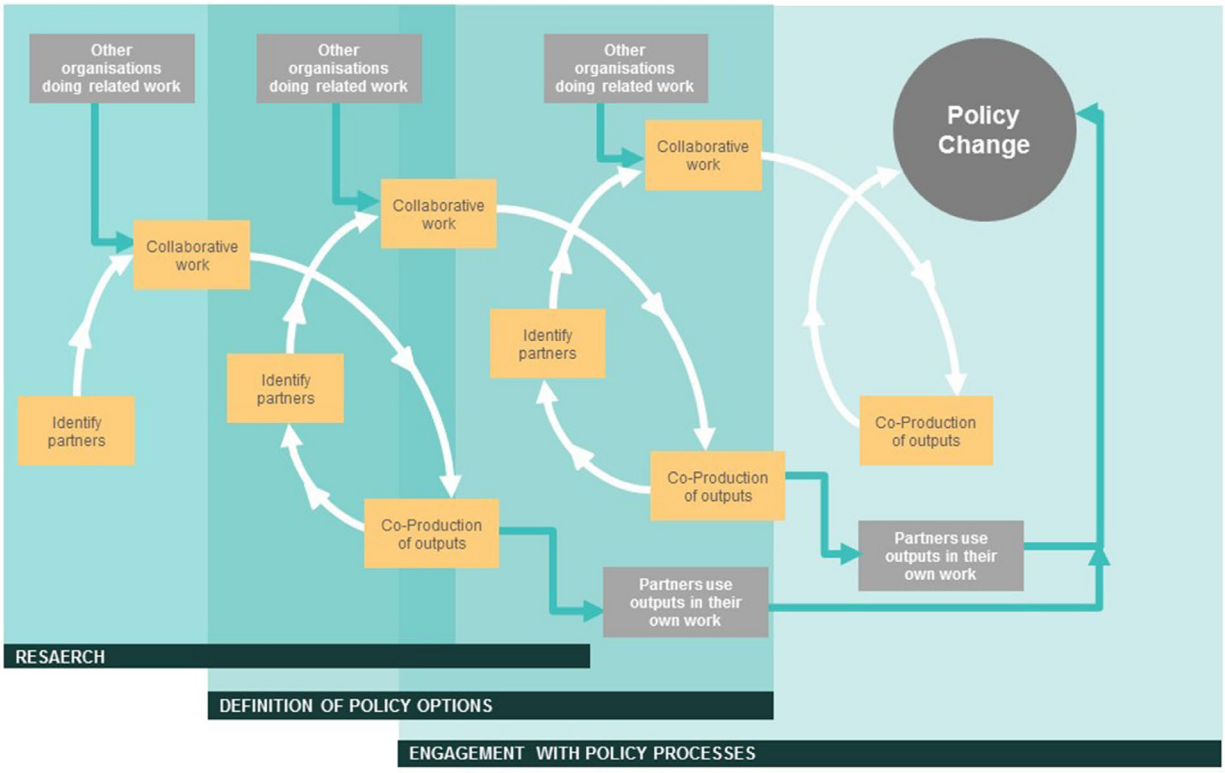

## 3.3. Recommendations on the theory of change

The process of developing a ToC for the assessment, through the initial planning workshops and the data-integration workshop, and then reviewing the results in the sense-making workshop, provided a rich focus for discussion within the CIFOR team. There was strong recognition of the value of a clear ToC at project and Programme level both for planning projects to maximise their value, and subsequently to evaluate what did or did not work and the reasons why.

While the recommendation to develop a ToC for each project is likely to result in each having a different detailed ToC, the basic underlying principles are essentially the same: iterative engagement in collaborative work with partners involved in research, policy and practice at the sub-national, national and global levels. It may be useful for CIFOR to consider developing a generic ToC both to guide the development of a specific ToC for each project and to explain its general approach to donors and other stakeholders.

A couple of options used by the assessment team during the assessment might provide a useful starting point. These are shown in Figures 8 and 9. Figure 8 emphasises work with different partners at the global, national and sub-national level, and Figure 9 emphasises the iterative nature of the work.

**Figure 9: CIFOR's iterative approach to policy engagement with partners**




## 3.4. Recommendations on the assessment approach

The results of this assessment have demonstrated the potential value of the COR approach, and the approaches and methods used in its sub-components. Lessons from this assessment that might be useful in future include the following:

### On the COR approach

- Ensure that all participants understand the principles of the approach, especially the importance of the consultative processes, and the fact that there will be much co-analysis of the results and co-production of the conclusions and recommendations during the various workshops.
- Make sure there is a sound ToC at the start of the assessment. Ideally this will be the ToC that was produced at the start of the Programme, and better still if the team can describe how it has evolved during the course of the Programme and why. If it does not exist it can be retro-constructed, but it is important to leave enough time for this and to make it clear what is being asked for.
- Make as much use as possible of existing information. Be strategic, economic and realistic about what additional information is needed and the work that is necessary to collect it.
- If it is a collaborative effort, and CIFOR (or other organisation) staff are going to be involved in collecting the new data, make sure that everyone has the necessary knowledge and skills, as well as allocating the necessary time. If there are to be a number of similar studies undertaken by different staff, ensure that there is a strong common understanding of the approach and what is required. Ideally, create opportunities for the different researchers to get together at the start, mid-point and end of the research process.
- Ensure that intermediate products are produced in time and in the right format for the intermediate and final assessment workshops.
- Allow enough time in the various workshops to synthesise the data and agree the conclusions and recommendations. The workshop reports are important pieces of the evidence chain, and need to be written up quickly and thoroughly.

## On the specific methods

**Assessment questions:** The seven sub-questions overlapped substantially with questions implicit in examining the GCS REDD+ ToC. Furthermore, neither the sub-questions, nor questions from the ToC, sufficiently emphasised the importance of assessing what else was happening around the REDD+ policy process to enable CIFOR's contribution to be assessed. Questions about the strategy (Question 7) and about the assumptions in the ToC should have done this. A better set of questions might look like this:
What is the context for this work, what are the key policy processes, who are the key actors, what evidence is needed?

- What is [Programme name] strategy to engage with this process?
- What scientific knowledge is needed and has [Programme name] produced it?
- Who are the key stakeholders who need this knowledge, and are they aware o [Programme name]'s products?
- Are they using the products?
- Is this achieving the expected Programme outcomes?
- Have [Programme name] engagement and communication channels been effective?
- Has the [Programme name] been effectively managed?

**Case studies:** Ensure sufficient attention is paid to understanding the context and the role of other stakeholders and knowledge products. Make sure there is a workshop with stakeholders to validate the results and to assess the contribution of [Programme name] vs other actors. It might be worth trying the Redstone Strategy approach with a larger and more representative group. A more detailed description of how these were planned is provided in Annex 6.
**Episode studies:** Ensure researchers have the necessary skills and experience, and especially seek to assess the relative contribution of [Programme name] products. More detail on this approach is provided in Annex 6.
**Stories of change:** Either adopt the approach of inviting stakeholders to submit their own stories, or identify the stories early, and assign sufficient resources to research and write them up thoroughly. More detail on this approach is provided in Annex 6.
**Contribution analysis:** It would be interesting to try using the Redstone Strategy approach in workshops with a larger number and more representative range of stakeholders. More detail on this approach is provided in Annex 6.
**Communications review:** Provide adequate resources to contact potential as well as known audiences, and ensure enough time for interested stakeholders to discuss and co-interpret the results.

# Annex 1: Terms of reference for the assessment

These Terms of reference were extracted from an annex of the Letter of Agreement between CIFOR and ODI defining the scope of the study and were originally called 'Assessment of CIFOR's Research on Forests and Climate Change Mitigation Concept Note. 23 May 2014'.

## Background

Given the importance of forests to climate change mitigation and adaptation, international negotiations under the aegis of the UNFCCC (United Nations Framework Convention on Climate Change) have led to an agreement of measures that assist tropical forest countries to develop policies and initiatives aimed at reducing emissions from deforestation and forest degradation, and enhancing forest carbon stocks (REDD+), and fostering the role of forests in supporting adaptation to climate change. The importance of forests in these terms was first recognised by the UNFCC at its 2007 COP in Bali.

The Center for International Forestry Research's (CIFOR) Strategic Plan 2008-2018 identified research on forests and climate change, in terms of both mitigation and adaptation, as priority 'research domains'[12]. Since then, CIFOR has built a major research Programme in forests and climate change, encompassing both mitigation and adaptation. Concomitantly, the contexts for forests and climate change research generally, and for REDD specifically, have evolved significantly, as the international climate regime has evolved – more slowly and less fully in most respects than anticipated in 2007 and 2008.[13]

The majority of CIFOR's research effort and resources have been focused on the role of forests in climate change mitigation, principally because that has also been the policy focus of the international community since 2007. Recent discussion and planning within CIFOR, in the context of the next stage of climate change negotiations and the prospective new climate agreement, have emphasised the importance of research on both adaptation and the implementation of mitigation and adaptation in synergy[14].

The focus of the evaluative component of this assessment is on CIFOR's work in forests and climate change mitigation, for two principal reasons: it reflects the emphasis of CIFOR's forests and climate research until recently, and an assessment with this focus has previously been agreed with the major donors supporting this research. As discussed further below, the assessment also includes a learning component, which will inform the breadth of CIFOR's work on forests and climate, and will inform CIFOR's research portfolio more widely.

Since mid-2011, CIFOR's research on forests and climate change mitigation has been conducted within the context of Theme 4 of the CGIAR Research Programme on Forests, Trees and Agroforestry (CRP FTA)[15]. The CGIAR's Independent Evaluation Arrangement is currently conducting an evaluation of CRP FTA, including Theme 4.

## Goals and Implementation of CIFOR's Research on Forests and Climate Change Mitigation

The goals of CIFOR's research on forests and climate change mitigation, as expressed in the 2008-2018 Strategy, were:

> *CIFOR's goal is to ensure that the international post-2012 climate regime and national-level REDD schemes are designed in such a way as to ensure that forest-based emissions reductions are efficient, equitable and provide benefits to affected communities in developing countries. Within four years, CIFOR's research will have informed negotiations toward a global REDD regime, and will have contributed to the design and implementation of national-level REDD schemes so that they meet these criteria. Within five years, CIFOR aspires to influence national-level REDD policies and strategies in at least five countries.*[16]

The principal vehicle for CIFOR's research on forests and climate change mitigation, the Global Comparative Study on REDD[17] (GCS REDD+)[18], was initiated in 2009. Through GCS REDD+, CIFOR and its partners investigate international, national and subnational REDD+ experiences through comparative studies of the implementation of REDD+ in 12 tropical forest countries globally, to identify challenges and provide solutions to support the design and implementation of effective, efficient, and equitable REDD+ policies and projects.

12 CIFOR's Strategy 2008-2018: 30-38.

13 See, Chapter 3 in Angelsen et al 2012, *Analysing REDD+*. CIFOR

14 See *CIFOR Research Priorities 2013-2014*, 3.1.4.

15 http://foreststreesagroforestry.org/forests-trees-agroforestry-research-portfolio/.

16 CIFOR's Strategy 2008-2018: 32.

17 Now REDD+.

18 Referred to subsequently as GCS REDD+, noting that the '+' followed original initiation.

Through guidelines, tools and analysis derived from comparative research across these countries, GCS REDD+ aims to support all countries in their efforts to reduce emissions in an effective, efficient and equitable way.[19] The first phase of GCS REDD+ was completed in 2013, with the second phase to be completed in December 2015. The majority of funding for both first and second phases have come from Norad and AusAID (now DFAT), with contributions from other donors. In its second phase, the GCS REDD+ is organised around four research and two cross-cutting modules.[20]

## Objectives of the assessment

The assessment has three separable but related objectives:

### Assess the achievements of the climate change mitigation research output relative to the goals

The first objective of the assessment is to document and assess the achievements of CIFOR's research Programme on forests and climate change mitigation, relative to the goals stated in the 2008-2018 Strategy, to inform both CIFOR and key funding and research partners.

The assessment will assess other contributory factors to the goals, in order to identify and substantiate the significance of CIFOR's research activities, outputs and engagement. Finally, the assessment will offer suggestions for changes to or improvements of current and future CIFOR research Programmes about forests and climate change.

### Develop assessment methods that can demonstrate CIFOR's outcomes and impacts

Currently, CIFOR is undertaking a number of activities to improve the way the organisation demonstrate achievement of outcomes and impacts. These activities include redefining CIFOR's theory of change, creating new evidence gathering mechanisms and developing the Planning, Monitoring and Learning Framework, which includes the currently ongoing KNOWFOR M&E Framework development. This assessment aims to build synergies with these current efforts and contribute to the broader CIFOR efforts to develop methods that can be used throughout the organisation and in FTA to document and demonstrate CIFOR's outcomes and impacts.

### Inform CIFOR's strategy to achieving better outcomes and impacts

The third objective of the assessment is explicitly one of learning from the design and implementation of CIFOR's forests and climate change mitigation research for future CIFOR work, both in forests and climate and more widely. Because CIFOR's forests and climate change mitigation research has been such a major focus of CIFOR's work in the period under review, and a catalyst for many current CIFOR approaches, it offers an important platform for learning that is relevant to all of CIFOR's future work, across its portfolio.

## Approach

The assessment will be implemented in a collaborative partnership between CIFOR climate change scientists, the CIFOR MEIA team, and the Overseas Development Institute. The major recent efforts on theory of change, impact pathways and outcome mapping will be used as the bases in the assessment. The assessment will use a broad definition of policy outcomes to include influence and changes in ideas, understanding, approaches and behaviour, as well as strategies, policies and legislation related to REDD+.

The approach is deliberately designed to ensure CIFOR researchers in the teams working on forests and climate change mitigation contribute to the design of the assessment and the analytical approaches it will employ, including through a joint inception workshop, and that the ODI team both capitalise on and do not duplicate work already underway or planned by CIFOR researchers. The assessment will:

- Examine outcomes at global, national and sub-national levels.
- Undertake data collection across the whole Programme to provide an overall 'map' of objectives, activities, outputs, and evidence of achieving outcomes - at least at the level of boundary partners and hopefully, to some degree, at higher levels of the results chain as defined in the theory of change and impact pathways, 'illuminated' through more detailed investigation of a number of specific 'case studies' at global, national and sub-national level, selected in collaboration with CIFOR scientists to provide examples of where things seem to have worked well or not so well.
- Capitalise, wherever relevant, on the FTA Theme 4 Climate Change external evaluation, ongoing self-evaluations and activities by CIFOR teams and the CGIAR SPIA–funded quantitative impact assessment collaboration between CIFOR and Virginia Tech.

19 This means that the implementation of REDD+ will ensure effective and cost-efficient reduction of carbon emissions with equitable impacts and co-benefits, including poverty reduction, enhancement of non-carbon ecosystem services, and protection of local livelihoods, rights and tenure.

20 The four modules focus on: governance of national climate change policy; subnational REDD+ projects; emission measurement, reporting and verification systems; and carbon management at the landscape scale. One crosscutting research module covers research on benefit sharing. The other is dedicated to knowledge sharing and dissemination.

The assessment framework will be a modified collaborative outcomes reporting (COR) approach that presents evidence of how the research output and engagement has contributed to outcomes, which is then reviewed by both technical experts and Programme stakeholders. COR combines contribution analysis and Multiple Lines and Levels of Evidence (MLLE), mapping existing and additional data against the theory of change and impact pathways to produce a performance story.[21] (see: http://betterevaluation.org/plan/approach/cort).

21 Performance story reports are essentially a short report about how a programme contributed to outcomes. Although they may vary in content and format, most are short, mention programme context and aims, relate to a plausible chain of results, and are backed by empirical evidence (Dart and Mayne, 2005).

# Annex 2: Assessment participants and their roles

## The ODI Team

- **John Young:** Overall team leader, evaluation design, design and lead facilitator of inception workshop, design and co-implementation of Indonesia case study, design and lead facilitator of data-integration and sense-making workshops. Lead author of final report.
- **Neil Bird:** Review of theory of change and impact pathways, co-facilitation of inception, data-integration and sense-making workshops, lead on design and implementation of global case study, expert review of key products. Lead author of Global Case Study Report. Co-author of final report.
- **Aidy Halimanjaya:** Research and co-author of the Global Case Study Report. Initial work and drafting sections of the Indonesia case study. Support to CIFOR teams on Peru country study and co-ordination of CIFOR. Author of CIFOR Country Case Studies synthesis report. Initial aggregation of results chart and evidence tables for the overall assessment report. Contribution to all workshops.
- **Josephine Tsui:** Review of theory of change, facilitator of sessions on theory of change at inception workshop, collection and analysis of stories of change and synthesis report, support to the episode studies and episode studies synthesis report. Contribution to all workshops.
- **Caroline Cassidy:** Review of CIFOR communication approaches and products. Co-facilitation of communications workshop. Contribution to data-integration and sense-making workshops.

## The CIFOR Team

- **Daniel Suryadarma:** Providing inputs to the design and implementation of the assessment, liaison between ODI, CIFOR and GCS scientists, contribution of material for CIFOR country case studies. Contribution to all workshops.
- **Brian Belcher:** General support and advice to the design and implementation of the assessment. Supervision and advice to Royal Roads University colleagues on the Peru country case study. Contribution to all workshops.
- **Ramadhani Achdiawan:** Indonesia case study and contribution to workshops.
- **Jazmin Gonzales and Ashwin Ravikumar:** Peru case study and contribution to inception and country study planning workshop.
- **Samuel Assembe, Felicien Djiegni Kengoum and Denis Sonwa:** Cameroon Case Study and contribution to inception and country study planning workshop.
- **Christopher Martius:** Support to design and implementation of the assessment and contribution to all workshops.
- **GCS Module leaders, scientists and ICG staff:** Provision of resources and contribution to all workshops.

**Other Researchers**

- **Diana Cordoba and Katherine Rasmussen:** Peru case study.
- **Elijah Danso:** Ghana episode study
- **Mr Guillermo Navarro:** Costa Rica episode study
- **Dr Florencia Pulhin:** Philippines episode study

## The Reference Group

- **Robert Nasi** (CIFOR Deputy Director General – Research): Contribution to inception workshop and comments on draft report.
- **Carmenza Robledo** (Member of FTA External Evaluation): Contribution to planning workshop and comments on draft report.
- **Fred Carden** (Expert in policy research impact assessment): Comments on research approach and on draft report.

# Annex 3: Results chart vs overall theory of change

●CIFOR data ●Global case study ●Stories of change (SoC) ●Communications ●Country case studies ●Episode studies

| Programme Logic Steps and linkages | Expected results | Summary of results achieved (with confidence level) | Evidence supporting summary statement of results | Source |
|---|---|---|---|---|
| Knowledge-generation activities | REDD+ architectural elements (benefit sharing mechanism, safeguards, MRV systems (M1/M3/M6) | GCS-REDD+ has generated new knowledge on the architectural elements of REDD+ in a number of major forested countries across all three regions (in Latin America, Africa and Asia) (moderate evidence) | – CIFOR Peru conducted research on cost–benefit analysis, the distribution of benefits in REDD+ and the importance of coordination between the different actors working on REDD+ [143]<br>– CIFOR Cameroon conducted studies on the economic value of forests and on benefit-sharing. [143]<br>– Indonesia: Murdiyarso (2013) 'Linking community-based and national REDD+ monitoring, in carbon management. Bogor: CIFOR[142] | Global case study |
| | Comparative analysis of national discourses on CC + REDD+ (M1) | GCS-REDD+ has enhanced knowledge of national circumstances related to governance and the national discourse on REDD+ in a limited number of countries (moderate evidence) | – Peru: Cifor andLlibelula conducted research on media analysis of REDD+ in Peru. Libelula has a strong background in communications and was identified by CIFOR researchers as an ideal partner to work on media discourse analysis. [143]<br>– Cameroon: Kengoum (2011) 'REDD+ politics in the media: a case study from Cameroon'. Bogor: Cifor. [36]<br>– Indonesia: Brockhaus and Di Gregorio (2012) 'A brief overview: component 1 on national REDD+ policies and processes'. Bogor: CIFOR [123] and 'Cronin and Santoso (2010) 'REDD+ politics in the media: a case study fromlindonesia'. Bogor: Cifor [124] | Global case study |
| | Comparative analysis of REDD+ framework/ policies (REDD+ policy networks) (M1) | GCS-REDD+ has worked with well-placed national collaborators to analyse the national policy framework in 12 countries. Another three countries were recently added (moderate evidence) | – Peru: CIFOR Peru and Dar conducted research on the policy context of REDD+ inPperu since 2008. Dar is the coordinator of the REDD group in Peru and according to a CIFOR researcher this gave CIFOPR greater connections to organisations working on REDD+ and climate change in the country.[146]<br>– Cameroon: CIFOR Cameroon conducted the studies on country profiles by Dkamela.[67]<br>– Indonesia: a study conducted by Indrarto, et al. (2012) 'The context of REDD+ in Indonesia'. Bogor: CIFOR.[82] | Peru case study<br>Cameroon case study<br>Indonesia case study |
| | Interests/power relations shaping the national/ international REDD+ debate (M1) | An understanding of the political economy surrounding REDD+ has been improved through a set of studies completed under M1 (strong evidence) | – Brockhaus et al. (2011) 'Guide for country profiles: global comparative study on REDD (gcs-redd+) component 1 on national REDD+ policies and processes'. bogor: cifor.[125]<br>– Brockhaus and Di Gregorio (2012) 'A brief overview: component 1 on national REDD+ policies and processes'. Bogor, Indonesia: CIFOR.[123]<br>– Brockhaus, et al. (2013) 'Governing the design of national REDD+: an analysis of the power of agency', *Forest policy and economics.*[126]<br>– Salvini et al. (2014) 'How countries link REDD+ interventions to drivers in their readiness plans: implications for monitoring systems', *Environmental research letters.*[127]<br>– Indonesia: Moeliono et al. (2014) 'Information networks and power: confronting the "wicked problem" of REDD+ in Indonesia', *Ecology and Society.*[128]<br>– Moeliono et al. (2013) 'REDD+ policy networks in Indonesia'. Bogor: CIFOR.[129] | Global case study |

| Programme Logic Steps and linkages | Expected results | Summary of results achieved (with confidence level) | Evidence supporting summary statement of results | Source |
|---|---|---|---|---|
| | Carbon effects of REDD+ (M2/ M3) | GCS-REDD+ has undertaken important new research on the carbon effects of REDD+ and contributed to other research programmes in which CIFOR is involved (e.g., SWAMP – which researches high-carbon wetlands in 23 countries) (strong evidence) | – Global: Acthen and Verchot (2010) 'implications of biodiesel-induced land-use changes for $co_2$ emissions- case studies in tropical America, Africa, and Southeast Asia;[130] Murdiyarso (2009) 'Land transformation and its consequences';[131]; Murdiyarso et al. (2009) 'Carbon storage in mangrove and peat land ecosystems: a preliminary account from plots in Indonesia'.[132] | Global case study |
| | | | – Indonesia: Murdiyarso et al. (2011) 'Moratorium Butan Indonesia Batu Ioncatan untuk memperbaiki tata kelola hutan?' (in Bahasa Indonesia[83]); hergoualc'h and verchot (2012) 'Changes in soil ch4 fluxes from the conversion of tropical peat swamp forests – a meta-analysis'[84] Hergoualch (2012) 'Changes in carbon stock and greenhouse gas balance in a coffee (coffee arabica) monoculture an agroforestry system with inga densiflora, in Costa Rica'.[85] | Indonesia case study |
| | FRELs/RLs carbon forests (information and approaches) (M3) | CIFOR identified a number of key weaknesses in the global IPCC Guidance for REDD+ MRV, which was holding back consideration of forests in the UNFCCC negotiations and conducted research to fill the gaps (strong evidence) | – *Guidance for country assessments:* in the research article by Herold and Skutsch (2011)[1], CIFOR proposes three assessment categories (conservation, reduced deforestation, and positive impacts on carbon stock changes in forests) to guide countries to use IPCC guidance whose use would not otherwise be effective. | Global case study |
| | | | – *Methods to assess rates of deforestation:* in the research article[2] by Kissinger et al. (2012), CIFOR and its research partners propose a method to assess rates of deforestation that was not explicitly stated in the 2006 IPCC guidance. | Global case study |
| | | | – *Emission and expansion factors:* a CIFOR study[3] by Verchot et al. (2012), suggests how to use the two methods from the 2006 IPCC guidance: the gain-loss method and the stock-difference method (IPCC, 2006:266-7). CIFOR suggests that for pools (e.g. the soil and organic matter carbon pool in peat soils) the gain–loss method is more effective to use than the stock–difference approach. | Global case study |
| | | CIFOR and its research partners prepared a new conceptual framework known as the step-wise approach (strong evidence) | – Indonesia: Verchot et al. (2010) 'Reducing forestry emissions in Indonesia'; [86] Wijaya et al. (2013) 'Calibration of global above ground biomass estimate using multi-source remote sensing data'. [87] | Indonesia case study |
| | | | – Global: Herold et al.[4] (2012) 'A stepwise framework for developing REDD+ reference levels'. | Global case study |
| | Policy implications of REDD+ sub-national practice (such as tenure) (M2) | GCS-REDD+ research has explored the linkages between national policy and implementation at the local level (strong evidence) | – Larson et al. (2014) *Global environmental* change.[36] | Global case study |
| | | | – Suderlin et al. (2010) 'technical guidelines for research on REDD+ project sites'. Bogor: CIFOR.[133] | Global case study |
| | | | – The phase 1 of data collection in Ucayali studied the sub-national REDD+ initiative called: valuation of environmental services in the managed forests of seven indigenous communities in Ucayali, Peru. this initiative is led by the peruvian non-profit organisation aider (association for integrated development and research). the aider initiative in Ucayali is an important example of indigenous communities participating in a sub-national REDD+ initiative.[146] | Peru case study |
| | | | – REDD+ and community payments for ecosystem services at the sub-national level.[145] | Cameroon case study |
| | | | – Indonesia: a CIFOR study by Resosudharmo et al. (2012).[88] | Indonesia case study |

| Programme Logic Steps and linkages | Expected results | Summary of results achieved (with confidence level) | Evidence supporting summary statement of results | Source |
|---|---|---|---|---|
| | REDD+ integration on the landscape, links to development outcomes, adaptation/ mitigation synergies (M4) *[Note: CGS REDD+ retrospective assessment does not include M4 due to its relatively recent inclusion.]* | Not part of the assessment | Not part of the assessment | |
| | MRV national capacities + policies (M1/ M3) | GCS-REDD+ has generated knowledge on national MRV capacities in a number of countries (moderate evidence) | – Example(s) of CIFOR Global and Indonesia work: Mora et al[5]. (2012) CIFOR has compiled assessment reports on capacity development in national forest monitoring in Guyana, India, Indonesia, Mexico and Vietnam. Bogor: CIFOR. | Global case study |
| | | | – CIFOR Peru established research partnerships with aider and WWF to elaborate country profile on mrv.[146]<br>– Cameroon country profile on MRV (draft)[.45] | Peru case study<br>Cameroon case study |
| | Livelihood effects of REDD+ (M2) | GCS-REDD+ has highlighted the linkages between REDD+ and poverty reduction, and the livelihood impacts of REDD+ projects (moderate evidence) | – A study conducted by Sunderlin (2014) challenge REDD ground; Sunderlin and Atmadja (2009) 'is REDD+ an idea whose time has come, or gone?' | Global case study |
| | | | – Caplow et al. (2012) 'Evaluating land use and livelihood impacts of early forest carbon projects- lessons for learning about redd+'.[89]Bbogor: CIFOR Jagger et al. (2010) 'A guide to learning about livelihood impacts of REDD+ projects' (Bahasa version). Bogor: CIFOR[90] | Indonesia case study |

| Programme Logic Steps and linkages | Expected results | Summary of results achieved (with confidence level) | Evidence supporting summary statement of results | Source |
|---|---|---|---|---|
| Tailored products | General Comments: | CIFOR publishes a large range of scientific outputs (e.g.,peer-reviewed papers) to secure the necessary credibility to influence the international REDD+ community (strong evidence)<br><br>GCS-REDD+ has produced a large volume and range of products tailored for specific audiences (strong evidence)<br><br>CIFOR develops packages to translate scientific outputs for key audiences (strong evidence) (strong evidence) | – The GCS-REDD+ has produced a large number of publications. Between 2012 and 2013 alone the team produced almost 150 publications, including books, scientific articles and working papers (see annex 1). A bibliometric analysis of the publications selected by the GCS-REDD+ team as the most relevant (scientific) publications shows a high impact factor of these 21 papers.[96] | FTA Evaluation |
| | | | – Almost 70% of the knowledge produced in Module 3 has been disseminated in the form of book chapters and articles published in various journals and are intended to be globally accessible.[143] | Global case study |
| | | | – Following a publication, CIFOR almost always produces a blog (Forests News) or multimedia to accompany the research thereby creating packages around GCS research.[147] | Communications review |
| | | | – CIFOR builds in media coverage at key moments, for example as part of global or regional conferences. There is also accompanied by journalist training to improve the capacity of journalists to publish high quality articles related to FCC, for example in Vietnam.[147] | Communications review |
| | | | – Forests Day and successive conferences are designed to target audiences of COP and to also reach audiences that are unable to attend COP. | Communications review |
| | | | – There is a high correlation between CIFOR communications outputs with the expressed preferences of different audience groups, for example country-level audiences generally access scientist research in digital format (PDF rather than print copy), but they are also using a variety of channels, particularly email, blogs and to an extent multimedia and social media:[147] | Communications review |
| | | | – Results from communication review second survey indicate that country stakeholders are generally accessing research on FCC online: 66% of respondents use social media to learn about new research and other developments on FCC – Facebook and LinkedIn (in both of which CIFOR has communities) were the most popular, Twitter less so. Blogs are an important channel and regularly read not necessarily daily, but weekly or monthly on average. The overwhelming majority of respondents (89%) are watching videos for work, to varying degrees. Photo galleries/stories and infographics are popular. Respondents are also sharing e-newsletters, blogs, media articles or other online information on a regular basis and 93% use email to do this (which links to CIFOR's newsletter which is email based).[98] | Communications review |
| | Analysing REDD+, Realising REDD+, policy briefs, papers, toolbox on REDD+ | CIFOR (GCS-REDD+) is known for its major flagship publications that are produced in a timely manner to coincide with the UNFCCC negotiations, thus attracting international policy attention (strong evidence) | – Analysing REDD+ comes in two forms: summary and long versions. Both are tailored to meet audience needs in six languages. [143]<br>– Realising REDD+ is published in four major languages. [143] | Global case study |

| Programme Logic Steps and linkages | Expected results | Summary of results achieved (with confidence level) | Evidence supporting summary statement of results | Source |
|---|---|---|---|---|
| | REDD+ in the media (series of CIFOR publications) M1 | GCS-REDD+ identified a gap/ disconnect between scientists working on climate change and REDD+ and the media, as scientists are not a main source of information on these topics (strong evidence) | – Peru: a GCS-REDD+ study shows that the information about REDD+ in Peru in national newspapers is very low (only 33 newspapers have written about the topic) and superficial. four of the authors/researchers of the study are members of the Libelula team.[41]<br>– Cameroon: example(s) of CIFOR Cameroon's product: Kengoum (2011) REDD+[56] politics inn the media a case study from Cameroon. Bogor, Indonesia: CIFOR. (working paper in English and in French)<br>– Indonesia: example(s) of CIFOR Indonesia's product: Cronin and Santoso (2010) 'Politik REDD+ Di media studi kasus dari Indonesia'.[92] Bogor, Indonesia: CIFOR. (working paper in English and in Bahasa Indonesia)<br>– Indonesia: forest moratorium paper; CIFOR (2010) policy brief grounding the REDD+ debate;[92] Mudiarso and Taconni, 'a hazy climate, will anyone do the right thing?', newspaper article published in the Jakarta post.[93] | Peru study<br>Cameroon study<br>Indonesia study<br>Indonesia study |
| | Specific papers (M1/M2 /M3/ M6) | GCS-REDD+ output of scientific papers is prodigious, maintaining CIFOR as a leading source of science on REDD+ through this conventional communication channel (strong evidence) | – Global: Herold & Romijn (2010). Monitoring activities of deforestation and forest degradation in REDD+ project sites: recommendations for the use of remote sensing on measurement of forest cover change. Wageningen.[37]<br>– Global: Caplow et al. (2011) 'Evaluating land use and livelihood impacts of early forest carbon projects: lessons for learning about REDD+'. *Environmental science & policy*.[38]<br>– Global: Larson & Ribot [39](2007) 'The poverty of forestry policy: double standards on an uneven playing field',*Policy science for sustainable development*. | Global study<br>Global study<br>Global study |
| | Qualitative Comparative Analysis (QCA) paper country comparative study (M1) | QCA empirical publications were tailored to global and national audiences and presented in the national language where the study took place (strong evidence) | – Global Brockhaus & Gregorio (2012) component 1 overview REDD+ policies in the form of brief; Sehring et al. (2013). qualitative comparative analysis (qca): an application to compare national REDD+ policy processes[40] (working paper 121). Bogor: CIFOR.<br>– Korhonen-Kurki et al. (2013) 'enabling factors for establishing REDD+ in a context of weak governance',climate policy[135] | Global study<br>Global study |
| | | | – Peru: the study on Ona carried out by CIFOR and Libelula is presented as an info brief in English and Spanish. it provides evidence on how power, coalitions, and different interactions among actors in policy networks enable the transformation required for an effective, efficient, and equitable national REDD+ design[146].<br>– Cameroon: Dkamela[57] (2011) 'le contexte de la REDD+ au cameroun causes, agents et institutions'. Bogor: CIFOR (in French). | Peru study<br>Cameroon study |
| | | National REDD+ processes and policies appears to be the most useful research received by academics in recent years | – Indonesia: Indrarto et al. (2012) Konteks REDD+ Di indonesia pemicu, pelaku, dan lembaganya. Bogor, Indonesia: CIFOR[94] (in Bahasa Indonesia).<br>– The two communication review surveys show this. National REDD+ was significantly higher than the other categories, although Sub-national REDD+Projects Research was predominantly popular with academics out of all the individual audience categories. [97,98] | Indonesia study<br>Communications review |

| Programme Logic Steps and linkages | Expected results | Summary of results achieved (with confidence level) | Evidence supporting summary statement of results | Source |
|---|---|---|---|---|
| | Analysis of national MRV capacity (2011, 2015) | GCS-REDD+ has published papers on national MRV capacity (strong evidence) | – Global: Mora et al. (2012) CIFOR has compiled assessment reports on capacity development [5]in national forest monitoring in Guyana, India, Indonesia, Mexico and Vietnam. | Global case study |
| | | | – Peru: country profile on REDD+ MRV.[146]<br>– Cameroon: Cameroon country profile on MRV (draft).[145]<br>– Indonesia: Mora et al. (2012) ibid.[14] | Peru case study<br>Cameroon case study<br>Indonesia case study |
| | Various papers on forest/ deforestation FRELs/RLs (M3) | GCS-REDD+ has a strong publication record (at least 17 papers) related to the causes of deforestation and degradation (strong evidence) | – Global: in the research article[59] by Kissinger et al. (2012),[2] CIFOR and its research partners propose a method to assess rates of deforestation that was not explicitly stated in the 2006 IPCC guidance.<br>– Bosonuma[6] et al. (2012) 'an assessment of deforestation and forest degradation drivers in developing countries', *environmental research letters 7*(4): 440-09. | Global case study<br>Global case study |
| | Upcoming 2015 Analysis of forest/carbon stocks in the M2 sites (M2/M3) | Not part of the assessment | – Not part of the assessment | |
| | Paper on tenure (M2) | GCS-REDD+ has published on the theme of land tenure and REDD+ in at least 11 papers, which are available at: www.cifor.org/ gcs/modules/ redd-subnational-initiatives/tenure/ (strong evidence) | – Global: Larson (2010) 'Forests for people community rights and forest tenure reform'[136]; Larson (2012) 'Tenure matters lessons field'[137]; Larson (2013) 'Land tenure and REDD good bad ugly'[138]; Sunderlin et al. (2009) 'Forest tenure rights and REDD+ from inertia to policy solutions'.[139]<br>– Global: Sunderlin et al. (2013) 'how are REDD+ proponents addressing tenure problems? Evidence from Brazil, Cameroon, Tanzania, Indonesia, and Vietnam'[140].<br>– Global: Duchelle et al. (n.d.). 'Linking forest tenure reform, environmental compliance, and incentives: lessons from REDD+ initiatives in the Brazilian Amazon'.[141] | Global study<br>Global study<br>Global study |
| | | | – Indonesia: research article by Resosudharmo et al. (2012) argues that tenure reform policy (mk35/2012) does not necessarily lead to REDD+ that is effective, efficient, equitable and has co-benefits (3e+), as it has the potential to make customary land tradable.[95] | Indonesia study |

| Programme Logic Steps and linkages | Expected results | Summary of results achieved (with confidence level) | Evidence supporting summary statement of results | Source |
|---|---|---|---|---|
| | REDD+ on the ground (book), analysis of M2 and other 2014 publications (M2) | The latest major CIFOR publication has been tailored to reduce the number of printed copies and has 13.7k page views with approx. 44% read the content (December–June 2015) (moderate evidence) | – Global: 'REDD+ on the ground' released at the end of 2014 and summary in three major languages; 23 chapters can be downloaded separately. CIFOR uses latest technological online view and e-pubs to reduce the number of print copies.[143] | Global case study |
| | | | – Peru: book on REDD+ sub-national initiatives[42] highlighted that the REDD+ project in Brazil nut concessions in Madre de dios offered unique insights for initiatives undertaken by private companies. The book and the factsheets analysed the challenges confronted by bam, particularly with regard to poor land tenure regulation and unclear carbon commercialisation rights. The study shows how bam, a private company, could learn from this experience. from the phase 1 of data collection in Ucayali, the book and the factsheets on REDD+ sub-national initiatives[43, 42] identified a variety of challenges and concerns with the planning and implementation of this REDD+ initiative based on information from the proponent, participating communities and observations from the field team. | Peru case study |
| | | | – Page views of case reports grouped by regional case report: Indonesia: 36% (20% users from Indonesia); Brazil: 27%; Peru: 13%; Tanzania: 12%; Cameroon: 8%; Vietnam: 3.5%; Downloads: 2,000 PDF downloads; 1,552 full version (77%). Summary: 284 English (14%), 126 Spanish (6.3%), 37 Portuguese (1.8%); 57 Epub.[147] | Communications review |
| | Some papers on adaptation, landscapes, multi-level governance (M4) | Not part of the assessment | Not part of the assessment | |
| Engagement | General comments | CIFOR's engagement strategy has concentrated on using a small number of communication channels, including contributing to international expert meetings, hosting Forest Day at the annual COP meetings, and training events in country (moderate evidence) | – At the UNFCCC expert meeting[7] in Bonn 14-15 November 2011, CIFOR proposed the early idea of the step-wise approach as a 'tiered approach'. [8] | Global case study |
| | | | – CIFOR's global landscape forum in lima helped Colombian officials to know about the latest issues on REDD+, relevant techniques to apply to identify the gap in implementation to improve the country's performance towards redd+.[9] | Global case study |
| | | | – in Guyana in 2009 and 2012 CIFOR conducted workshops with GOFC-gold on the step-wise approach to forest monitoring.[10, 11] an Ethiopian country official in states that CIFOR country-level work provided him with information, techniques and technologies to apply within and during the implementation of REDD+ programme.[12] | Global case study |

| Programme Logic Steps and linkages | Expected results | Summary of results achieved (with confidence level) | Evidence supporting summary statement of results | Source |
|---|---|---|---|---|
| | Engagement with Research Partners | GCS-REDD+ research partners' capacity has been developed through collaborative research and MoUs (strong evidence)<br><br>Academics are interacting with CIFOR research through a variety of channels | – Global: CIFOR used step-wise approach materials to conduct a workshop with Wageningen university with GOFC-gold in 2012.[13] | Global case study |
| | | | – Global: CIFOR and its research partners published a number of materials on rel/rl methods mainly as journal articles such as in activity data,[14] emission factors,[2,63] deforestation drivers[4,64] and remote sensing.[15] | Global case study |
| | | | – ICEL engagement largely through co production of PNA and improved capacity in policy research and in their own policy engagement [111]. | ICEL SoC |
| | | | – Academics made up the largest individual category (38%) in communications review survey 1 and in survey 2[97,98] with national-level stakeholders. Survey 1 also shows that they are engaging with a range of CIFOR channels, particularly publications, the e-newsletter, scientific journals and Forest News.[97] | Communications review |

| Programme Logic Steps and linkages | Expected results | Summary of results achieved (with confidence level) | Evidence supporting summary statement of results | Source |
|---|---|---|---|---|
| | Engagement with Boundary Partners | GCS-REDD+ global boundary partners are aware of GCS-REDD+ knowledge and value its contribution to their work (strong evidence)<br><br>Boundary partners such as national policy-makers and national NGOs were among the non-academic groups who most responded to the communication surveys. | – Cameroon: several partners indicate that they receive publications from CIFOR researchers (GCS-REDD+ and non-GCS-REDD+) by email, either directly from researchers, from CIFOR mailing lists, through the CCPM mailing list, or POLEX[58, 59, 60, 61] | Cameroon case study |
| | | | – Peru: managers and technicians at Minam acknowledged that they have read or at least know the CIFOR REDD+ book and recognised that it is an important input to the discussion about REDD+ in the ministry.[44, 45] | Peru case study |
| | | | – Cameroon: Didier Hubert indicated consulting GCS-REDD+ outputs, and cited the country profile and a paper on land fees sharing during the interview.[64] Norbert Sonne from WWF also cited this publication. Mireille Feudjo cited two CIFOR articles.[65] other partners also cited documents on benefit sharing and governance. Eric Esono (Repar) mentioned the 'REDD book' (also mentioned by IITA). several documents were cited and voted on at the evaluation workshop[63]. | Cameroon case study |
| | | | – Cameroon: FAO( mentions PFBC as a source of information on REDD. the PFBC website contains many posts regarding CIFOR products and activities, some of them GCS-REDD+ related.[66] | Cameroon case study |
| | | | – Peru: according to a representative of libelula[46] their participation as a CIFOR boundary partner made it more aware of the need to focus knowledge management on climate change. they made a big effort to document the news about REDD and analysed the poor quality of the public information in the media. | Peru case study |
| | | | – Peru: Libelula representative added: ''to me this study had a big impact on us. it helped us to see how we are disconnected in this country, how scientists who are producing valuable information about climate change and REDD barely talk to the media'.[46] | Peru case study |
| | | | – The Centre for Remote Sensing and Geographical Information Services (CERSGIS), Northern Sector Project Manager of A Rocha Ghana, and IUCN used CIFOR documents on reference levels and community participation in the REDD+ process. [115] | Ghana episode study |
| | | | – CIFOR publications have been helpful for colleagues at Fauna and Flora International who are active in the REDD+ implementation in the country.[115] | Philippines episode study |
| | | | – In Survey 1 – 15% national governmental ministries or departments, national NGOs 9%. In survey 2 Civil society was 17% and government 13%[97].In survey 2, the majority (70%) of country respondents said that they had not attended a GCS global or regional conference in recent years.[98] | Communications review |

| Programme Logic Steps and linkages | Expected results | Summary of results achieved (with confidence level) | Evidence supporting summary statement of results | Source |
|---|---|---|---|---|
| | Engagement with practitioners | Engagement with practitioners has come about as a result of GCS-REDD+ activities; this has been greatest where CIFOR has operated in-country. The level of spill-over to other country practitioners appears very limited. Less engagement is apparent through other communication channels (e.g., the CIFOR website) (strong evidence) | – Global: in Guyana in 2009 and 2012 CIFOR conducted workshops with GOFC-gold on the step-wise approach to forest monitoring.[10, 11]<br>– global case study: a private sector actor's capacity was informed and improved by CIFOR's research findings on different standard and methodologies and information on REDD projects in different part of the world for promoting sustainable landscape management.[16]<br>– Peru: a Minam manager[44] recognised that in particular the recommendations on cost–benefit analysis, distribution of benefits in REDD+ as well as the importance of coordination between the different actors working on REDD+ have been taken into account in the internal discussions at Minam. | Global case study |
| | | | – Cameroon: civil society feels excluded from the process as 'most of the information circulates through closed mailing lists and workshops'.[68, 69]<br>– Cameroon: several partners consider that CIFOR focuses too much on policy analysis, and require more support with technical data on the implementation of REDD+. however, other stakeholders find studies on the economic value of forest, benefit sharing, and the description of REDD+ very useful.[70, 71]<br>– Peru: a Minam manager[44] recognised that in particular the recommendations on cost–benefit analysis, distribution of benefits in REDD+ as well as the importance of coordination between the different actors working on REDD+ have been taken into account in the internal discussions at Minam. | Cameroon case study<br>Cameroon case study<br>Peru case study |
| | | | – CIFOR was identified as having some influence in Costa Rica on reference levels and benefit sharing acquired through international events, but it has had very little impact. Some respondents did not acknowledge CIFOR's work as it did not met their needs.[117] | Costa Rica episode study |
| | | | – Engagement with BAM has been largely through co-production of BAM case study.[108, 109] | Bam Soc |
| | | | – The Forests Indonesia conference had a high number of participants from the private sector, but the response rate from the private sector to both communications surveys was low (although the private sector only makes up 6% of CIFOR's database).[147] | communications review |

| Programme Logic Steps and linkages | Expected results | Summary of results achieved (with confidence level) | Evidence supporting summary statement of results | Source |
|---|---|---|---|---|
| | Engagement facilitated by ICG | CIFOR's approach to global GCS communication has been highly effective. CIFOR GCS Communications has been particularly strong at a global and regional level. Events and conferences are well known and attended and attract high-quality participants in global and regional conferences. Respondents asking for more national events.<br>CIFOR GCS has had some impact at a national/sub-national level particularly in Indonesia.<br>REDD-I is appreciated by respondents in Indonesia (RA) | – The comparator data review between CDKN and CIFOR shows that CIFOR digital, website and social media channels have developed a strong following (including in other languages). CIFOR has been driving a global conversation on forests and climate change.[99]<br>– CIFOR's global communications reach is impressive. The statistics from Google Analytics and CIFOR board reports show large traffic to digital platforms/websites, and regular interaction with CIFOR channels. Google Analytics only part of the story, but qualitative responses from survey 1 and 2 do also indicate that CIFOR is well regarded, particularly by global audiences.[147]<br>– Data from CIFOR conference reports indicate that CIFOR global conferences have been very successful in reaching global audiences. CIFOR has also developed strong communications around major international conferences such as Forest Day and GLF, reaching high-level audiences (CIFOR board reports). Qualitative comments from survey 2 asked for more country level/face-to-face events to reach local communities and government.[147]<br>– REDD:I is a potential example that could be used for other contexts if the demand is there. It shows both strong collaboration with local government and giving ownership to stakeholders (rather than doing the communications itself).[147] | Communications review<br>Communications review<br>Communications review<br>Communications review |

| Programme Logic Steps and linkages | Expected results | Summary of results achieved (with confidence level) | Evidence supporting summary statement of results | Source |
|---|---|---|---|---|
| ⇒ Causal linkages | ⇒ GCS-REDD+ global boundary partners are aware of GCS-REDD+ knowledge | GCS-REDD+ partners (See Note 3) are aware of the knowledge to which GCS-REDD+ is contributing. Some partners with a research background are aware of particular GCS-REDD+ knowledge and provide a feedback loop, although some boundary partners remember only the lead scientists of GCS-REDD+ who contributed to the knowledge creation. | ⇒ GCS-REDD+ global boundary partners are aware of GCS-REDD+ knowledge (and all the others) | |
| | | | – In Guyana in 2009 and 2012 CIFOR conducted workshops with GOFC-gold on the step-wise approach to forest monitoring.[10, 11] | Global case study |
| | ⇔ GCS-REDD+ research partners capacity developed | | ⇔GCS-REDD+ research partners capacity developed | |
| | | | – A national REDD+ coordinator[12] of an African country was a student at an academic institution where CIFOR partners were staff members. he worked closely with the main CIFOR research partners[12] and received technical training as a student. the coordinator adopted the step-wise MRV approach when he finished his PHD and returned home. the approach motivated the country to improve its capacity over time using the latest technology to estimate and set its FREL. | Global case study |
| | ⇒ GCS-REDD+ boundary partners at national and sub-national levels are aware and use GCS-REDD+ knowledge outputs | | ⇒ GCS-REDD+ boundary partners at national and sub-national levels are aware and use GCS-REDD+ knowledge outputs | |
| | | | – CIFOR Peru organised a PNA training activity[47] attended by several members of the Libelula team. According to the interview with a Libelula representative[46] this workshop helped them to understand the logic behind the PNA and clarified the most important actors in Redd in the country. | Peru case study |
| | ⇒ Improved capacity of practitioners | | ⇒ Improved capacity of practitioners. | |
| | | | – Indonesia: based on an interview with TNC, the national REDD+ agency learned about the sites where TNC worked. but there is no evidence of collaboration between the REDD+ agency and TNC that had implications to policy change on REDD+.[144] | Indonesia case study |
| | | | – One private sector actor's capacity was informed and improved by CIFOR's research findings on different standards and methodologies and information on REDD+ projects in different part of the world for promoting sustainable landscape management.[16] | Global case study |

| Programme Logic Steps and linkages | Expected results | Summary of results achieved (with confidence level) | Evidence supporting summary statement of results | Source |
|---|---|---|---|---|
| Intermediate outcomes | GCS-REDD+ global boundary partners are aware of GCS-REDD+ knowledge outputs | CIFOR GCS-REDD+ research has directly led to new concepts being discussed at the UNFCCC COP negotiations (strong evidence) | – Global: the step-wise approach was introduced to the negotiators at the SBSTA plenary at the Durban cop by the UNFCCC secretariat through a meeting note of the expert meeting [143] | Global case study |
| | | | – Global: events within and outside the cop venue at a side event in the EU pavilion entitled, 'methodologies for REDD+: drivers, costs, and reference levels' organised by the Uk's DECC and on the forest day hosted by CIFOR entitled, 'exploring reference levels and monitoring for REDD+: Early country pilot activities'.[143] | Global case study |
| | | | – Global: A Norwegian representative is aware of an options paper prepared by a CIFOR affiliate at the expert meeting in Bonn.[17] | Global case study |
| | | | – Cameroon: Norbert Sonne (WWF) indicated that 'it is difficult to talk about REDD+ in Cameroon without talking about CIFOR'. many other partners agree with this statement.[72, 63, 73, 60, 74] | Cameroon case study |
| | | | – UN-REDD has adopted tenure as part of its logframes but there is scepticism about whether it will be used. More time is needed to determine this.[105, 106] | UN-REDD Soc |
| | | | – While UNFCCC has adopted the CIFOR step-wise approach, the components have been open to national interpretation. [105, 106] | UN-REDD Soc |
| | GCS-REDD+ research partners' capacity developed | The GCS-REDD+ Programme has provided the opportunity for research partners to carry out research into REDD+, however it is not certain whether this has supported their capacity to engage in further research on REDD+ (moderate evidence)<br><br>Research partners are more aware of CIFOR research than other partners. | – Peru: a Libelula representative said: 'the study of policy network analysis had a big impact on us and helped us to see how we are disconnected in this country, how scientists who are producing valuable information about climate change and REDD+ barely talk to the media, and how information about this topic is influenced by national and local actors'.[46] | Peru case study |
| | | | – Indonesia: interview with tri joko, it is not easy to trace the policy change through the REDD-i website development. However the REDD-i website has contributed to the research in Forda.[144] | Indonesia case study |

| Programme Logic Steps and linkages | Expected results | Summary of results achieved (with confidence level) | Evidence supporting summary statement of results | Source |
|---|---|---|---|---|
| | GCS-REDD+ boundary partners at national and subnational levels are aware and use GCS-REDD+ knowledge outputs | GCS-REDD+ boundary partners' use of GCS-REDD+ knowledge outputs is increasing their capacity to develop national REDD+ Programmes. This impact is limited by the number of countries in which GCS-REDD+ has been active. (strong evidence)<br><br>There is a strong demand for more national events from national stakeholders<br><br>Staff from local forest agencies and national or sub-national NGOs seem to make more use of CIFOR research than other stakeholders. | – Peru: a training workshop on MRV focused on monitoring and governance helped staff in sub-national government to understand their role in REDD+, the importance of the MRV system and what the impact of REDD could be in the field. [48]<br>– Cameroon: the science-policy dialogue concept used by CIFOR has been useful in providing a simple understanding of REDD to policy-makers.[74] | Peru case study<br><br>Cameroon case study |
| | | | – Global: CIFOR workshops provided Guyana with feedback on key considerations for developing its own MRV system.[11] an Argentinian government official claims his understanding of the MRV aspects of REDD+ improved when he attended CIFOR events in guyana.[18] | Global case study |
| | | | – Peru: policy-makers, especially in Minam, are aware of the following knowledge outputs: a) step-wise MRV/RLS approach proposed by CIFOR, b) cost–benefit and distribution of benefits in REDD+, c) multi-level governance and coordination; Amazonian sub-national governments are aware and use CIFOR-Peru knowledge outputs. Research outputs on multi-level governance are well known among interviewed people working in regional governments. [49, 48] | Peru case study |
| | | | – CIFOR publications were helpful in developing Ghana's Readiness Plan Idea Note (R-Pin). Key learning events helped key Ghanaian professionals involved in Ghana's REDD+ process in subjects on REDD+ Governance and mangroves.[118] | Ghana episode study |
| | | | – Guyana and Ethiopia are aware of and used CIFOR's research on step-wise MRV. Their institutional capacities have been developed through step-wise and co-production of research .[112, 113]<br>– Indonesia INCAS/FREL has had improved capacity from CIFOR and now have better informed decision-making on MRV. [101]<br>– Norway and Indonesia used CIFOR's research to inform them about the moratorium of logging.[102, 103, 104] | Guyana & Ethiopia SoC<br><br>INCAs/FREL SoC<br><br>Moratorium of logging SoC |
| | | | – In survey 1 of the communications review, for multilateral agencies and the private sector, there were higher percentages of 'no' responses to the question has the research changed the way you do your job.[97] | Communications review |

| Programme Logic Steps and linkages | Expected results | Summary of results achieved (with confidence level) | Evidence supporting summary statement of results | Source |
|---|---|---|---|---|
| | GCS-REDD+ boundary partners at national and subnational levels are aware and use GCS-REDD+ knowledge outputs | GCS-REDD+ boundary partners' use of GCS-REDD+ knowledge outputs is increasing their capacity to develop national REDD+ Programmes. This impact is limited by the number of countries in which GCS-REDD+ has been active. (strong evidence)<br><br>There is a strong demand for more national events from national stakeholders<br><br>Staff from local forest agencies and national or sub-national NGOs seem to make more use of CIFOR research than other stakeholders. | – In survey 2, there were numerous comments about country-level events: several stakeholders emphasised the need for research to reach local communities and government. Local seminars, workshops, and policy dialogues were all mentioned as an important way to reach policy-makers. Quite a few comments claimed that information from CIFOR is 'still in certain circles' and has not yet reached local communities. In addition, the two workshops (inception ad communications) unveiled some internal divergence on where CIFOR most needs to focus its communications, e.g., global vs national.[98]<br>– Question 14 in survey 2 asked respondents to explain how the research they had highlighted has changed the way that they do their job. The categories of response were broadening knowledge on a topic; applying methodology and new approaches; project design and planning; using CIFOR evidence to back up issues and arguments; informing policy discussions; for teaching; and synthesising an overload of knowledge around REDD. Within the groups of local forest agencies and national/ sub-national NGOs those responding 'yes' rose to over 80%.[98] | Communications review<br><br>Communications review |

| Programme Logic Steps and linkages | Expected results | Summary of results achieved (with confidence level) | Evidence supporting summary statement of results | Source |
|---|---|---|---|---|
| | Improved capacity of practitioners | Most capacity strengthening appears to be the result of workshop and training activities, which provide a purposeful channel for knowledge transfer. (strong evidence) | – Peru: according to our interview with a Libelula representative[46] a PNA workshop helped the organisation to understand the logic behind the network analysis and clarified the most important actors in REDD, besides providing a graphic tool to represent these policy networks and transmit their research results in more accessibly. | Peru case study |
| | | | – Cameroon: CIFOR Cameroon conducted the studies on the economic value of forest and on benefit sharing. Some stakeholders find the description of REDD+ very useful.[74] | Cameroon case study |
| | | | – Global: an official in Ethiopia states that CIFOR country-level work provided him with the information, techniques and technologies to apply within and during the implementation of REDD+ programme.[12] | Global case study |
| | | | – Indonesia: staff work together with CIFOR on developing FREL. They came with their skills and expertise. While working with CIFOR they had access to references. But there is no strong evidence that their skills were improved because of working with CIFOR. Rather, CIFOR has access to the FREL REDD+ agency team in providing input through them.[144] | Indonesia case study |
| | | | – Global: a private sector actor from the forestry and land-use sector has periodically accessed the CIFOR website and resources and updates the forest-related business and corporates regarding the latest discussion and research on REDD+ and carbon measurements.[19] another private actor has attended GLF to obtain techniques on land-use management to improve efficiency of small-scale crop production.[16] | Global case study |
| | | | – BAM is a private firm using CIFOR's research on indigenous rights.[108, 109#] | BAM SoC |
| | | | – ICEL uses the policy network analysis for its policy influence work.[111] | ICEL SoC |

| Programme Logic Steps and linkages | Expected results | Summary of results achieved (with confidence level) | Evidence supporting summary statement of results | Source |
|---|---|---|---|---|
| ⇒ Causal linkages | ⇒ GCS-REDD+ Global boundary partners use and share GCS-REDD+ knowledge products | GCS-REDD+ partners use, internalise and share GCS-REDD+ knowledge products in their contribution to designing REDD+ policy documents and shaping discussions at national and global levels. | ⇒ GCS-REDD+ Global boundary partners use and share GCS-REDD+ knowledge products | |
| | | | – At the UNFCCC expert meeting[7] held in Bonn on 14-15 November 2011, CIFOR through its research partner proposed the early idea of the step-wise approach as a 'tiered approach'. [8] in the end of this meeting the co-chair concluded that using a step-wise approach may be useful: countries could move to higher tiers of RL/REL development, with different methods to project and the expansion of the coverage of pools and/or activities over time. [20] | Global case study |
| | ⇒ GCS-REDD+ research partners internalize GCS-REDD+ knowledge outputs in their contribution to designing REDD+ policies | | ⇒ GCS-REDD+ research partners internalise GCS-REDD+ knowledge outputs in their contribution to designing REDD+ policies | |
| | | | – A country representative claims that a Meridian Institute report is one of the sources of information that the country considers in how to set FREL.[21] the report was prepared for the Norwegian government by a group of experts led by a CIFOR research affiliate. In this paper, it is found the step-wise approach is expressed as the step-wise fashion to describe the gradual development of the countries in developing/setting forest reference levels. | Global case study |
| | ⇒ Boundary partners at national and sub-national level promote GCS-REDD+ knowledge. | | ⇒ Boundary partners at national and sub-national level promote GCS-REDD+ knowledge. | |
| | | | – Cameroon: 'RPP cites research institutions as strategic partners' (RPP page 12) '6% of consulted where research institutions' (RPP page 21). RPP (policy document) which is written by the government in collaboration with partners cites several CIFOR documents.[75#] | Cameroon case study |
| | | | – Peru: REDD roundtables are limited to the exchange of information with no power in the decision-making process, and therefore no significant influence on whether policy-makers use CIFOR Peru knowledge outputs for better informed decision-making [50]. | Peru case study |
| | | | – Indonesia: CIFOR hired Budianta and Judin from planning agency, MOF to work on FREL, in the first quarter of 2014 prior to establishment of REDD+ agency MRV working group. They were later invited as technical team members in MRV working group, REDD+ agency. [144] | Indonesia case study |

| Programme Logic Steps and linkages | Expected results | Summary of results achieved (with confidence level) | Evidence supporting summary statement of results | Source |
|---|---|---|---|---|
| | General on use of CIFORs work | CIFOR GCS communications is informing the thinking and /or actions of global stakeholders including research partners | – 71% of global survey respondents felt that the research type that they had selected had changed the way they thought about a topic or an issue. 52%said that they had chosen to read more on the issue after reading the research and 55% claimed to have used the research in their work. 47% said that they had shared the research with colleagues and/or their networks, while only 12% had asked CIFOR for more information on the issue. Only 6% said that they did not do anything with the research. In survey 1, the responses were very close for this question; 53% said 'yes' while 47% said the research had not changed the way they work.[97]. Question 14 in survey 2 asked respondents to explain how the research they had highlighted has changed the way that they work. The categories of response were broadening knowledge on a topic; applying methodology and new approaches; project design and planning; using CIFOR evidence to back up issues and arguments; informing policy discussions; for teaching; and synthesising an overload of knowledge around REDD.[98] | Communications review |
| | GCS-REDD+ global boundary partners use and share GCS-REDD+ knowledge outputs | Boundary partners at all levels (international, national, sub-national) use and share GCS-REDD+ knowledge outputs (strong evidence) | – Global: there is evidence that the step-wise approach was introduced by a CIFOR affiliate and his co-authors as 'a step-wise fashion' in an option paper, known as the *meridian institute report*[1], which was prepared for the Norwegian government and published in June 2011. | Global case study |
| | | | – Peru: CIFOR played an important role in the discussions for the preparation of the r-pp document to present to FIP. [51] an informant at Minam highlighted that CIFOR's participation through Mary Menton was important to discussions on the advantages and disadvantages of the jurisdictional nested approach for REDD+ .[52] her short contribution may affect the uptake of the CIFOR research outputs in the Peru's MRV policies. | Peru case study |
| | | | – Cameroon: Comifac cites CIFOR documents during its presentations to partners[74]; several boundary partners suggest CIFOR products to their master's and phd interns/students, and or consultants.[72, 66, 59] | Cameroon case study |
| | | | – Indonesia: some government researchers at the ministry of forestry state that they have referred to a CIFOR analysis of below-ground biomass.[14] | Indonesia case study |
| | | | – Peru: discussions supported by CIFOR`s role improved the understanding of how different MRV systems could be developed and what were the key issues to take into account in multi-level governance, benefit-sharing mechanism and safeguards.[51] | Peru case study |
| | | | – UN-REDD Tenure: There is as yet no evidence that the change in the UN-REDD logframe has made an impact at international or national levels since the policy change occurred only in May 2015.[105, 106] | UN-REDD SoC |
| | | | – UNFCCC Stepwise: Step-wise has been adopted, concepts not uniformly so.[107] | Stepwise SoC |

| Programme Logic Steps and linkages | Expected results | Summary of results achieved (with confidence level) | Evidence supporting summary statement of results | Source |
|---|---|---|---|---|
| | GCS-REDD+ research partners internalise GCS-REDD+ knowledge outputs in their contribution to designing REDD+ policies | National researchers have made a strong contribution to national REDD+ development (strong evidence) | – Global: a CIFOR research partner incorporates CIFOR research findings when contracted by Norway to support Ethiopia and Guyana. As the result Ethiopia uses existing national data as suggested by the step-wise approach.[12] Guyana has incorporated elements of the CIFOR step-wise approach into its REDD+ MRV road map.[22] | Global case study |
| | | | – Peru: the study of REDD+ policy context results were disseminated by DAR through a seminar in which different actors of the REDD+ process participated, including MINAM technicians and representatives.[146] | Peru case study |
| | | | – ICEL has adopted the PNA and is using it to inform its own policy engagement.[111] | ICEL SoC |
| | Boundary partners at national and subnational level promote GCS-REDD+ knowledge | Boundary partners are promoting GCS-REDD+ knowledge, but not in a systematic manner, necessarily limited by the number of direct boundary partners of the GCS-REDD+ (strong confidence). | – Global: national REDD+ coordinator[12] in an African country was a student at an academic institution where some CIFOR partners were staff members. The former worked closely with the main CIFOR research partners.[12] He received technical training there as a student and fully adopted the step-wise MRV approach when he finished his phd and returned home | Global case study |
| | | | – Global: the approach motivated Ethiopia to improve capacity using the latest technology to estimate and set its frel.[143] | Global case study |
| | | | – Peru: there is evidence that the regional government in Madre de Dios is aware of the need to adopt a cross-cutting role in REDD+[48]. A technician from Madre de Dios argued that CIFOR knowledge outputs helped them to identify the potential mistakes that regional governments could make in REDD+ negotiations and implementation. | Peru case study |
| | | | – Indonesia: interview with module 2, team and proponent (TNC) stated that tenure article has contributed to the understanding and risk of releasing the Adat land to community[144]. | Indonesia case study |

| Programme Logic Steps and linkages | Expected results | Summary of results achieved (with confidence level) | Evidence supporting summary statement of results | Source |
|---|---|---|---|---|
| ⇒ Causal linkages | ⇒ Global policy makers/ negotiators utilised knowledge outputs in policymaking at international levels<br>⇒ GCS-REDD+ research partners promote REDD policies that are 3E+<br>⇒ Policy makers at national and subnational levels use GCS-REDD+ knowledge for more informed decision making | Global policy-makers use the knowledge output that the GCS-REDD+ module 3 promoted at a UNFCCC forum, in meeting documentation and in UNFCCC decisions. In Cameroon, research partners use GCS-REDD+ knowledge to support more informed decision-making. | ⇒ Global policy-makers/negotiators used knowledge outputs in policy-making at international levels | |
| | | | – Fao (UN-REDD) refers to the UNFCCC guidance to support countries such as Paraguay and Chile[23, 24] | Global case study |
| | | | ⇒ GCS-REDD+ research partners promote REDD policies that are 3E+ | |
| | | | – CIFOR research partner, DAR, has continued with research on transparency, distribution of benefits and anti-corruption measures in REDD+, topics that have been taken into account by Minam20.[146] | Peru case study |
| | | | ⇒ Policy-makers at national and sub-national levels use GCS-REDD+ knowledge for more informed decision-making. | |
| | | | – Cameroon: the nationalRPP, which is written by the government in collaboration with partners, cites several CIFOR documents.[75]<br>– Peru:, REDD roundtables use CIFOR Peru knowledge outputs for more informed decision-making. [50]<br>– Indonesia: CIFOR employed Budianta and Judin from the planning agency, MOF to work on FREL, in the first quarter of 2014 prior to establishment of the REDD+ agency MRV working group. They were later invited as technical team members in MRV working group, REDD+ agency.[144] | Cameroon case study<br>Peru case study<br>Indonesia case study |
| | ⇒ Practitioners adopt GCS-REDD+ knowledge in pilot projects. | | ⇒ Practitioners adopt GCS-REDD+ knowledge in pilot projects. | |
| | | | – Based on interview with tnc, redd+ agency learned the sites of tnc who is also cifor's boundary partners. But there is no evidence collaboration of redd+ agency with tnc had implication to policy change on redd+[144] | Indonesia case study |
| End of Programme outcome | Global policymakers/ negotiators utilised GCS-REDD+ knowledge outputs in policymaking at the international level | The step-wise approach was taken up in an option paper by a major REDD+ donor country and subsequently fed into the negotiations of the UNFCCC (strong evidence) | – Global: A negotiator involved in the UNFCCC negotiations36 [25]explained that the meetings that discussed adoption of the step-wise approach were dominated by g77 countries or African and Latin American countries. The concern in the plenary was related to set a minimum standard required to estimate emissions avoided by reducing deforestation or enhancing sequestration. Most developed and developing countries and inter-governmental organisations[26, 27] consider that the step-wise approach arrived in a timely manner to accommodate the interests of countries with various capacities and capabilities. | Global case study |
| | | | – CIFOR's knowledge has influenced UN-REDD's logframe to emphasis tenure though it is unknown whether internal policies have been influenced. Recent events include inviting William Sunderlin to make a presentation to the UN Policy Board [105, 106] | UN-REDD SoC |
| | | | – Step-wise framework adopted at UNFCCC but the components have been open to interpretation.[107] | Stepwise SoC |

| Programme Logic Steps and linkages | Expected results | Summary of results achieved (with confidence level) | Evidence supporting summary statement of results | Source |
|---|---|---|---|---|
| | GCS-REDD+ research partners promote REDD+ policies that are 3E+ | Research partners have not promoted the 3E+ framework (efficiency, effectiveness, equity), but have promoted the conditions towards achieving it (poor evidence) | – Peru: dar representative claimed that they started to talk seriously about transparency, fairness on the issue of benefit distribution and anti-corruption mechanisms in 2014 after participation in redd+ in the country [53]. Currently, they are focusing particularly in the transparency in the use of financial resources and in design of anti-corruption mechanisms.<br>– Peru: MINAM representative claimed that the ministry has recently started to discuss the need to design anti-corruption and transparency mechanisms. They are using dar information and recommendations.[44] | Peru case study |
| | Policymakers at national and subnational levels use GCS-REDD+ knowledge outputs for more informed decision making | GCS-REDD+ outputs have provided national policy makers with new information and tools to allow them to make more informed decisions on REDD+, however this appears limited to those countries where there has been active involvement by CIFOR staff (strong evidence) | – Global case study.:[143]<br>– As a basis for analysis and decision-making (Colombia)<br>– As the basis of discussion with professionals and experts in the field (Chile)<br>– For use on the official government website and in seminar materials (Paraguay) | Global case study |
| | | | – Cameroon: r-pin cited cifor documents, events and activities at least 6 times,[76]<br>– Indonesia: the indonesian carbon accounting system (incas) as the official mrv system for forest related emissions in the country[133]<br>– Peru: CIFOR`s knowledge outputs have been used as reference in the peruvian redd+ readiness proposal and in the forestry inversion plan. However, practitioners at the MINAM argued that these proposals ended up not really being used because they lacked technical backup and sufficient data.[146] | Cameroon case study<br>Indonesia case study<br>Peru case study |
| | | | – Policy-makers in Peru are aware of CIFOR step-wise framework but chose not to use it because University of Maryland already had all the data necessary for an alternative approach. [111]#<br>– Policy-makers in Guyana & Ethiopia are aware of and used CIFOR's research on step-wise MRV.[112, 113]<br>– CIFOR was the main resource with respect to the moratorium on logging in Indonesia. CIFOR largely comprised the technical team for INCAS/FREL [102,103,105,101] | ICEL SoC<br>Guyana and Ethiopia SoC<br>Moratorium of logging SoC & INCAS/FREL SoC |

| Programme Logic Steps and linkages | Expected results | Summary of results achieved (with confidence level) | Evidence supporting summary statement of results | Source |
|---|---|---|---|---|
| | Practitioners adopt GCS-REDD+ knowledge | Adoption of GCS-REDD+ knowledge by practitioners is variable and determined by exogenous factors rather than by a pre-determined strategy of engagement (moderate evidence)<br><br>CIFOR GCS-REDD+ research has strengthened the knowledge base within multilateral organisations (moderate evidence) | – Peru: CIFOR`s knowledge outputs have been used as reference in the Peruvian REDD+ readiness proposal and in the forestry investment plan, but Minam practitioners argued that the proposals were not being used because they lacked technical backup and sufficient data. One key informant concluded that CIFOR, could have had impact on practitioners' adopting its knowledge outputs if it had not only provided information but also allowed practitioners to learn from it, analyse it, know what it is, and how to apply it.[146] | Peru case study |
| | | | – Guyana has adopted some elements of CIFOR's step-wise approach in the setting of its FREL. Guyana REDD+ MRV roadmap [22]is aligned with CIFOR's step-wise approach, with some adjustments: its roadmap has three steps: a national strategy phase, a country readiness phase and an implementation phase. Some key results expected in the implementation phase are aligned with elements of CIFOR's step-wise approach, namely the use of IPCC's tier 3 approach for emission factors and the implementation of uncertainty assessment. | Global case study |
| | | | – A private sector from forestry and land-use sector has periodically accessed CIFOR website and resources and he updates the forest-related business and corporates regarding the latest discussion and research on REDD+ and carbon measurements.[19] | Global case study |
| | | | – BAM improved capacity in indigenous rights. [108,109]<br>– ICEL improved PNA capacity.[111] | BAM SoC<br>ICEL SoC |
| ⇒ Causal linkages | ⇒ Drafts of international conventions, policies and guidelines informed by GCS-REDD+ knowledge were adopted | The adopted text of UNFCCC was informed by GCS-REDD+ knowledge. The methodological details were received by national and sub-national level policy-makers via various channels. | ⇒ Drafts of international conventions, policies and guidelines informed by GCS-REDD+ knowledge were adopted. | |
| | | | – The step-wise approach is part of the Warsaw framework for REDD+. The annex 2 (e) to the Warsaw framework[28] for REDD+ states that if applicable, whether descriptions of changes to previously submitted forest reference emission levels and/or forest reference levels have been provided, taking into account the step-wise approach. | Global case study |
| | ⇒ National and sub-national level policy-makers adopt policies and guidelines informed by GCS-REDD+ knowledge | There is no evidence that GCS-REDD+ knowledge is widely replicated by practitioners whose work is not closely related to research. | ⇒ National and sub-national policy-makers adopt policies and guidelines informed by GCS-REDD+ knowledge | |
| | | | – In developing their national reporting system and planning process, countries such as Chile, Ethiopia, Guyana, Indonesia, Vietnam and Zambia refer to guidelines provided by UNFCCC and/or IPCC, while others such as Paraguay refer to UN-REDD FAO guidance. Non-official guidance provided by NGOs and others such as GOFC-gold are also used as secondary documents by countries such as guyana.[143] | Global case study |
| | ⇒ Practices adopting GCS-REDD+ knowledge replicated widely | | ⇒ Practices adopting GCS-REDD+ knowledge replicated widely | |
| | | | Peru: no evidence of practitioners adopting CIFOR's knowledge outputs.[146] | Peru case study |

| Programme Logic Steps and linkages | Expected results | Summary of results achieved (with confidence level) | Evidence supporting summary statement of results | Source |
|---|---|---|---|---|
| Policy change | Drafts of international conventions, policies and guidelines informed by GCS-REDD+ knowledge were adopted | The Step-wise concept adopted at Durban COP meeting in 2011 and incorporated in the 2013 Warsaw framework (strong evidence) | – Global: after the discussions the step-wise approach was adopted and included in UNFCCC decision 12/cp.17, paragraph 10, which states that the parties 'agrees that a step-wise approach to national forest reference emission level and/or forest reference level development may be useful, enabling parties to improve the forest reference emission level and/or forest reference level by incorporating better data, improved methodologies and, where appropriate, additional pools, noting the importance of adequate and predictable support as referenced by decision 1/cp.16, para. 71.[29]<br>– The step-wise approach is part of the Warsaw framework for REDD+. The annex 2 (e) to the Warsaw framework[28] for REDD+ states that if applicable, whether descriptions of changes to previously submitted forest reference emission levels and/or forest reference levels have been provided, taking into account the step-wise approach. | Global case study<br>Global case study |
| | National and subnational level policymakers adopt policies and guidelines informed by GCS-REDD+ knowledge | GCS-REDD+ knowledge take up has been most evident in those countries where CIFOR has a presence; much less so elsewhere (moderate evidence) | – Peru: the REDD + Minam project from the PNCB (national programme for forest conservation) is developing a proposal for safeguards and the sis, to meet and adapt to the Peruvian context the seven safeguards established by the UNFCCC. Minam is also revising the commitments framed in the process of preparation and implementation REDD+ from FCPF, through the strategic environmental and social assessment (SESA). According to a Minam representative in both process CIFOR´s knowledge outputs have been used as reference. [44,52,51] another Minam member claimed that as part of the r-pp to be submitted to FCPF, Minam and regional governments have used CIFOR information to establish operational policies that help to define regional governments' competences [52]. | Peru case study |
| | | | – The step-wise approach has been adopted in Ethiopia. [113]<br>– The step-wise approach has been adopted in Guyana. [112]<br>– INCAS/FREL in Indonesia has adopted the stepwise approach. [101]<br>– Forest Moratorium in Indonesia based on CIFOR's work. [102,103,104] | Ethiopia SoC<br>Guyana SoC<br>IINCAS/FREL SoC<br>Moratorium SoC |
| | Practices adopting GCS-REDD+ knowledge replicated widely | Not possible because no international agreement on REDD+ has been reached | Not applicable | |
| ⇒ Causal linkages | ⇒ GHG emission reductions are effective, efficient and equitable, and have co-benefits | As yet, insufficient evidence that REDD+ policies stimulate projects on the ground that result in greenhouse gas emission reductions that are effective, efficient and equitable, and have co-benefits | Insufficient evidence | |

***Note 1:*** *For general results statements:*
*-Strong evidence implies four or more citations from several assessment types (e.g. global study, country studies, episode studies)*
*-Moderate evidence implies two to four citations*
*-Poor evidence implies single or implicit citations only*
***Note 2:*** *For specific results statements: determined on quality of evidence obtained*
*Numbers correspond to the evidence table presented in Annex 5. Cited evidence does not include all the evidence gathered, only examples of evidence that clearly link to the expected results.*
***Note 3:*** *A CIFOR boundary partner is an individual/organisation with whom CIFOR has a formal/informal partnership to channel its research findings outside of CIFOR's direct 'sphere of influence'. A CIFOR boundary partner who is mainly working with CIFOR to undertake research is referred to as a research partner. Another two kinds of partnerships are knowledge sharing partners and policy and practice partners.*

# Annex 4: Results chart vs key evaluation questions

•CIFOR data •Global case study •Stories of change •Communications •Country case studies •Episode studies

| Key Evaluation Question | Summary of Results | Evidence | Source |
|---|---|---|---|
| **The overall evaluation questions** | | | |
| **A. How well has GCS achieved its goals?** | | | |
| CIFOR's goal is to ensure that the international post-2012 climate regime and national-level REDD schemes are designed in such a way as to ensure that forest-based emissions reductions are effective, efficient, equitable and provide benefits to affected communities in developing countries.<br><br>Within four years, CIFOR's research will have informed negotiations toward a global REDD regime, and will have contributed to the design and implementation of national-level REDD schemes so that they meet these criteria.<br><br>Within five years, CIFOR aspires to influence national-level REDD policies and strategies in at least five countries.' | CIFOR has influenced UNFCCC through designing the step-wise framework, which was formally adopted in 2011 (three years after GCS started in 2008). But there are differing views about where the idea came from and how it was introduced to UNFCC. It remains unclear about how it will be implemented. | – While step-wise has been ratified by UNFCCC, there is lack of clarity over the methodology.[107]<br>– The step-wise approach has been important to help move the international REDD+ negotiations forward, but there are different understandings of the methodology and it has had mixed results when applied at the national level.[107] | Stepwise SoC<br>Stepwise SoC |
| | | – UNFCCC policy actors have a good understanding of CIFOR policy research, but they have not been fully informed about the full range of CIFOR's technical work on RELS/RLS methods that are relevant for supporting international and national policy development on REDD+ mrv.[143]<br>– CIFOR staff believe that an international policy actor[30] was instrumental in having CIFOR being present in the expert meeting in bonn[7] prior to cop 2011 to introduce CIFOR's step-wise approach. The policy actor, however, claims that the step-wise approach was introduced via the normal negotiation process: a group of experts and informal discussions prior to the cop in Durban. | Global case study<br>Global case study |
| | CIFOR has clearly influenced UN-REDD to include land tenure in its international policy. This occurred in 2014 (six years after GCS started in 2008). | – The GCS influenced UN-REDD to incorporate tenure in its log frame, based on the strength of its research [105, 106]<br>– While UN-REDD has adopted the policy to prioritise tenure, it is unclear how this will translate into practice.[105,106] | UN-REDD SoC<br>UN-REDD SoC |
| | | – A research partner acknowledges the involvement of a CIFOR scientist in drafting the REDD+ national strategy.[144] | Indonesia case study |
| | | – CIFOR was one of the main scientific resources for the governments of Norway and Indonesia on the moratorium on logging in Indonesia.[102, 103, 104] | Moratorium case study |
| | | – CIFOR hosted a consultation workshop in Bogor in 2010 prior to the governments of Indonesia and Norway signing the letter of intent on co-operation reducing greenhouse gas emissions from deforestation and forest degradation. Even though it was not explicit, the interview with Norwegian consul mentioned that CIFOR was invited to provide input to the LOI. CIFOR is recognised by Norway as a neutral partner.[144] | Indonesia case study |
| | The step-wise approach has been adopted in in Guyana and Ethiopia during the time frame (2009-2014) | – Guyana has adopted the step-wise framework.[112]<br>– Ethiopia has adopted the step-wise framework.[113] | Guyana SoC<br>Ethiopia SoC |
| | CIFOR has established a close working relationship with government in Peru. | – CIFOR Peru has formalised its engagement with the government and has signed a MOU, which is compatible with the demands and need SOF national policymakers.[45,54] | Peru case study |

| Key Evaluation Question | Summary of Results | Evidence | Source |
|---|---|---|---|
| CIFOR's goal is to ensure that the international post-2012 climate regime and national-level REDD schemes are designed in such a way as to ensure that forest-based emissions reductions are effective, efficient, equitable and provide benefits to affected communities in developing countries.<br><br>Within four years, CIFOR's research will have informed negotiations toward a global REDD regime, and will have contributed to the design and implementation of national-level REDD schemes so that they meet these criteria.<br><br>Within five years, CIFOR aspires to influence national-level REDD policies and strategies in at least five countries.' | CIFOR has influenced the capacity and behaviour of other actors in Peru and Indonesia by increasing their ability to promote 3E REDD+ approaches<br><br>CIFOR influence on REDD+ policy development in countries where there is no country office | – Co-produced research is improving Peru's institutional and technical capacity.[114]<br>– CIFOR co-created research with BAM, which gained capacity in indigenous rights research.[108,109]<br>– CIFOR worked with ICEL to produce the PNA research. This improved ICEL's future policy research and ability to engage with stakeholders.[111] | Peru SoC<br>BAM SoC<br>Icel SoC |
| | | – Key informants in Costa Rica do not recognise CIFOR's contribution, main policy documents and key actors do not reference CIFOR work.[150]<br>– CIFOR publications were cited as useful by key REDD+ actors in Ghana and key professionals have attended CIFOR learning events.[148]<br>– The PNRPS in the Philippines references CIFOR work and CIFOR and FFI staff using CIFOR work have contributed to REDD+ implementation.[115] | Costa Rica episode study<br>Ghana episode study<br>Philippines episode study |

| Key Evaluation Question | Summary of Results | Evidence | Source |
|---|---|---|---|
| **B. How could it be improved?** | | | |
| | Much of CIFOR's influence is indirect. Further study is needed about the best ways to work with intermediary individuals and organisations. | – Martin Herold was instrumental in the adoption of step-wise approach by Guyana and Ethiopia. Mary Menton helped Peru in developing R-PP but, the Peruvian government did not adopt CIFOR's step-wise approach, preferring the JNS approach.[112,113,114] | Guyana SoC<br>Ethiopia SoC<br>Peru SoC |
| | | – ICEL and BAM co-produced research with CIFOR. The research results were positive and they both gained capacity (though this is difficult to attribute). AIDER co-produced research with CIFOR but was not happy with the results, found no value in the exercise and claim not to have gained capacity.[108, 109, 111] | BAM SoC<br>ICEL SoC |
| | The approach to co-producing research with partners has had some success in terms of capacity development. This experience could be reflected upon to identify the most effective model to deliver capacity development. | – CIFOR's database and representation from certain sample groups was small in the two surveys. CIFOR has worked more with the private sector in the past and as part of conferences such as the Forests Indonesia.[97, 98] | Communications review |
| | | – This is evidenced by discussions at both workshops (inception and communications review).[100] | Communications review |
| | | – To facilitate the decision on how much it should invest in national-level communications, CIFOR needs to examine a number of areas including its knowledge role.[147] | Communications review |
| | CIFOR needs to explore options and strategies of where it is best to strike the balance between global and national communications. | – Demand for less technical knowledge for policy-makers in countries where CIFOR does not have a presence. [149] | Philippines episode study |
| | | – CIFOR has focused its efforts on global and regional and to a lesser extent national communications. Survey 2 qualitative responses indicated that some respondents felt CIFOR could do 'more on the ground' for greater impact.[98] | Communications review |
| | CIFOR could consider more country-level events and face-to-face interactions with key stakeholders | – In particular, CIFOR could consider focusing more on national/country-level events to reach new audiences and capitalise on existing networks. This is evidenced by qualitative responses from survey 1 and 2.[97, 98] | Communications review |
| | | – Strong demand from stakeholders in Costa Rica and Ghana for capacity development through distance learning courses and technical tools.[148, 150] | Ghana and Costa Rica episode study |
| | CIFOR could organise more international training courses for policy-makers and practitioners in countries where CIFOR has no country presence | | |

| Key Evaluation Question | Summary of Results | Evidence | Source |
|---|---|---|---|
| **The seven sub-questions** | | | |
| **1. How has GCS contributed to its end of programme goals?** | | | |
| Within four years, CIFOR's research will have informed negotiations towards a global REDD regime, and will have contributed to the design and implementation of national-level REDD schemes so that they meet these criteria.<br><br>Within five years, CIFOR aspires to influence national-level REDD policies and strategies in at least five countries.' | Through high-quality independent research and publications and extended outreach<br><br>Through the development of approaches and tools (though they are sometimes not fully understood nor used)<br><br>Through the provision of expert support at international and national level<br><br>Through international events and training<br><br>Through collaboration with and capacity development of national partners | – CIFOR influenced UN-REDD to adopt tenure into its log frame on the strength of its research. William Sunderlin was subsequently invited to make a presentation at the UN Policy Board. (Still unclear how the policy will translate into practice.[105,106] | UN-REDD SoC |
| | | – CIFOR was the main science resource for the governments of Norway and Indonesia on the moratorium on logging natural forests in Indonesia.[102, 103, 104] | Moratorium of logging SoC |
| | | – GCS has publications on the drivers of deforestation and degradation, mainly in the form of journal articles co-produced with CIFOR global research partners.[143] | Global study |
| | | – CIFOR publications are quoted in REDD+ policies and approaches in countries where it does not have a presence.[148, 149] | Ghana and Philippines Episode Studies |
| | | – The step-wise approach has been important to help move the international REDD+ negotiations forward, but countries have differing understandings of the methodology.[107] | Stepwise SoC |
| | | – Guyana has adopted the step-wise framework. [112] | Guyana SoC |
| | | – Ethiopia has adopted the step-wise framework. Ethiopia and CIFOR have co-produced research which has increased their institutional and technical capacity. [113] | Ethiopia SoC |
| | | – CIFOR was part of the INCAS/FREL design team and provided the scientific knowledge to develop INCAS/FREL.[101] | INCAS/FREL SoC |
| | | – Daniel Murdiyarso acted as the knowledge broker to ensure CIFOR provided the right knowledge at the right time to the Indonesian Ministry of Environment.[110] | Daniel Murdiyarso SoC |
| | | – REDD+ policy-makers in the Philippines and Ghana found CIFOR events and courses useful (and asked for more).[148 149] | Ghana and Philippines episode studies |
| | | – Guyana and CIFOR have co-produced research, which has increased the former's institutional and technical capacity.[112] | Guyana SoC |
| | | – CIFOR co-created research with BAM, which gained capacity in indigenous rights research. [108, 109] | BAM Soc |
| | | – CIFOR worked with ICEL to produce the PNA research. This improved ICEL's future policy research and ability to engage with stakeholders.[111] | ICEL SoC |

| Key Evaluation Question | Summary of Results | Evidence | Source |
|---|---|---|---|
| **The seven sub-questions** | | | |
| **1. How has GCS contributed to its end of Programme goals?** | | | |
| Within four years, CIFOR's research will have informed negotiations towards a global REDD regime, and will have contributed to the design and implementation of national-level REDD schemes so that they meet these criteria.<br><br>Within five years, CIFOR aspires to influence national-level REDD policies and strategies in at least five countries.' | Through high-quality independent research and publications and extended outreach<br><br>Through the development of approaches and tools (though they are sometimes not fully understood nor used)<br><br>Through the provision of expert support at international and national level<br><br>Through international events and training<br><br>Through collaboration with and capacity development of national partners | – Training on the step-wise approach conducted by a CIFOR partner in Guyana and Ethiopia suggests that research findings and recommendations that countries can apply are more effective when the communication chain involves few intermediaries.[143] | Glo bal Studies |
| | | – Personal interactions between CIFOR staff and national REDD+ policy-makers and actors contributed to the development of REDD+ policies and processes in the Philippines and Ghana. [148, 149] | Phillippines and Ghana Episode Studies |

| Key Evaluation Question | Summary of Results | Evidence | Source |
|---|---|---|---|
| **2. Are target audiences using CIFOR's work?** | | | |
| General comments | There is strong evidence that most of CIFOR's audiences are using CIFOR's work | – 55% of respondents in the second survey said they use CIFOR GCS research in their work, 52% access more related research, 47% share it with their colleagues and/or networks.[98] | Communications survey |
| | Some countries face systematic barriers to accessing CIFOR research, but these can be mitigated. | – Three factors limit access to research for developing countries: (1) access to communication material (including scientific journals usually associated with closed access); (2) the language used in the publications; and (3) access to the specific concepts and research methodologies [although all downloadable].[143] | Global case study |
| | CIFOR has less control and resource to promote the use of CIFOR work where there is no CIFOR country office. | – While some policy documents in Ghana and Philippines reference CIFOR work, and some policy-makers and other stakeholders are aware of it, this seems much less than in countries where CIFOR has offices, and there is no use of CIFOR work in Costa Rica. [148, 149,150] | Philippines, Ghana and Costa Rica episode studies |
| National research partners | National research partners are involved not only in doing CIFOR research, but in using the results | – A Libelula representative said: 'the study of policy network analysis had a big impact on us and helped us to see how we are disconnected in this country, how scientists who are producing valuable information about climate change and REDD+ barely talk to the media'.[46] | Peru case study |
| Proponents (national-level organisations involve in M2 work) | There is evidence that REDD+ national proponents are informed and play a significant role in the CIFOR research process | – Redd+ proponents were not only informed but also participated in co-authoring the REDD case book (http://www.cifor.org/redd-case-book/). The proponents' expectation was that their capacity would be built by learning GCS REDD module 2 research on monitoring (before and after REDD+ implementation). [144]<br>– Boundary partners use the CIFOR output on sustainable forest management related to REDD+.[64] | Indonesia case study<br>Cameroon case study |
| National practitioners | There is much evidence that national practitioners (including communities, the private sector and the media) are using CIFOR's work. | – CIFOR research has been used by a local private company, Bosques Amazónicos (BAM) to develop and market carbon credits as part of a REDD+ project. [146] | Peru case study |
| | | – BAM used some of CIFOR's research on indigenous rights (though the sub-national BAM initiative is no longer operational, raising the question of the sustainability of national practitioners).[108,109]<br>– ICEL is using CIFOR's research on PNA to inform its own policy influence.[111] | BAM: SoC<br>ICEL SoC |

| Key Evaluation Question | Summary of Results | Evidence | Source |
|---|---|---|---|
| National policy makers | There is strong evidence of the use of CIFOR's work by national operational agencies; and by policy makers in some instances. | – INCAS is using CIFOR data to complete FREL. [101]<br>– Guyana is using the step-wise MRV.[112]<br>– Ethiopia is using the step-wise MRV.[113]<br>– Partners in Peru were aware of GCS MRV step-wise approach, but chose to use University of Maryland data because it was freely available and immediately useful whereas the step-wise approach is a conceptual framework that requires data.[114] | INCAS SoC<br>Guyana SoC<br>Ethiopia SoC<br>Peru SoC |
| | National policy-makers in Ghana and Philippines use CIFOR's work | – A Guyanese official states that the country benefited from technical training and activities delivered by a CIFOR's main research partner, which made it possible for the country to be an early starter with REDD+.[18] | Global case study |
| | National policy-makers and policy documents in Costa Rica seem unaware of CIFOR work | – CIFOR has contributed to the development of knowledge products used by Indonesia's national REDD+ Agency (e.g. CIFOR involved in the development of Indonesia's FREL, MRV).[101]<br>– Indonesia – research used in logging moratorium and by media. [144]<br>– CIFOR made several recommendations to MINAM staff but while two MINAM interviewees recognised the advantages of the step-wise approach they decided not to use it.[146] | INCAS/FREL SoC<br>Indonesia case study<br>Peru case study |
| | | – The National REDD+ Manager uses many CIFOR publications to contribute to the preparation of the Ghana R-PIN document.[118]<br>– Key publications were used in drafting the PNRPS.[149]<br>– 'Key actors do not recognise CIFOR material and activities and the main documents revised do not take account of CIFOR's references'.[150] | Ghana episode study<br>Philippines episode study<br>Costa Rica episode study |
| International research partners | International research partners make use of CIFOR work in their own research and communications on REDD+ | – CIFOR's research partners at Wageningen university run the geospatial lab, which is part of GOFC-gold. This has produced the methods sourcebook to help professionals implement IPCC procedures.[143] | Global case study |
| International policy actors (IPCC, bilateral and multilateral donors etc). | International policy actors using GCS-REDD+ work | – Governments of Indonesia and Norway consulted CIFOR prior to the national moratorium on forests concessions. [102, 103, 104] | Moratorium SoC |
| | | – CIFOR hosted a consultation workshop in Bogor in 2010 prior to the governments of Indonesia and Norway signing the letter of intent on reducing GHG emissions from deforestation and forest degradation.[144] | Indonesia case study |
| | | – The step-wise approach was introduced to the negotiators at the SBSTA plenary at the Durban cop by the UNFCCC secretariat through a meeting note of the expert meeting.[143] | Global case study |

| Key Evaluation Question | Summary of Results | Evidence | Source |
|---|---|---|---|
| **3. Are target audiences aware of GCS work?** | | | |
| General comments | There is widespread awareness of CIFOR's work among people involved in the assessment. (This is not surprising since this assessment has used CIFOR mailing lists and largely working with CIFOR staff). There is some evidence that awareness is better in countries where CIFOR has a presence on the ground. Few national respondents to the survey reported as having been to CIFOR conferences. | – All stakeholders interviewed for the SoC were aware of GCS work: INCAS/FREL, governments of Indonesia and Norway involved in the moratorium decisions, UN-REDD, BAM, ICEL staff, and stakeholders in Guyana and Peru.[114] | Peru SoC |
| | | – CIFOR work in MRV not well mainstreamed without continuous presence on the ground (Peru). [146] | Peru case study |
| | | – Largest audience (according to survey) are academics, national governments and global and national NGOs.[98]<br>– National stakeholders (survey 2) had been to few CIFOR conferences.[98]<br>– Good examples of national-level work in Indonesia, e.g. REDD:I collaboration, but elsewhere less clear. Respondents from survey 2 ask for more national/sub-national events.[98] | Communications review |
| | There is much lower awareness of CIFOR work in countries where CIFOR does not have staff on the ground | – While some actors in Philippines and Ghana were aware of CIFOR work, there was very little awareness in Costa Rica.[148,149,150] | Philippines, Ghana and Costa Rica episode studies |
| National research partners | National research partners | – ICEL and ISPP were informed by CIFOR co-produced actions.[144] | Indonesia case study |
| National proponents | National proponents in some CIFOR countries (e.g. Cameroon) are aware of only some of CIFOR's work | – Several partners who have been providing information on MRV in Cameroon feel there is an urgent need for mrv but are unaware of CIFOR's work on this. [74, 66, 63] | Cameroon case study |
| National practitioners | National practitioners in countries where CIFOR has a presence on the ground are aware of CIFOR's work | – Specific technical audiences are aware of work in indonesia.[144]<br>– A Minam manager[44] recognised that in particular the recommendations on cost–benefit analysis, distribution of benefits in REDD+ as well as the importance of coordination between the different actors working on REDD+ have been taken into account in internal discussions at Minam. | Indonesia case study<br><br>Peru case study |
| National policy-makers | National policy-makers in countries where CIFOR has a presence on the ground are aware of CIFOR's work | – Some official aid agencies and NGO representatives working with the government consult CIFOR scientists on GCS-REDD+ research output[64] and cited the studies on country profiles and on land fee sharing.[64,65] another policy actor cited two articles from Assembe and the country profile from Dkamela.[62] other partners cited CIFOR documents on benefit-sharing and governance.[60,77]<br>– Amazonian sub-national governments are aware of CIFOR's 'the context of REDD+' and analysing redd+. [49,48]<br>– Informed by CIFOR's GCS-REDD+ research output, Minam is aware of the problems of decentralisation and the contradictions between regional and national policies. [44,52]<br>– Some government researchers at the ministry of forestry state that they have referred to a CIFOR analysis of below-ground biomass.[144] | Cameroon case study<br><br>Peru case study<br><br>Peru case study<br><br>Indonesia case study |
| International research partners | International research partners | – CIFOR research partners are aware of CIFOR research produced jointly.[143] | Global case study |

| Key Evaluation Question | Summary of Results | Evidence | Source |
|---|---|---|---|
| International policy actors (e.g. IPCC, bilateral and multilateral donors) | International policy actors are aware of CIFOR's work, but sometimes unaware that it came from CIFOR | – Lack of consensus on knowledge components. [26,31]<br>– The step-wise approach is popular among international policy actors but no one knows where it came from.[25, 26] | Global case study<br>Global case study |
| **4. Have GCS engagement channels been effective?** | | | |
| Global (digital) channels | CIFOR's approach to global digital GCS communication has been effective in comparison to other related Programmes e.g., CDKN.<br><br>CIFOR's outreach is taken up by stakeholders where CIFOR does not have a presence on the ground, such as in Ghana, Costa Rica and Philippines. | – The statistics from Google Analytics and CIFOR Board reports show a large number of visitors to digital platforms/websites, and regular interaction with CIFOR channels. Google Analytics is only part of the story, but qualitative responses from survey 1 and 2 also indicate that CIFOR is well regarded, particularly among global audiences.[97, 98]<br>– Academics were the largest group that responded to both surveys (38% survey 1/39% survey 2), 62% of respondents were non-academics including policy-makers (15%/13%) and NGOs (20%/17%). Other groups in survey 1 are multilateral agencies (4%), media (3%), local Forest Agencies (2%), private sector (6%), bilateral agencies (3%), advocacy/outreach (1%), other (8%). For survey 2 Inter-governmental agency (5%), International aid agency (1%), Media (2%), private sector (7%), other (16%). The evidence from the communications review does not tell us which audience groups are most aware of GCS work.[97, 98]<br>– The comparator review between CDKN and CIFOR shows that CIFOR digital, website and social media channels have developed a strong following (including in languages other than English). CIFOR has been driving a global conversation on forests and climate change.[99] | Communications review<br>Communications review<br>Communications review |
| | | – Most stakeholders in Costa Rica, Ghana and the Philippines who were aware of CIFOR's work had heard about it through personal contacts, Forest Days or learning events.[148,149,150] | Ghana, Costa Rica and the Philippines episode studies |
| Publications | CIFOR publications are the most popular channel from the communications review survey, but some policy actors feel they are too long and more briefing papers are needed. | – In survey 1 respondents predominantly selected publications (65%) followed by articles in peer-reviewed scientific journals (38%) and responses were split 50:50 between academics and non-academics. [97] | Communications review |
| | | – CIFOR's publications are suited to technicians and other researchers, but some policy actors indicated that they are too voluminous for policy-makers such as parliamentarians and that more policy briefs are needed. They also suggested that CIFOR adapt and diversify its ways of communicating research findings. [145] | Cameroon case study |
| Digital communications | CIFOR has developed a strong digital strategy with global audiences, and in a number of different languages. The CIFOR newsletter and Forest News Blog were most frequently mentioned as favourite CIFOR sources in the survey. | – CIFOR's Google Analytic data show that CIFOR's digital strategy has been effective at building a community of followers who are regularly engaging with content through platforms such as Forests News. Also, respondents from survey 1 selected the CIFOR newsletter (61%) and Forests News Blog (28%), as two of the channels they usually learn about CIFOR's research on forests and climate change. Forest News was particularly popular with the private sector and multilaterals. On the other hand, based on data from Board reports, perceptions from interviews and Google Analytics, the impact of the Forest and CC website (which CIFOR is phasing out) has been minimal, particularly since the end of Forest Day. This is mainly because it was not as targeted as Forest News and is now operating in a crowded market.[97] | Communications review |
| Multimedia | Multimedia is part of a coherent package of CIFOR communication channels | – The CIFOR YouTube channel has a strong following and its YouTube views and subscribers are significantly higher than CDKN's. However, only 12% of respondents from survey 1 selected CIFOR videos or PowerPoint presentations as a means to find out about CIFOR research on climate change.[97] | Communications review |

| Key Evaluation Question | Summary of Results | Evidence | Source |
|---|---|---|---|
| Events and conferences | CIFOR events and conferences are well known well attended and host high-quality participants at global and regional conferences, but respondents in the national case studies and the Indonesia Country Study workshop asked for more national event<br><br>Most stakeholders in countries without CIFOR staff on the ground heard about CIFOR work through events | – Data from CIFOR conference reports indicate that CIFOR global conferences have been successful at reaching global audiences. CIFOR has also developed strong communications around major international conferences such as Forest Day and GLF, reaching high-level audiences (CIFOR Board reports). However, in survey 2, the majority (70%) of country respondents said that they had not attended a GCS conference in recent years. Qualitative comments from survey 2 asked for more country level/face-to-face events to reach local communities and government.[98] | Communications review |
| | | – 'Ghanaian professionals who are at the helm of Ghana's REDD+ process have also benefited from learning events where resource persons from CIFOR have shared useful knowledge on subjects such as REDD+ Governance and mangroves.' [118] | Ghana episode Study |
| National channels Engagement with research partners | CIFOR engages well with national research partners through informal relationships, collaborative research and offers training to national research partners, but not enough to meet demand and sometimes not well matched to partners' needs | – CIFOR Peru has facilitated capacity building and communication through different channels for the dissemination of its research, but it is considered insufficient to meet demand and does not match the needs of its national and sub-national research partners.[146] | Peru case study |
| | | – In Indonesia GCS has been strategically opportunist through personal relationships; a research partner acknowledges the involvement of a CIFOR scientist in drafting the REDD+ national strategy.[144] | Indonesia case study |
| | | – A CIFOR scientist shared CIFOR's research results and was involved in setting Indonesia's FREL.[144] | Indonesia case study |

| Key Evaluation Question | Summary of Results | Evidence | Source |
|---|---|---|---|
| Engagement with boundary partners | CIFOR staff engage informally with a wide range of boundary partners in a variety of ways. They are frequently consulted directly. They Organise meetings with key stakeholders, and they attend research meetings. But that does not always result in the effective transmission of information because policy makers require tailor made products, and would also like to be involved in setting the research agenda. | – Several partners in Cameroon indicated that they consult CIFOR scientists directly when they need information.[60, 78, 77, 72, 79, 65] | Cameroon country study |
| | | – Policy-makers wanted to be involved with setting the research agenda; in Zambia, any research in the policy process must be approved by the government. External research is less likely to be considered as part of the policy change process.[143] | Global case study |
| | | – Policy-makers require different products at different times and in the most appropriate language, e.g. a latin American REDD+ coordinator[23] prefers to receive all information in Spanish; an African REDD+ technical staff member prefers to receive research materials that have been filtered in the periodical bulletin and sent by email. | Global case study |
| | | – Policy institutions such as REPAR act as a channel to bring CIFOR's research, particularly regarding benefit sharing, the economic value of forest, and land tenure, to the relevant ministries.[73] | Cameroon case study |
| | CIFOR staff frequently engage with policy organisations directly, and in some cases provide direct technical inputs, or act as a knowledge broker bringing different actors together<br>In Peru CIFOR has signed a formal agreement to collaborate with national government departments | – CIFOR played a role in the development of the Indonesian INCAS/FREL design team.[101] | INCAS/FREL SoC (1) |
| | | – CIFOR scientist Daniel Murdiyarso acted as a knowledge broker to provide the right knowledge for the ministry of environment in indonesia.[110] | Daniel Murdiyarso SoC (10) |
| | | – CIFOR Peru has formalised its engagement with the government by signing MOU with Minam, which is compatible with the demands and needs of national policy-makers.[45, 54] | Peru case study |
| | | – These partners are particularly aware of CIFOR's presence on CCPM-REDD, the key platform in the REDD+ policy process, and of CIFOR's role in REDD+. CIFOR made important contributions to the MRV debate as a participant at an event hosted by the FAO.[144] | Indonesia case study<br>Indonesia case study |
| | In Indonesia, CIFOR helped the government to set up a website which has become the leading source of knowledge about REDD+ in the country | – The REDD-Indonesia website has been a major collaboration between CIFOR and Forda on redd+.[144] | |
| | | – Forda recognises the website as having made an impact, by bringing to a wider audience aware in a more popular way CIFOR's position in REDD+ indonesia.[144] | Indonesia case study |
| | | – Peru – GCS research has used the print media but users prefer to receive information via tv.[146] | Peru case study |

| Key Evaluation Question | Summary of Results | Evidence | Source |
|---|---|---|---|
| Engagement with practitioners | CIFOR engages effectively with a wide range of practitioners at national level including proponents (organisations testing REDD+ approaches at field level), and the private sector. | – CIFOR research has been used by a private company, Bosques Amazónicos (bam) to develop and market carbon credits as part of a REDD+ project the media picked up and registered for this workshop[55]. It pinpointed that the workshop and the study were important in raising awareness on the role of the media on climate change and REDD+ policies, although it was argued that one of the limitations of the study was to focus on newspaper coverage when many rely on television and radio as sources of information.[55] | Peru case study |
| **5. Has GCS products produced relevant science?** | | | |
| | There is strong evidence that GCS has produced relevant and useful science | – INCAS/FREL - Scientific data on forest coverage and the rate of carbon density and loss.[101]<br>– Moratorium of logging, Murdiyarso et al. 2010.[102, 103, 104]<br>– UN-REDD – tenure research.[105, 106]<br>– ICEL – country profile.[111]<br>– Guyana, Ethiopia MRV – step-wise approach.[10] | INCAS/FREL SoC<br>Moratorium of logging SoC<br>UN-REDD – SoC<br>ICEL – SoC<br>Step-wise SoC |
| | | – Two Minam informants are aware of the need for a legal framework that treats agriculture and forests differently, and the need to integrate this.[45, 52] they are also aware of the problems on securing land title and the need to coordinate with different sectors in the REDD+ process.<br>– Cameroon: yes, through the CIFOR focus on policy analysis.[145]<br>– Indonesia: yes, but good science seen only by specific people.[144]<br>– A CIFOR scientist shared CIFOR's research results and was involved in setting Indonesia's frel.[144] CIFOR has produced some of most needed science: CIFOR and its partners have published on rel/rl methods, mainly as journal articles such as activity data,[14] emission factors,[33, 3],deforestation drivers,[6, 34] and remote sensing.[15] | Peru case study<br>Cameroon case study<br>Indonesia case study |
| | CIFOR science has underpinned many of the key components of REDD+ including the step-wise approach (which addressed gaps in the IPCC 2006 guidance), methods for assessing deforestation, emissions and remote sensing etc. | – CIFOR and its partners' research identified a number of weaknesses in the 2006 IPCC guidance: on assessment categories, e.g. Herold and Skutsch (2011)[32]; methods to assess deforestation Kissinger et al. (2012)[2] ; the gain-loss method and stock-difference method Verchot et al., (2012, figure 15.2).<br>– CIFOR has produced some of most needed science: CIFOR and its partners have published on rel/rl methods, mainly as journal articles such as activity data,[14] emission factors,[33, 3],deforestation drivers,[6, 34] and remote sensing.[15] | Global case study |
| | | – The two communications surveys indicate that national REDD+ processes and policies including country contexts and media analyses have been by far 'the most useful research' that this global audience has received in recent years.[97, 98] | Communications review |

| Key Evaluation Question | Summary of Results | Evidence | Source |
|---|---|---|---|
| **6. Has the GCS Programme and projects been effectively integrated?** | | | |
| | The GCS was designed as an integrated Programme with interlocking components with component leaders managing budgets and outputs autonomously and collaborating informally. This has resulted in numerous collaborations among the lead scientists of the GCS modules and a wide range of knowledge generation activities that are mutually reinforcing. Management and coordination mechanisms have been flexible and responsive and have evolved appropriately as the Programme has developed. | – Researchers in GCS Modules 1 and 3 have jointly produced a series of working papers Country profiles: drivers, agents and institutions.[143]<br>– Blom, B., Sunderland, T., and Murdiyarso, D. (2010). 'Getting REDD to work locally: lessons learned from integrated conservation and development projects', Environmental Science & Policy 13(2): 164–172.[120]<br>– Kanninen, M., Brockhaus, M., Murdiyarso, D. and Nabuurs, G. (2010) 'Harnessing forests for climate change mitigation through REDD+: challenges and opportunities'. Vienna: IUFRO.[121]<br>– Murdiyarso, D., Brockhaus, M., Sunderlin, W.D. and Verchot, L. (2012) 'Some lessons learned from the first generation of REDD+ activities', Current Opinion in Environmental Sustainability 4(6): 678-685.[122] | CIFOR literature review |
| | | – There are few formal coordination meetings among researchers across countries where gcs-redd+ research is being conducted.[143] | Global case study |
| | | – CIFOR researchers indicate that Vaoundé hub projects do not always work synergistically, perhaps due to moderate to weak strategic planning on coordinating the different modules.[80, 81]<br>– Indonesia: very little integrated work, each module develops own network.[144] | Cameroon case study<br>Indonesia case study |
| | There has been at least one annual staff meeting, though less frequent meetings between them, especially for more junior, country-based staff. There has been good collaboration and coordination in some countries, especially where staff work across components, but some country-level staff are not fully aware of what other components are doing. | – CIFOR researchers involved in modules 1 and 3 have produced a series of working papers known as country profiles.[143] | Global case study |

| Key Evaluation Question | Summary of Results | Evidence | Source |
|---|---|---|---|
| **7. Has the GCS used coherent strategies to achieve outcomes?** | | | |
| | The original project design had an implicit ToC embedded in the proposed activities, outputs and outcomes. Much work has been done since then to identify boundary partners and develop a more elaborate global ToC, though it is unclear whether specific ones were developed for national Programmes. If they were, they are not widely owned and there remains much confusion among lower-level staff about both the theory and practice of ToC. It was unclear at the start of this assessment whether the ToCs upon which it is based were retrospective ToC or simply a representation of what was done. The assessment found significant differences in some cases between the agreed ToC and what actually happened. | – Country-level staff were unclear about overall, and specific country-level, toc during the toc exercise at the country case-study planning workshop.[119] | Country case-study planning workshop |
| | | – Better at articulating toc (policy impacts)[144] | Indonesia case study |
| | | – A CIFOR Peru planning document provides evidence that CIFOR Peru wrote down its activity, output and expected outcome, which is 'to provide scientific information and tools to improve decision-making processes through strengthening the understanding and management of governance aspects'. This expected outcome is in fact an intermediate outcome of CIFOR's GCS-REDD+ to achieve REDD+ policy that is effective, efficient, equitable and has co-benefits.[146] | Peru case study |
| | | – Unclear about strategies to reach REDD+ that are 3e+ across three countries. [146] | Peru case study |

*Numbers correspond to the evidence presented in Annex 5.*

# Annex 5: Evidence table

| Reference | Evidence type | Author | Reference | Date |
|---|---|---|---|---|
| 1 | Published study | Romijn et al. | Romijn et al. (2012) 'Assessing capacities of non-Annex I countries for national forest monitoring in the context of REDD+', in *Environmental Science & Policy 19-20(0), pp.33-48.* | 2012 |
| 2 | Published study | Kissinger et al. | Kissinger et al. (2012) *Drivers of Deforestation and Forest Degradation*. Vancouver. | 2014 |
| 3 | Published study | Verchot et al. | Verchot et al. (2012) 'Emissions factors: Converting land use change to CO2 estimates', in *Analysing REDD+*. Bogor: CIFOR. | 2012 |
| 4 | Published study | Herold, et al. | Herold et al. (2012) 'A step-wise framework for developing REDD+ reference levels', in *Analysing REDD+*. Bogor: CIFOR. | 2012 |
| 5 | Published study | Mora et al. | Mora et al. (2012) *Capacity development in national forest monitoring: Experiences and progress for REDD+*. Bogor: CIFOR. | 2012 |
| 6 | Published study | Hosonuma et al. | Hosonuma et al. (2012) 'An assessment of deforestation and forest degradation drivers in developing countries', in *Environmental Research Letters* 7(4). | 2012 |
| 7 | Published data | UNFCCC | United Nations Framework Convention on Climate Change (UNFCCC) Expert Meeting on 'Forest reference emission levels and forest reference levels for implementation of REDD-plus activities', Bonn, Germany, 14 - 15 November, 2011. Available at: https://unfccc.int/land_use_and_climate_change/redd/items/6455.php (Accessed 29 October 2015) | 2011 |
| 8 | Published data | CIFOR/ UNFCCC | 'Considering drivers and data uncertainties for developing reference emission levels', Presentation at UNFCCC Expert Meeting, Bonn, Germany, 14-15 November 2011. Slides 6-15. Available at: http://unfccc.int/files/land_use_and_climate_change/redd/application/pdf/herold_rel_sbsta_bonn_14nov2011.pdf (Accessed 29 October 2015) | 2011 |
| 9 | Official government narrative, unpublished | Informant | Analysis social inquiry interviews for the CIFOR assessment of the global step-wise MRV case study report. Unpublished. | 2014 |
| 10 | Published report | Jagdesh Singh | Jagdesh Singh (2012). Expert workshop on step-wise approaches for improving national monitoring and REDD+ MRV capacity development. Available at: www.gofcgold.wur.nl/documents/CIFOR-GOFC_WS_2012/JSingh.pdf (Accessed 29 October 2015) | 2012 |
| 11 | Published report | UNFCCC | United Nations Framework Convention on Climate Change (UNFCCC) UNFCCC Opens Portal for Countries to Submit Climate Plans INDC Website Launched (online). Available at: http://newsroom.unfccc.int/unfccc-newsroom/unfccc-portal-open-for-countries-to-submit-climate-plans/ (Accessed 29 October 2015) | 2014 |
| 12 | Official government narrative, unpublished | Informant | Analysis social inquiry interviews for the CIFOR assessment of the global step-wise MRV case study report. Unpublished. | 2014 |
| 13 | Workshop | Wageningen University | GOFC-GOLD/CIFOR expert workshop on step-wise approaches for national forest monitoring and REDD+ MRV capacity development, Wageningen, The Netherlands. More information available at: www.gofcgold.wur.nl/sites/CIFOR_workshop.php (Accessed 29 October 2015) | 2012 |
| 14 | Published study | Romijn et al. | Romijn et. Al (2013) 'Exploring different forest definitions and their impact on developing REDD+ reference emission levels: A case study for Indonesia', in *Environmental Science and Policy Journal*. | 2013 |
| 15 | Published study | Avitabile et al. | Avitabile et al. (2011) 'Mapping biomass with remote sensing: a comparison of methods for the case study of Uganda', in *Carbon Balance and Management Journal*. Available at: www.cbmjournal.com/content/6/1/7 (Accessed 29 October 2015) | 2011 |
| 16 | Practitioner narrative, unpublished | Informant | Analysis social inquiry interviews for the CIFOR assessment of the global step-wise MRV case study report. Unpublished. | 2015 |

| Reference | Evidence type | Author | Reference | Date |
|---|---|---|---|---|
| 17 | Published data | Daniel Zarin | Reducing Emissions from Deforestation and Forest Degradation (REDD) and REDD+ Reports Modalities and Guidelines for REDD+ Reference Levels. Available at: www.redd-oar.org/links/Guidelines%20for%20REDD+%20Reference%20Levels.pdf (Accessed 29 October 2015) | 2011 |
| 18 | Interview text, unpublished | Informant | Analysis social inquiry interviews for the CIFOR assessment of the global step-wise MRV case study report. Unpublished. | 2014 |
| 19 | Practitioner narrative, unpublished | Informant | Analysis social inquiry interviews for the CIFOR assessment of the global step-wise MRV case study report. Unpublished. | 2015 |
| 20 | Published data | UNFCCC | United Nations Framework Convention on Climate Change (UNFCCC) Report on the expert meeting on forest reference emission levels and forest reference levels for implementation of REDD-plus activities (online). Available at: http://unfccc.int/resource/docs/2011/sbsta/eng/inf18.pdf (Accessed 29 October 2015) | 2011 |
| 21 | Published report | Angelsen et al. | Angelsen et al. (2011) '*Modalities for REDD+ Reference Levels: Technical and Procedural Issues*' Meridian Institute, prepared for the Government of Norway. Available at: www.REDD-OAR.org (Accessed 29 October 2015) | 2011 |
| 22 | Published report | Guyana | Guyana Forestry Commission, MRVS Roadmap Phase 2 (online). Available at: www.forestry.gov.gy/wp-content/uploads/2015/09/MRVS-Phase-2-Workshop-Report-Final.pdf (Accessed 29 October 2015) | 2011 |
| 23 | Official government narrative, unpublished | Informant | Analysis social inquiry interviews for the CIFOR assessment of the global step-wise MRV case study report. Unpublished. | 2007-2014 |
| 24 | Official government narrative, unpublished | Informant | Analysis social inquiry interviews for the CIFOR assessment of the global step-wise MRV case study report. Unpublished. | 2015 |
| 25 | Official government narrative, unpublished | Informant | Analysis social inquiry interviews for the CIFOR assessment of the global step-wise MRV case study report. Unpublished. | 2015 |
| 26 | Expert narrative, unpublished | Informant | Analysis social inquiry interviews for the CIFOR assessment of the global step-wise MRV case study report. Unpublished. | 2015 |
| 27 | Expert narrative, unpublished | Informant | Analysis social inquiry interviews for the CIFOR assessment of the global step-wise MRV case study report. Unpublished. | 2015 |
| 28 | Published report | UNFCCC | United Nations Framework Convention on Climate Change (UNFCCC) Key decisions relevant for reducing emissions from deforestation and forest degradation in developing countries (REDD+) (Online). Available at: https://unfccc.int/files/methods/application/pdf/compilation_redd_decision_booklet_v1.1.pdf (Accessed 29 October 2015) | 2013 |
| 29 | Published report | UNFCCC | UNFCCC Decision on Warsaw Framework for REDD+ 12/CP.17, para. 10. Available at: http://unfccc.int/resource/docs/2011/cop17/eng/09a02.pdf#page=16 (Accessed 29 October 2015) | 2011 |
| 30 | Expert narrative, unpublished | Informant | Interview text. Unpublished. | 2006-2015 |
| 31 | Expert narrative, unpublished | Informant | Email correspondence with ex-UK lead negotiator to clarify his role in in UNFCCC Bonn Expert Meeting in November 2011, unpublished. | 2015 |
| 32 | Published study | Herold and Skutsch | Herold and Skutsch (2011) 'Monitoring, reporting and verification for national REDD + Programmes: two proposals', in *Environmental Research Letters* 6(1): 14002. | 2011 |

| Reference | Evidence type | Author | Reference | Date |
|---|---|---|---|---|
| 33 | Published study | Hergoualc'h and Verchot | Hergoualc'h, K. and Verchot, L.V. (2013). 'Greenhouse gas emission factors for land use and land-use change in Southeast Asian peatlands', in *Mitigation and Adaptation Strategies for Global Change* 19(6):789-807 | 2014 |
| 34 | Published study | Salvini et al. | Salvini et al. (2014) *How countries link REDD+ interventions to drivers in their readiness plans: implications for monitoring systems*, in Environmental Research Letters. Available at: http://iopscience.iop.org/article/10.1088/1748-9326/9/7/074004/pdf;jsessionid=C8428DCFBEB0B95D4004A7FB9E575F20.c1 (Accessed 29 October 2015) | 2014 |
| 35 | Published working paper | Kengoum, D.F | Kengoum, D.F (2011) *REDD+ Politics in the Media: A Case Study from Cameroon*. Bogor: CIFOR. | 2011 |
| 36 | Published study | Larson et al. | Larson, A. M., Brockhaus, M., Sunderlin, W. D., Duchelle, A., Babon, A., Dokken, T., Huynh, T.-B. (2013). Land tenure and REDD+: The good, the bad and the ugly. Global Environmental Change, 23(3), 678–689. Available at: http://dx.doi.org/10.1016/j.gloenvcha.2013.02.014 (Accessed 29 October 2015) | 2014 |
| 37 | Published study | Herold and Romijn | Herold and Romijn (2010) *Monitoring activities of deforestation and forest degradation in REDD+ project sites: Recommendations for the use of remote sensing on measurement of forest cover change*. | 2010 |
| 38 | Published study | Caplow et al. | Caplow et al. (2011) *Evaluating Land Use and Livelihood Impacts of Early Forest Carbon Projects: Lessons for Learning about REDD,* in Environmental Science & Policy. Available at: http://bit.ly/1OZRX1A (Accessed 29 October 2015) | 2011 |
| 39 | Published study | Larson and Ribot | Larson and Ribot (2007) *The poverty of forestry policy: double standards on an uneven playing field*' in Policy Science for Sustainable Development. Available at: http://bit.ly/1M30Apu (Accessed 29 October 2015) | 2007 |
| 40 | Published study | Sehring et al. | Sehring et al. (2013) *Qualitative Comparative Analysis (QCA): An application to compare national REDD+ policy processes*. Available at: www.cifor.org/publications/pdf_files/WPapers/WP121Sehring.pdf (Accessed 29 October 2015) | 2013 |
| 41 | Published study | Perla-Alvarez et al. | Perla Álvarez, J. et al. (2012) *Políticas REDD+ y los medios de comunicación: caso de estudio en el Perú*. Working Paper 101. Bogor: CIFOR. | 2012 |
| 42 | Published book, two chapters on Peru case studies. | Sills et al. | Sills, E., Atmadja, S., de Sassi, C., Duchelle, A., Kweka, D., Resosudarmo, I., and Sunderlin, W. (eds) (2013) *REDD+ on the ground: A case book of subnational initiatives across the globe*. Bogor: CIFOR. | 2014 |
| 43 | Unpublished presentation | Kowler, L., Ravikumar A., Gonzales Tovar J., Larson A., Burga, C., Ward | Syllabus Curso 'REDD+ Nacional: Aspectos sociales y ambientales'. Unpublished. | 2014 |
| 44 | Interview text, unpublished | Informant | Analysis social inquiry interviews for the CIFOR GCS assessment of the Peru case study report. Unpublished. | 2015 |
| 45 | Interview text, unpublished | Informant | Analysis social inquiry interviews for the CIFOR GCS assessment of the Peru case study report. Unpublished. | 2015 |
| 46 | Interview text, unpublished | Informant | Analysis social inquiry interviews for the CIFOR GCS assessment of the Peru case study report. Unpublished. | 2015 |
| 47 | Workshop | All participants | Sense-making workshop conducted for GCS-REDD+ assessment in Cameroon in conjunction with mapping relevant actors for the PNA study. Workshop objective: map all the climate change actors relevant for the PNA study and prioritise the most important ones to interview. | 2014 |
| 48 | Interview text | Informant | Analysis social inquiry interviews for the CIFOR GCS assessment of the Peru case study report. Unpublished. | 2015 |

| Reference | Evidence type | Author | Reference | Date |
|---|---|---|---|---|
| 49 | Interview text | Informant | Analysis social inquiry interviews for the CIFOR GCS assessment of the Peru case study report. Unpublished. | 2015 |
| 50 | Interview text | Informant | Analysis social inquiry interviews for the CIFOR GCS assessment of the Peru case study report. Unpublished. | 2015 |
| 51 | MIMEO | Ministry of Environment (MINAM) Peru | Fondo Cooperativo Para El Carbono de los Bosques (FCPF) Plantilla de Propuesta para la Fase de Preparación para REDD+ (online). Available at: http://forestcarbonpartnership.org/sites/fcp/files/2014/February/R-PP%20Per%C3%BA%20Final%20Dec%202013-RESALTADO.pdf (Accessed 29 October 2015) | 2014 |
| 52 | Interview text, unpublished | Informant | Analysis social inquiry interviews for the CIFOR GCS assessment of the Peruvian case study report. Unpublished. | 2015 |
| 53 | Interview text, unpublished | Informant | Analysis social inquiry interviews for the CIFOR GCS assessment of the Peruvian case study report. Unpublished. | 2015 |
| 54 | Interview text, unpublished | Informant | Analysis social inquiry interviews for the CIFOR GCS assessment of the Peruvian case study report. Unpublished. | 2015 |
| 55 | Published blog | Barbara Fraser | Barbara Fraser (2012) En Perú, REDD avanza pero la cobertura de prensa se queda rezagada, Forest News. Available here: http://blog.cifor.org/13209/en-peru-redd-avanza-pero-la-cobertura-de-prensa-se-queda-rezagada (Accessed 29 October 2015) | 2012 |
| 56 | Published working paper | Kengoum, D.F. | Kengoum, D.F. (2011) *REDD+ Politics in the Media: A Case Study from Cameroon*. Bogor: CIFOR. | 2011 |
| 57 | Published paper | Dkamela, G.P. | Dkamela, G.P. (2011) *The context of REDD+ in Cameroon: Drivers, agents and institutions.* Bogor: CIFOR. | 2011 |
| 58 | Partner narrative, unpublished | Informant, GIZ | CIFOR partner interview text. Unpublished. | 2011 |
| 59 | Partner narrative, unpublished | Informant, WWF | CIFOR partner interview text. Unpublished | 2008 |
| 60 | Partner narrative, unpublished | Informant, IUCN | CIFOR partner interview text. Unpublished | 2009 |
| 61 | Partner narrative, unpublished | Informant, Université de Yaoundé I | CIFOR partner interview text. Unpublished | 1997 |
| 62 | Partner narrative, unpublished | Informant | CIFOR partner interview text. Unpublished | 2011 |
| 63 | Workshop report | Eugene Chia | Chia, E. and Perez-Teran, A. (2015) *GCS Evaluation Workshop report: The role of research in the REDD+ process in Cameroon*. Workshop held 18 March 2015 at CIFOR. Yaoundé: CIFOR. | 2015 |
| 64 | Partner narrative, unpublished | Informant, GIZ | CIFOR partner interview text. Unpublished | 2011 |
| 65 | Partner narrative, unpublished | Informant, WWF | CIFOR partner interview text. Unpublished | 2008 |
| 66 | Partner narrative, unpublished | Informant, FAO | CIFOR partner interview text. Unpublished | 2011 |

| Reference | Evidence type | Author | Reference | Date |
|---|---|---|---|---|
| 67 | Published paper | Dkamela, G.P. | Dkamela, G.P. (2011) *The context of REDD+ in Cameroon: Drivers, agents and institutions*. Bogor: CIFOR. | 2011 |
| 68 | Partner narrative, unpublished | Informant, CED | CIFOR partner interview text. Unpublished | 2013 |
| 69 | Partner narrative, unpublished | Informant, CEW | CIFOR partner interview text. Unpublished | 2008 |
| 70 | Partner narrative | Informant | CIFOR partner interview text. Unpublished | 1994 |
| 71 | Partner narrative | Informant | CIFOR partner interview text. Unpublished | 2009 |
| 72 | Partner narrative | Informant, Université de Yaoundé I | CIFOR partner interview text. Unpublished | 1997 |
| 73 | Partner narrative | Informant, REPAR | CIFOR partner interview text. Unpublished | 2008 |
| 74 | Partner narrative | Informant, COMIFAC | CIFOR partner interview text. Unpublished | 2013 |
| 75 | Policy document | MINFOF | Government of the Republic of Cameroon (2013) *Readiness Preparation Proposal* (R-PP). January 2013. Ministry of Environment, Nature Protection and Sustainable Development. Yaoundé, Cameroon: United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries (UN-REDD). | 2011 |
| 76 | Policy document | MINEPDED (former MINEP) | GoC (MINEP) (2008) *Readiness Plan Idea Note (R-PIN).* Ministry of Environment and Nature Protection (MINEP). Yaoundé. | 2008 |
| 77 | Partner narrative | Informant | CIFOR partner interview text. Unpublished | 2011 |
| 78 | Partner narrative | Informant, Sci-Life | CIFOR partner interview text. Unpublished | 2013 |
| 79 | Partner narrative | Informant, IITA | CIFOR partner interview text. Unpublished | 2007 |
| 80 | Colleague narrative | Informant | CIFOR partner interview text. Unpublished | 2010 |
| 81 | Colleague narrative | Informant | CIFOR partner interview text. Unpublished | 2010 |
| 82 | Published report | Indrarto et al. | Indrarto, G. B., Murharjanti, P., Khatarina, J., Pulungan, I., Ivalerina, F., Rahman, J., and Muharrom, E. *The context of REDD+ in Indonesia*. Bogor: CIFOR. Available at: www.cifor.org/publications/pdf_files/WPapers/WP92Resosudarmo.pdf | 2012 |
| 83 | Published study | Murdiyarso et al. | Murdiyarso et al. (2011) *Moratorium Hutan Indonesia Batu Loncatan untuk Memperbaiki Tata Kelola Hutan?* (Bahasa Indonesia) | 2011 |
| 84 | Published study | Hergoualc'h and Verchot | Hergoualc'h and Verchot (2012) 'Changes in soil CH4 fluxes from the conversion of tropical peat swamp forests- a meta-analysis', in Environmental Sciences. Available a: www.cifor.org/library/4288/changes-in-soil-ch4-fluxes-from-the-conversion-of-tropical-peat-swamp-forests-a-meta-analysis/ (Accessed 29 October 2015) | 2012 |
| 85 | Published study | Hergoualch | Hergoualch (2012) 'Changes in carbon stock and greenhouse gas balance in a coffee (Coffee Arabica) monoculture an agroforestry system with Inga densiflora in Costa Rica', in *Agriculture, Ecosystems and Environment*. Available at: http://bit.ly/1RfGvMN (Accessed 29 October 2015) | 2012 |
| 86 | Published study | Verchot et al. | Verchot et al. (2010) *Reducing forestry emissions in Indonesia*, on CIFOR website. Available at: www.cifor.org/publications/pdf_files/Books/BVerchot0101.pdf (Accessed 29 October 2015) | 2010 |

| Reference | Evidence type | Author | Reference | Date |
|---|---|---|---|---|
| 87 | Published study | Wijaya et al. | Wijaya et al. (2013) 'Calibration of Global Above Ground Biomass Estimate Using Multi-Source Remote Sensing Data', in *Living Planet Symposium*. Available at: www.cifor.org/library/5180/calibration-of-global-above-ground-biomass-estimate-using-multi-source-remote-sensing-data/ (Accessed 29 October 2015) | 2013 |
| 88 | Published study | Resosudharmo et al. | Resosudarmo, I. A. P., Atmadja, S., Ekaputri, A. D., Intarini, D. Y., Indriatmoko, Y., & Astri, P. (2014). Does Tenure Security Lead to REDD+ Project Effectiveness? Reflections from Five Emerging Sites in Indonesia. World Development, 55(0), 68–83. Available at: http://dx.doi.org/10.1016/j.worlddev.2013.01.015 (Accessed 29 October 2015) | 2012 |
| 89 | Published study | Caplow et al. | Caplow et al. (2011) 'Evaluating land use and livelihood impacts of early forest carbon projects-Lessons for learning about REDD+', in *Environmental Science and Policy*. Available at: www.cifor.org/library/3307/evaluating-land-use-and-livelihood-impacts-of-early-forest-carbon-projects-lessons-for-learning-about-redd/ (Accessed 29 October 2015) | 2012 |
| 90 | Published paper | Jagger et al. | Jagger et al. (2010) *A guide to learning about livelihood impacts of REDD+ projects* (Bahasa Indonesian language version). | 2010 |
| 91 | Published paper | Cronin and Santoso | Cronin and Santoso (2010) *Politik REDD+ di Media Studi Kasus dari Indonesia.* (Bahasa Indonesian) | 2010 |
| 92 | Published policy brief | CIFOR | CIFOR (2010) *Grounding the REDD+ debate*. Available at: www.cifor.org/library/3296/grounding-the-redd-debate-preliminary-evidence-from-pilot-initiatives-in-the-brazilian-amazon/ (Accessed 29 October 2015) | 2010 |
| 93 | Jakarta Post | Mudiarso and Taconni | Mudiarso and Taconni (2013) 'A hazy climate: Will anyone do the right thing,' Jakarta Post Available at: www.thejakartapost.com/news/2013/06/22/a-hazy-climate-will-anyone-do-right-thing.html (Accessed 29 October 2015) | Missing date |
| 94 | Published study | Indrarto et al. | Indrarto et. al. (2013) *Konteks REDD+ di Indonesia Pemicu, pelaku, dan lembaganya*. Available at: www.cifor.org/library/4075/konteks-redd-di-indonesia-pemicu-pelaku-dan-lembaganya/ (Accessed 29 October 2015) | 2012 |
| 95 | Published research article | Resosudharmo et al. | Resosudarmo, I. A. P., Atmadja, S., Ekaputri, A. D., Intarini, D. Y., Indriatmoko, Y., & Astri, P. (2014). Does Tenure Security Lead to REDD+ Project Effectiveness? Reflections from Five Emerging Sites in Indonesia. World Development, 55(0), 68–83. Available at: http://dx.doi.org/10.1016/j.worlddev.2013.01.015 (Accessed 29 October 2015) | 2012 |
| 96 | Flagship programme | CGIAR | Research Programme on Forests, Trees and Agroforestry, CRP6 Outcomes DoView (online). Available at: https://dl.dropboxusercontent.com/u/19137705/FTA%2030%20sep.html (Accessed 29 October 2015) | 2013 |
| 97 | Unpublished survey | CIFOR | Communications Review Survey 1. Unpublished. | 2015 |
| 98 | Unpublished survey | CIFOR | Communications Review Survey 2. Unpublished. | 2015 |
| 99 | Published report | CDKN | ITAD (2013) *CDKN Project: External Evaluation Review Final Report,* on CDKN website. Available here: http://cdkn.org/wp-content/uploads/2010/10/2012-077-CDKN-MTR-Final-Report-15March-2013.pdf | 2013 |
| 100 | Unpublished CIFOR GCS assessment workshop report | CIFOR/ODI | Communications Review Workshop Report. Unpublished. | 2015 |
| 101 | Expert narrative, unpublished | Informant | CIFOR partner interviewed as part of INCAS/FREL story of change. Unpublished | 2014-2015 |
| 102 | Expert narrative, unpublished | Informant | CIFOR partner interviewed as part of Moratorium of logging story of change. Unpublished | 2011 |

| Reference | Evidence type | Author | Reference | Date |
|---|---|---|---|---|
| 103 | Expert narrative, unpublished | Informant | CIFOR partner interviewed as part of Moratorium of logging story of change. Unpublished | 2011 |
| 104 | Expert narrative, unpublished | Informant | CIFOR partner interviewed as part of Moratorium of logging story of change. Unpublished | 2011 |
| 105 | Expert narrative, unpublished | Informant | CIFOR partner interviewed as part of UNREDD story of change. Unpublished. | 2014-2015 |
| 106 | Expert narrative, unpublished | Informant | CIFOR partner interviewed as part of UNREDD story of change. Unpublished. | 2014-2015 |
| 107 | Expert narrative, unpublished | Informant | CIFOR partner interviewed as part of Step-wise story of change. Unpublished. | 2011 |
| 108 | Expert narrative, unpublished | Informant | CIFOR partner interviewed as part of BAM story of change. Unpublished. | 2011 |
| 109 | Expert narrative, unpublished | Informant | CIFOR partner interviewed as part of BAM story of change. Unpublished. | 2011 |
| 110 | Expert narrative, unpublished | Informant | CIFOR partner interview on MRV in Daniel Murdiyarso story of change. Unpublished. | 2002 |
| 111 | Expert narrative, unpublished | Informant | CIFOR partner interview on MRV in ICEL story of change. Unpublished. | 2012 /2013 |
| 112 | Expert narrative, unpublished | Informant | CIFOR partner interview on MRV in Guyana story of change. Unpublished. | 2009-2014 |
| 113 | Expert narrative, unpublished | Informant | CIFOR partner interview on MRV in Ethiopia story of change. Unpublished. | 2009-2014 |
| 114 | Expert narrative, unpublished | Informant | CIFOR partner interview on MRV in Peru story of change. Unpublished. | 2013 |
| 115 | Interview text, unpublished | Informant,Fauna and Flora International | CIFOR partner interview text. Unpublished. | 2015 |
| 116 | Interview text, unpublished | Informant | CIFOR partner interview text. Unpublished. | 2015 |
| 117 | Interview text, unpublished | Informant, Consultant in REDD+ Secretariat | CIFOR partner interview text. Unpublished. | 2015 |
| 118 | Interview text, unpublished | Informant, Forestry Commission | CIFOR partner interview text. Unpublished. | 2015 |
| 119 | CIFOR GCS Assessment Workshop | Aidy Halimanjaya | CIFOR GCS Assessment, Inception Workshop. | 2014 |

| Reference | Evidence type | Author | Reference | Date |
|---|---|---|---|---|
| 120 | Published article | Blom, B., Sunderland, T. and Murdiyarso, D. | Blom, B., Sunderland, T. and Murdiyarso, D. (2010) 'Getting REDD to work locally: lessons learned from integrated conservation and development projects', in *Environmental Science & Policy*. Available at: http://citeseerx.ist.psu.edu/showciting?cid=25445403 (Accessed 29 October 2015) | 2010 |
| 121 | Published article | Kanninen, M., Brockhaus, M., Murdiyarso, D. and Nabuurs, G. | Kanninen, M., Brockhaus, M., Murdiyarso, D. and Nabuurs, G. (2010) *Harnessing forests for climate change mitigation through REDD+: challenges and opportunities,* IUFRO, Vienna. Available at: www.cifor.org/library/3169/harnessing-forests-for-climate-change-mitigation-through-redd-challenges-and-opportunities/ (Accessed 29 October 2015) | 2010 |
| 122 | Published article | Murdiyarso, D., Brockhaus, M., Sunderlin, W. D. and Verchot, L. | Murdiyarso, D., Brockhaus, M., Sunderlin, W. D. and Verchot, L. (2012) 'Some lessons learned from the first generation of REDD+ activities', in *Environmental Stability*. Available at: www.cifor.org/library/3935/some-lessons-learned-from-the-first-generation-of-redd-activities/ (Accessed 29 October 2015) | 2012 |
| 123 | Published study | Brockhaus and Di Gregorio | Brockhaus and Di Gregorio (2012) *A brief overview: Component 1 on national REDD+ policies and processes*. Available at: www.cifor.org/publications/pdf_files/infobrief/3858-infobrief.pdf (Accessed 29 October 2015) | 2012 |
| 124 | Published study | Cronin and Santoso | Cronin and Santoso (2010) *REDD+ politics in the media: a case study from Indonesia*. Available at: http://www.cifor.org/publications/pdf_files/WPapers/WP-49Santoso.pdf (Accessed 29 October 2015) | 2010 |
| 125 | Published study | Brockhaus et al. | Brockhaus et al. (2011) *Guide for country profiles: Global Comparative Study on REDD (GCS-REDD+) Component 1 on National REDD+ Policies and Processes*. Available at: www.cifor.org/publications/pdf_files/Books/BBrockhaus1201.pdf (Accessed 29 October 2015) | 2011 |
| 126 | Published study | Brockhaus et al. | Brockhaus et al. (2011) 'Governing the design of national REDD+: An analysis of the power of agency', in *Forest Policy and Economics*. Available at: http://bit.ly/1LDJkFV (Accessed 29 October 2015) | 2013 |
| 127 | Published study | Salvini et al. | Salvini et al. (2014) 'How countries link REDD+ interventions to drivers in their readiness plans: implications for monitoring systems', in *Environmental Research Letters*. Available at: http://iopscience.iop.org/article/10.1088/1748-9326/9/7/074004/pdf;jsessionid=C8428DCFBEB0B95D4004A7FB9E575F20.c1 (Accessed 29 October 2015) | 2014 |
| 128 | Published study | Moeliono et al. | Moeliono, M., C. Gallemore, L. Santoso, M. Brockhaus, and M. Di Gregorio. 2014. 'Information networks and power: confronting the "wicked problem" of REDD+ in Indonesia'. In *Ecology and Society* 19(2): 9. http://dx.doi.org/10.5751/ES-06300-190209 (Accessed 29 October 2015) | 2014 |
| 129 | Published study | Moeliono et al. | Moeliono et al. (2013) *REDD+ policy networks in Indonesia*. Available at: http://theredddesk.org/sites/default/files/resources/pdf/2013/4112-infobrief_1.pdf (Accessed 29 October 2015) | 2013 |
| 130 | Published study | Acthen and Verchot | Achten, W. M. J., and Verchot. L. V. (2011) 'Implications of biodiesel-induced land-use changes for CO2 emissions: case studies in tropical America, Africa, and Southeast Asia'. In *Ecology and Society* 16 (4): 14. Available at: http://dx.doi.org/10.5751/ES-04403-160414 (Accessed 29 October 2015) | 2010 |
| 131 | Published study | Murdiyarso | Murdiyarso (2009) *Land transformation and its consequences*, in Strategic Information and Research Development Centre. Available at: www.cifor.org/library/2773/land-transformation-and-its-consequences/ (Accessed 29 October 2015) | 2009 |
| 132 | Published study | Murdiyarso et al. | Murdiyarso et al. (2009) *Carbon storage in mangrove and peat land ecosystems: a preliminary account from plots in Indonesia*. Available at: www.cifor.org/library/3286/technical-guidelines-for-research-on-redd-project-sites-with-survey-instruments-and-code-book/ (Accessed 29 October 2015) | 2009 |
| 133 | Published study | Suderlin et al. | Suderlin et al. (2010) *Technical guidelines for research on REDD+ project sites*. Available at: www.cifor.org/library/3286/technical-guidelines-for-research-on-redd-project-sites-with-survey-instruments-and-code-book/ (Accessed 29 October 2015) | 2010 |
| 134 | Published study | Sunderlin and Atmadja | Sunderlin and Atmadja (2009). *REDD+ an idea whose time has come, or gone?* Available at: www.cifor.org/publications/pdf_files/Books/BAngelsen090204.pdf (Accessed 29 October 2015) | 2009 |

| Reference | Evidence type | Author | Reference | Date |
|---|---|---|---|---|
| 135 | Published study | Korhonen-Kurki et al. | Kaisa Korhonen-Kurki, Jenniver Sehring, Maria Brockhaus & Monica Di Gregorio (2014) 'Enabling factors for establishing REDD+ in a context of weak governance', in *Climate Policy*, 14:2, 167-186. Available at: http://dx.doi.org/10.1080/14693062.2014.852022 (Accessed 29 October 2015) | 2013 |
| 136 | Published paper | Larson | Larson (2010). *Forests for People Community Rights and Forest Tenure Reform*. Oxford: CIFOR | 2010 |
| 137 | Published paper | Larson | Larson (2012). *Tenure matters lessons field*. Available at: www.cifor.org/library/3823/tenure-matters-in-redd-lessons-from-the-field/ (Accessed 29 October 2015) | 2012 |
| 138 | Published paper | Larson | Larson (2013). 'Land tenure and REDD good bad ugly', in *Global Environmental Change* (23). Available at: www.cifor.org/library/4146/land-tenure-and-redd-the-good-the-bad-and-the-ugly/ (Accessed 29 October 2015) | 2013 |
| 139 | Published paper | Sunderlin et al. | Sunderlin et al. (2013). *Forest tenure rights and REDD+ From inertia to policy solutions*. Available at: http://www.cifor.org/publications/pdf_files/Books/BAngelsen090211.pdf (Accessed 29 October 2015) | 2009 |
| 140 | Published paper | Sunderlin et al. | Sunderlin et al. (2013). 'How are REDD+ proponents addressing tenure problems? Evidence from Brazil, Cameroon, Tanzania, Indonesia and Vietnam', in *World Development*. Available at: www.cifor.org/library/4081/how-are-redd-proponents-addressing-tenure-problems-evidence-from-brazil-cameroon-tanzania-indonesia-and-vietnam/ (Accessed 29 October 2015) | 2013 |
| 141 | Published paper | Duchelle et al. | Duchelle et al. (n.d.). 'Linking forest tenure reform, environmental compliance, and incentives: lessons from REDD+ initiatives in the Brazilian Amazon', in *World Development*. Available at: www.cifor.org/library/4080/linking-forest-tenure-reform-environmental-compliance-and-incentives-lessons-from-redd-initiatives-in-the-brazilian-amazon/ (Accessed 29 October 2015) | (n.d) |
| 142 | Published paper | Murdiyarso | Murdiyarso (2013). *Linking community-based and national REDD+ monitoring,* Carbon Management 4(1), 91–104. Available at: http://bit.ly/1KHjHQC (Accessed 29 October 2015) | 2013 |
| 143 | Unpublished report | Bird, N. and Halimanjaya, A., ODI | *CIFOR GCS Assessment Global Case Study: The development and promotion of the step-wise approach to establishing forest reference levels.* | 2015 |
| 144 | Unpublished report | CIFOR | *CIFOR GCS Assessment Indonesia Case Study Report*. Unpublished. | 2015 |
| 145 | Unpublished report | CIFOR | *CIFOR GCS Assessment Cameroon Case Study Report*. Unpublished. | 2015 |
| 146 | Unpublished report | CIFOR | *CIFOR GCS Assessment Peru Case Study Report*. Unpublished. | 2015 |
| 147 | Unpublished report | Caroline Cassidy, ODI | *CIFOR GCS Assessment Communications Review Report*. Unpublished. | 2015 |
| 148 | Unpublished report | ODI | *Ghana Episode Study*. Unpublished. | 2015 |
| 149 | Unpublished report | ODI | *Philippines Episode Study*. Unpublished. | 2015 |
| 150 | Unpublished report | ODI | *Costa Rica Episode Study*. Unpublished. | 2015 |

# Annex 6: Stories of change

Ten stories of change were collected as part of this assessment. The stories are based on documentary reviews and interviews with key stakeholders.

## 1. Moratorium on logging in Indonesia

Reducing emissions from deforestation and forest degradation (REDD) was adopted at the 13th Conference of the Parties (COP13) to the United Nations Framework Convention on Climate Change (UNFCCC) as a global mechanism to mitigate adverse climate change.

During the G20 summit in 2009, Dr Susilo Bambang Yudhoyono, President of the Republic of Indonesia, pledged to reduce Indonesia's GHG emissions by 26% by 2020, using domestic resources. This pledge was strengthened in May 2010 with a letter of Intent (LoI) between the Government of the Republic of Indonesia and the Kingdom of Norway. The Norwegian government pledged up to US$ 1 billion in exchange for Indonesia's pledge to reduce GHG emissions. To accomplish this, Indonesia agreed to develop a national REDD+ strategy, establish a dedicated agency to implement it, including an MRV system, and develop relevant policies, including a two-year moratorium on all new concessions for the conversion of peat-lands and natural forest areas to other uses. Substantial carbon benefits would results from the moratorium since most of the positive environmental impacts stem from the peat-lands because of their significant role in storing carbon (Murdiyarso et al., 2011). The moratorium has since been renewed May 2013 and May 2015. There is evidence that CIFOR influenced the outcome of the moratorium on logging.

CIFOR's research influenced the two LoI parties to refrain from discussing the possibility of reforestation and to consider alternatives. Before signing the LoI, Norway and Indonesia were discussing ways to reduce GHG emissions and raised the possibility of restoring the forests by planting more trees. The 'plantation idea' was intended to support reforestation and forest rehabilitation. Key informant interviews recall the timely release of CIFOR research, which deterred them from pursuing this option. The report, entitled 'Financial governance and Indonesia's Reforestation Fund during the Soeharto and post Soeharto periods, 1989-2009: a political economic analysis of lessons for REDD+' (Barr et al., 2010), showed that national financial management and revenue administration were too weak which, in conjunction with perverse incentives, meant the funds would quickly lose the possibility of achieving long-term impact.

Acting as a 'trusted partner' was the second most significant way CIFOR influenced the LoI. Key informant interviews suggested that CIFOR's strong basis in providing neutral, science-based information shaped forest governance reform. CIFOR communication staff confirmed that CIFOR was regularly consulted on the content of the LoI. CIFOR's trusted role in providing science-based policy advice influenced the way LoI was drafted and negotiated.

Sources:

- Email exchange between Dhani Achdiawan and Leif-John Fosse (27 April 2015), former Indonesia desk officer for the Government of Norway's International Climate and Forest Initiative (NICFI)
- Email exchange between Dhani Achdiawan and Hege Ragnhildstveit (27 April 2015), current senior adviser to the NICFI
- Interview, Dan Cooney (26 February 2015)
- Barr, C., Dernawan, A., Purnomo, H. and Komarudin, H. (2010) 'Financial governance and Indonesia's Reforestation Fund during Soeharto and post Soeharto periods, 1989-2009; a political economic analysis of lessons for REDD+'. CIFOR Occasional Paper no. 52. Bogor: CIFOR. Available at: www.cifor.org/library/2886/financial-governance-and-indonesias-reforestation-fund-during-the-soeharto-and-post-soeharto-periods-1989-2009-a-political-economic-analysis-of-lessons-for-redd/
- Murdiyarso, D., Dewi, S., Lawrence, D. and Seymour, F. (2011) 'Indonesia's forest moratorium: a stepping stone to better forest governance?' Working Paper 76. Bogor: CIFOR.

## 2. CIFOR influences UN-REDD's inclusion of land tenure

The UN-REDD Programme is the United Nations collaborative initiative on Reducing Emissions from Deforestation and Forest Degradation (REDD+) in developing countries. Launched in 2008 it builds on the convening role and technical expertise of the Food and Agricultural Organization of the United Nations (FAO), the United Nations Development Programme (UNDP) and the United Nations Environment Programme (UNEP). The UN-REDD Programme supports national REDD+ processes and promotes informed and meaningful involvement of all stakeholders, including indigenous peoples and forest-dependent communities, in national and international REDD+ implementation.

Previous experience demonstrated that land tenure and REDD+ issues were not a priority in UN-REDD. In 2011, REDD+ policy processes had stalled in Panama since they had not provided enough scope for the participation or land rights of Indigenous groups. In February 2013, Panama's

Indigenous People's Coordinating Body (COONAPIP) withdrew from the UN-REDD process, as it believed the process offered no guarantee that indigenous people's rights would be respected (Potvin and Mateo-Vega, 2013).

Recent events, however, have influenced UN-REDD to adopt tenure as a key part of the Programme, in which CIFOR has had a part. Evidence demonstrates that the strength of CIFOR's research, along with its strong reputation as a neutral scientific body, played a large role in convincing UN-REDD to consider tenure as a key part of the Programme.

The neutrality of CIFOR's reputation as a scientific body was valuable in convincing UN-REDD of the scientific merits of land tenure and encouraging it to give this higher priority  Recently, an external evaluation of UN-REDD (Frechette et al., 2014) made 12 recommendations, including one to increase UN-REDD's efforts in areas related to land tenure. The draft was returned with over 30 pages of comments. To reinforce the conclusions of the evaluation, the team used CIFOR's research as the third external opinion in addressing the comments. Each comment was addressed and backed up with CIFOR research (key informant interviews, 2015). There is anecdotal evidence that it was through the strength of CIFOR's research, and its lack of a political agenda, that convinced the UN Policy Board to take the research more seriously.

The strength of CIFOR's research was instrumental in pushing through the recommendation to increase land-tenure efforts within UN-REDD. At the 12th UN Board meeting held in Lima in June 2014, all recommendations made in the external evaluation were accepted, with the exception of recommendation seven, which called for additional resources to explore tenure and REDD+ in greater depth. There is evidence that the recommendation to increase efforts regarding land tenure was finally ratified after a presentation was submitted by Rights and Resource International, along with a range of research including CIFOR's findings on land tenure. One key informant suggests that CIFOR's research was the catalyst in getting the recommendation ratified. CIFOR's research is based on highly respected, credible and scientific research, which made it hard for the UN Policy Board to disagree with its findings.

Confidence in the UN Policy Board's commitment to land tenure and REDD+ issues quickly grew in 2014. Amanda Bradley, the FAO representative on land tenure and REDD+, was contracted in June that year and invited William Sunderlin, Principal Research Scientist at CIFOR, to make a presention at the UN-REDD Policy Board in November 2014. Tenure and REDD+ is now a central issue in UN-REDD's logical framework, and in its core strategy, while it had been absent before June 2014 (key informant interviews, 2015).

Sources:

- Alain Frechette, independent consultant
- Amanda Bradley, FAO representative for land tenure and REDD+ for UN-REDD
- William Sunderlin, principal researcher at CIFOR
- Alan White, CEO of Rights and Resources International
- Frechette, A., de Bresser, M. and Hofstede, R. (2014) 'External Evaluation of the United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries (the UN-REDD Programme)'. Draft Report (Not for Public Circulation).
- Potvin, C. and Mateo-Vega, J. (2013) 'Panama: Curb indigenous fears of REDD+', *Nature* 500, 22 August: 400.

## 3. Incorporation of the step-wise approach

Globally, governments have signed up to a collaborative initiative on reducing emissions from deforestation and forest degradation (REDD+) in developing countries. REDD's objective is to mitigate adverse climate change by reducing net GHG emissions through enhanced forest management. In order to avoid, reduce and capture forest carbon emissions, countries must be able to provide accurate data on emissions. Monitoring and measurement, reporting and verification (MRV) for REDD+ is a way to address a country's commitment to collecting and sharing this information.

The varied capabilities and institutional and technological capacities of different countries may impede the efficacy of REDD+. This, in conjunction with the lack of information on how MRV could be compared across countries, has deterred policy-makers from moving ahead with REDD+ international policies. To address this problem, CIFOR designed the step-wise approach as a capacity-building framework to allow all countries to join REDD+ at their own level of ability. The approach comprises nine key aspects and four knowledge areas, combined in three gradual steps increasing in the quality of detail. As countries develop their institutional and technological capacity, they can move up each successive step, gradually improving the quality and availability of data (Herold et al., 2012). The step-wise approach was adopted at the 2011 UNFCCC's Conference of Parties (COP17) in Durban, and was recognised and reaffirmed at COP19 in Warsaw in 2013. This is now the main method used to help countries to improve their capacity to carry out REDD+ Programmes, mainly setting their forest reference emission levels (RELs) and forest reference levels (RLs). All Parties to the UNFCCC are to follow it (Decision 13/CP.19).

Although the step-wise framework has now been largely accepted, none of the interviewed correspondents in CIFOR's research knew that it had developed it. The purpose of this story is to explore how the step-wise approach was adopted by the UNFCCC.

The step-wise framework filled a scientific gap in the 2006 IPCC's guidance. The IPCC guidance on measuring and creating inventories of national GHGs was not developed exclusively for the forest sector or for REDD+. CIFOR identified gaps in how each country's assessments of categorised forest carbon stocks and devised adjustments for emission factors according to IPCC's tier system at each step of the step-wise approach (Halimanjaya et al., 2015).

The approach also usefully addressed a policy problem. As countries varied in the quality and availability of their data, it was difficult to compare their forest RELs to determine each country's success in reducing GHGs. The step-wise framework provided a structure whereby all countries could participate in REDD+ while also recognising the different levels of rigour, with increasing institutional and technological capabilities (key informant interviews, 2015).

A policy opportunity was key in enabling its uptake. The UNFCCC invited CIFOR to present the RELs/RL methodology to an expert meeting in Bonn, before COP17 in 2011. A policy option paper on modalities for REDD+ reference levels was published in June 2011 just in time for this event, which was led by a small group of experts headed by a CIFOR partner and put together for the Norwegian government (Angelsen et al., 2011).

CIFOR provided technical training, which the evidence suggests leads to a greater uptake of the framework in countries where there is no national office. For example, CIFOR has conducted training in Ethiopia and Guyana, where the framework and the methodology were adopted. These training sessions have helped each country to improve its capacity to work with REDD+ and assist in developing a REDD+ 'roadmap'.

Sources:


- Halimajaya, A. and Bird, N. (2015) 'Global case study: the development and promotion of the step-wise approach to establishing forest reference levels'. London: Overseas Development Institute.


## 4. Brazil nut concessions in Madre de Dios (BAM) and the Association for Integrated Development and Research (AIDER), Peru

Reducing emissions from deforestation and forest degradation (REDD+) is a mechanism that has been under negotiation at the United Nations Framework Convention on Climate Change (UNFCCC) since 2005. Since REDD+ was launched in 2007, it promised to create performance-based conditional systems that would reward countries that avoided the elimination or degradation of forests. There has been a rapid increase in the number of sub-national initiatives that are experimenting with exchanging forest conservation in order to be part of the REDD+ economy. Unfortunately, there has been less investment in REDD+ readiness than originally anticipated. Much of the promised funding has not materialised, which means that many REDD+ sub-national initiatives are struggling and waiting for conditions to improve, although they continue to fill the gap in failed forest carbon markets.

CIFOR conducted research on these sub-national initiatives, which offer insights into REDD+'s application on the ground. The research focused on 22 sub-national innovations to determine whether REDD+ policies were enabling effective, efficient and equitable projects. The projects represented varied types of organisation from the private, public and non-profit sectors. Case studies were chosen to represent a range of climates in six countries. The studies contributed to a casebook of sub-national initiatives called 'REDD+ on the ground' (Sils et al., 2014).

All of the case studies were co-produced with the research partners. This approach can be effective in helping local organisations to build their capacity in research methods. It is also effective in ensuring that the data are owned locally, which maximises the likelihood that the data will be used again in local research.

Two organisations were studied in Peru – Bosques Amazónicos SAC (BAM) a private company, and the Association for Integrated Development and Research (AIDER), a non profit organisation. BAM was extremely happy with the joint research and evidence suggests it increased its capacity relating to indigenous governance of REDD+. AIDER was also involved with indigenous communities but did not see any additional value in the process. The purpose of this SoC is to determine why BAM and AIDER had different experiences with the co-research process.

BAM was in partnership with the Federation of Brazil Nut Producers in Madre de Dios (FEPROCAMD) working together on the REDD Project in Brazil Nut Concessions. BAM is a private company dedicated to the conservation, protection and restoration of tropical forests. In 2009, BAM partnered with FEPROCAMD to exchange carbon rights for Brazil nut concessions. BAM provides technical and financial support for the producers in return for which it receives a share of the carbon offset sales. Although the project was never completed, BAM was validated by Verified Carbon Standards.

AIDER works to reduce deforestation and degradation, conserve biodiversity, and increase forest carbon reserves and improve livelihoods. It runs the project Valuation of Environmental Services in the Managed Forests of Seven Indigenous Communities. The project aims to conduct deforestation baseline studies, offer REDD+ training workshops and promote sustainable timber, non-timber forest products, and fisheries management practices. The plan was to conserve over 1,826 hectares annually and eventually to be certified by Verified Carbon Standards.

Evidence from the key informant demonstrates the link between the exchange of information and CIFOR's ability to build the research partner's capacity. Discussion with BAM demonstrated it was open to the results of the study and saw it as mutually beneficial. BAM co-produced the research and felt it demonstrated that the governance of REDD+ was extremely centralised. This meant it produced misinformation about REDD+ for local people. The research helped BAM to understand the governance of REDD+ with indigenous rights. BAM was also interested in co-creating the research as it would than become an accredited author. AIDER was, in contrast, unhappy with the direction of the research. It felt the study was negative about its project, that the research was not co-produced, and that CIFOR gained more out of the partnership and extracted research from the organisation. In addition, AIDER had only a small group of people and very little time to contribute to the research. As a result, AIDER did not feel it had gained anything from its relationship with CIFOR.

Sources:

- Interview: Diana Córdoba (1 May 2015)
- Interview: Amy Duchelle (1 May 2015)
- Interview: Ashwin Ravikumar (23 April 2015)
- Garrish, V., Perales, E., Duchelle, A.E. and Cronkleton, P. (2014) *The REDD Project in Brazil Nut Concessions in Madre de Dios, Peru*. In Sills et al. (eds) *REDD+ on the ground: A case book of subnational initiatives across the globe*. Bogor: CIFOR. Available at: www.cifor.org/redd-case-book/ (Accessed 29 September 2015)
- Rodríguez-Ward, D. and del Aguila, P.P. (2014) *Valuation of Environmental Services in the Managed Forests of Seven Indigenous Communities in Ucayali, Peru*. In *REDD+ on the ground: A case book of subnational initiatives across the globe*. Bogor: CIFOR. Available at: www.cifor.org/redd-case-book/ (Accessed 29 September 2015)
- Sills, E.O., Atmadja, S.S., de Sassi, C., Duchelle, A.E., Kweka, D.L., Resosudarmo, I.A.P. and Sunderlin, W.D. (eds) (2014) *REDD+ on the ground: A case book of subnational initiatives across the globe*. Bogor: CIFOR. Available at: www.cifor.org/redd-case-book/ (Accessed 29 September 2015)

## 5. The role of a senior CIFOR researcher in national REDD+ development

Daniel Murdiyarso, a principal research scientist at CIFOR, has been instrumental in advancing Indonesia's work on REDD+ and climate change. In 2007, Al Gore and the panel of the Intergovernmental Panel on Climate Change (IPCC) jointly won the Nobel Peace Prize. The award was facilitated by Murdiyarso contributing research to the IPCCC, linking land use, forest management and global climate change caused by human activities. His deep knowledge about carbon-related issues has led him to being given an international platform to advocate on climate change policy. His research areas are land-use change and biogeochemical cycles, climate change mitigation and adaptation.

This story demonstrates how Murdiyarso has played a brokering role and connected the right policy-makers and researchers to influence the design of Indonesia's systems for calculating forest Reference Emissions Levels (RELs), which has, in turn, helped to break new ground on international climate policy. There are three main reasons why Murdiyarso is an effective broker between research and policy-makers in Indonesia:

- He is a respected and accomplished scientist who has held many influential roles. His extensive experience gives him knowledge and authority on climate change issues. Murdiyarso's background at Bogor's Agricultural University (Institut Pertaninan Bogor, IPB) helped him become a pioneer in the field of greenhouse gas (GHG) emissions and climate change in relation to land use and deforestation. He was one of the first scientists worldwide to start working on carbon, which has made him a popular academic point of reference. He continues to lecture at IPB while remaining a principal research scientist at CIFOR, and has worked on policy-based research at the Global Change Impact Center for Southeast Asia (IC-SEA). The latter gave Murdiyarso an opportunity to engage in policy dialogue with research experts and policy-makers, which was instrumental to his being asked to be Indonesia's Deputy Minister of Environment from 2000 to 2002. Internationally, he has been the national focal point for the UNFCCC and the lead author of key IPCC documents. Finally, he has also been a lead technical adviser for the World Bank on the development of the BioCarbon Fund and Forest Carbon Partnership Facilities.
- He is well connected and has a strong understanding of policy processes, having held senior positions in major institutions, including the Ministry of Environment, the World Bank, the IPCC and key research organisations such as IPB and CIFOR. During an interview, a key informant who has spoken with Murdiyarso discussed his belief in networks and strong connections with policy-makers and researchers. The informant also talked about Murdiyarso's opinion that scientific quality alone is not sufficient to influence policies in Indonesia, and that connections also play an important role. The interviewee underlined the efforts Murdiyarso has made throughout his career to establish personal connections .
- He is Indonesian. Although there are many qualified scientists in Indonesia, none is Indonesian or understands the Indonesian policy context as well as Murdiyarso. A key informant explained that when Indonesian students or government officials wish to contact CIFOR, they automatically talk to Murdiyarso. The fact of being Indonesian gives him more influence in the country than scientists of other nationalities.

These factors have enabled Murdiyarso to gain a global platform to share his knowledge on carbon and subsequently obtain international exposure.

One example of Murdiyarso using his brokering role was in the effort to fulfil Norway's International Climate and Forest Initiative. Here, Indonesia needed to present a national forest Reference Emissions Level (REL) system to the UNFCCC. While Murdiyarso's research was referred to in this system, he was not directly involved in it, although the team is comprised mainly of his colleagues:

- FREL has been led by the REDD+ Indonesia agency, which is headed by Heru Prasetyo, who met Murdiyarso at the President's Delivery Unit for Development Monitoring and Oversight (UKP4) taskforce and is now a close friend.
- Professor Rizaldi Boer, chair of the FREL team, worked with Murdiyarso at IPB.
- Dr Haruni Krisnawati, a senior researcher with the Ministry of Forest and a researcher from the Ministry of Environment and Forestry, Forestry Research, Development and Innovation Agency (FORDA) conducted her postdoctoral work with Murdiyarso and also has a background in carbon. FORDA played a key role on the FREL team, which has often referred to Murdiyarso's work on below-ground biomass.

Another indication of Murdiyarso's influence in Indonesia's climate change policy is his connection with UKP4. Dr Kuntoro Mangkusubroto, the former head of UKP4 and a close friend of Mr Heru Prasetyo, called on Murdiyarso to discuss technical research on Indonesia and climate change. As Dr Kuntoro Mugkusubroto had little knowledge about the environment, he asked Murdiyarso to give him technical assistance in preparation for his discussions with the UN Secretary-General Ban Ki-moon prior to the inauguration of the United Nations Office for REDD+ Coordination in Indonesia (UNORCID), a focal point for REDD+ activities across the UN agencies working in Indonesia. This body offers the Indonesian government, its counterparts from UN agencies, funding programmes and other stakeholders with coordination and information regarding the latest REDD+ developments in Indonesia.

Sources:


- Interview Dani Achdiawan (29 April 2015)
- Murdiyarso, D. (2010) 'Daniel Murdiyarso the Recipient of the 2010 Achma Bakrie Award'. Available at: http://news.ipb.ac.id/news/en/0d20f3f12275e002aff839617050d8c4/prof-daniel-murdiyarso-the-recipient-of-the-2010-achmad-bakrie-award.html (Accessed 28 September 2015)
- Murdiyarso, D. (n.d.) 'Daniel Murdiyarso, principal researcher. CIFOR bio'. Available at: http://www.cifor.org/scientific-staff-detail/813/daniel-murdiyarso/ (Accessed 28 September 2015)


## 6. The Indonesia Center for Environmental Law

The aim of this SoC is to demonstrate that by working with the Indonesia Center for Environmental Law (ICEL), CIFOR has contributed to its capacity.

ICEL was invited to collaborate with CIFOR on the Policy Network Analysis (PNA) of REDD+ in Indonesia. Founded in 1993, ICEL is a non-governmental organisation (NGO) that focuses on environmental law to influence the process of policy-makers. Its mission includes policy reform and capacity building through legal and policy reform, legal research and the formulation of alternative legislation and policies to support the public interest (Access Initiative, 2015).

Policy Network Analysis is a form of research to determine the structures in which actors negotiate and try to influence policy processes, outputs and outcomes. CIFOR used this form of research as the theoretical and methodological approach to analyse national policy processes. Used over time, this method can assess dynamics and power relations. Methods to conduct the PNA include expert panels, in-depth interviews and social organisational surveys (Angelsen et al. 2012). Key investigation questions include:

- Who is involved and influential in national REDD+ policy-making?
- What are actors' perceptions, interests and power relations?
- What are their networks of information, finance, and collaboration and conflict?

Evidence suggests that the jointly conducted PNA research has contributed to ICEL's work in two ways.

First, the PNA has enhanced ICEL's skills in conducting policy research. Evidence also demonstrates that working with CIFOR on the PNA has contributed to some of ICEL's capacity in this area. The increase in knowledge and capacity has contributed to some of its own engagement with policy-makers (key informant interview, 2015).

Second, the PNA has contributed to ICEL's general knowledge. Evidence suggests that the analysis conducted with CIFOR has added to public knowledge of ICEL's work, therefore further helping their work and negotiations in environmental law and increasing their skills regarding REDD+ (key informant interview).

Sources:


- Yustisia Rahman (former ICEL employee) translated through Dani Achdiawan
- Access initiative (2015). ICEL. Available at: www.accessinitiative.org/partner/icel (Accessed 28 September 2015)
- Angelsen, A., Brockhaus, M., Sunderlin, W.D. and Verchot, L.V. (eds) (2012) *Analysing REDD: Challenges and choices*. Bogor: CIFOR.
- Brockhaus, M. and Di Gregorio, M. (2012) *A brief overview: Component 1 on national REDD+ policies and processes*. Bogor: CIFOR. Available at: www.cifor.org/library/3858/a-brief-overview-component-1-on-national-redd-policies-and-processes/ (Accessed 28 September 2015)

## 7. Guyana capacity building in MRV

Guyana's involvement with the global Programme Reducing Emissions from Deforestation and Forest Degradation (REDD+) began in 2008, with the submission of a Readiness Plan Idea Note (R-PIN) to the Forest Carbon Partnership Facility (FCPF). In 2009, it followed up by signing a Memorandum of Understanding (MoU) with Norway that set out how the two countries would work together to combat climate change. With both of these contracts in place, activities have included the development of a monitoring, reporting and verification (MRV) system to reduce GHG emissions.

The Guyana Forestry Commission (GFC) is the agency responsible for implementing key technical aspects of REDD+, including developing the national MRV system and implementing the R-PP. It works closely with the national REDD+ Secretariat that acts as an operational unit to conduct the MRV activities. Guyana's MRV system was finalised in 2009 (Bholanath et al., 2012) and developed through consultation with over 90 national experts, stakeholders and relevant agencies. Despite the development of this system, Guyana has not yet obtained funding under the World Bank's FCPF to implement the R-PP.

Guyana's MRV Roadmap is designed to measure and monitor changes to forest carbon stock. The GFC is still developing systems to monitor forest area change and forest activities. The methodology is in keeping with internationally accepted guidance of the Intergovernmental Panel on Climate Change (IPCC) and GOFC-GOLD Sourcebook. It also maintains a capacity-building approach to ensure the sustainability of MRV. The national REDD+ MRV uses a phased approach that builds on existing capacities and data, international requirements and national needs, and objectives to support annual estimation, reporting and verification of forest-related carbon emissions (Guyana MRV workshop report). The purpose of this SoC is to determine why CIFOR was instrumental in the development of Guyana's MRV and the adoption of the step-wise approach.

There are three main reasons for this. First, the step-wise approach helps GFC to improve its governance. The capacity-building function in the step-wise framework helps to inform GFC on how to manage its own forest resources, which in turn informs its own policy on REDD+. Through key informant interviews, the GFC sees the MRV framework as a decision-making tool for forest policy, while the step-wise framework helps to determine where to place the priority in terms of institutional investment.

For example, the MRV Roadmap was built over a three-year period and outlined three phases of development. Every year, it served as a framework to build national capacity until full implementation of MRV. This roadmap was completed in 2013, but a second was developed in 2014 to take stock of what had been achieved and what was still required. The framework to build national capacity and the stock-taking exercise have together helped in understanding the institutional gaps in capacity and technology.

Second, there is evidence that the CIFOR's step-wise MRV has built Guyana's capacity to make national assessments on forest cover. Every year, Guyana is able to make assessments based on institutional in-house capabilities based on the step-wise approach. The sections of the approach that GFC is not capable of performing are outsourced to consultancies. There is evidence that more of the work is being conducted in-house each year.

Lastly, in 2009 CIFOR provided capacity building through assisting with interim measurements while developing the MRV. According to key informant interviews, this was critical for pushing Guyana to be an early adopter for REDD+ results.

CIFOR has reached a point when the needs have been established and the coordinator believes that with continued CIFOR support, Guyana's progress on REDD+ will be enhanced. Other organisations, such as the World Wildlife Fund (WWF) and Conservation International (CI), have had consistent presence in Guyana and the GFC is looking for similar commitment from CIFOR, with a desire expressed by the coordinator for engagement that is more direct and continuous.

Sources:


- Pradeepa Bholantah: Project coordinator of Guyana Forestry Commission
- Bholanath, P., Dewnath N. and Singh, J. (2012) *Developing a monitoring, reporting and verification system for REDD+ in Guyana.* In Mora. B., Herold, M., De Sy. V., Wijaya, A., Verchot, L. and Penman, J. (eds) *Capacity development in national forest monitoring: Experiences and progress for REDD+. Joint report by CIFOR and GOFC-GOLD*. Bogor: CIFOR. Available at: www.cifor.org/publications/pdf_files/Books/BWijaya1201.pdf (Accessed 28 September 2015)
- Herold, M., and Bholanath, P. (2009) *Preparing Guyana's REDD+ participation: Developing capacities for monitoring, reporting and verification.* Available at: www.forestry.gov.gy/Downloads/Guyana_MRV_workshop_report_Nov09.pdf
- Guyana's REDD+ Monitoring Reporting & Verification System. Interim Measures report. Version 3 (2012). Guyana Forestry Commission. Available at: http://reddcommunity.org/sites/default/files/field/publications/GuyanaMRVS_InterimMeasuresReport_Year2.pdf

# Annex 7: The assessment process

## Preparatory work (July–September 2014)

Preparatory work included discussions with CIFOR MEIA and GCS REDD+ staff to finalise the objectives and the general approach, which was documented in the final contract[22] and summarised in the Terms of Reference (See Annex 1); a two-day planning workshop with a wide range of staff working on the GCS (4–5 September 2014),[23] a workshop with CIFOR staff who would be involved in the country studies (13 September 2013),[24] and further discussions with CIFOR staff to finalise the theory of change (ToC) for the Indonesia and Global case studies and for the GCS as a whole.

## The research phase (September 2104–March 2015)

An outline of our approach to each of the specific components is provided below.

### International case study: the including of CIFOR research into global policy

The international study assessed the contribution that GCS has made to the adoption of the step-wise MRV approach in setting reference emission levels and reference levels (REL/RL) in international policies and recommendations, and the degree to which it has been incorporated into national-level plans. A draft retrospective ToC was produced during the planning workshop using previous iterations based on work undertaken at CIFOR since 2013, and revised and agreed in further discussions with CIFOR staff in September and October.

The approach to the research included developing a set of questions based on the research questions; identifying and reviewing existing sources of information; identification of key players for interview; interviews with the key players at the COP20/CMP10 held in Lima in December 2014; interviews with key stakeholders among the UNFCCC and IPCC members; and discussion of emerging findings with key CIFOR staff prior to finalising the case-study report.[25]

### National case study: REDD+ readiness in Indonesia

The detailed national case study in Indonesia assessed the contribution of CIFOR research and communication, engagement and capacity-development work to REDD+ policies, procedures and capacity. It described CIFOR's contribution over and above that made through international mechanisms in order to highlight the 'added value' of CIFOR's presence 'on the ground'. Initial efforts to develop a ToC for this work were made at the inception workshop and through further discussions with CIFOR staff at a subsequent meeting on 11 September, and the final version was agreed through further discussions in September and early October. The case study was conducted between November 2014 and January 2015, and included a literature review, interviews with key stakeholders, and the discussion of emerging results at a one-day multi-stakeholder workshop held in Jakarta on 25 February 2015. The workshop was written up in a detailed report.[26] The initial results were discussed at the data-integration workshop held in London in March 2015, and the final results in the sense-making workshop also held in London in July 2014. The final report was produced in September 2015.

22 Letter of Agreement for Research Project entitled 'CIFOR Climate Change Mitigation Programme Assessment'. 21 August 2014.

23 'CIFOR GCS Assessment, Inception Workshop 4–5 September 2014', prepared by Aidy Halimanjaya, ODI.

24 'CIFOR GCS Assessment Case study workshop 13 September 2014', prepared by Aidy Halimanjaya, ODI.

25 'Global Comparative Study REDD+ Assessment Global Case Study: The development and promotion of the step-wise approach to establishing forest reference levels'.

26 'Research in REDD+ in Indonesia'. CIFOR Workshop at Doubletree Hotel Jakarta, 25 February 2015.

## Light-touch case studies in countries where CIFOR has been active

CIFOR staff in Peru and Cameroon undertook light-touch country studies. CIFOR had planned to undertake studies in Brazil and Tanzania, but it was not possible to mobilise the resources within the timeframe of the assessment. The studies followed broadly the same process as the detailed Indonesia study, but with far less investment of time. The emerging results were discussed at the data-integration workshop. A synthesis report[27] brought together the results of these studies and the Indonesia case study, which was discussed at the sense-making workshop held in London in July 2015.

## Episode studies in countries where CIFOR has not been active

The ODI assessment team commissioned independent consultants to undertake episode studies[28] to assess the impact of CIFOR's work in countries where it is not active 'on the ground'. The approach was to develop a historical narrative going back from the current situation to assess what has contributed to it, and especially to assess the contribution made by CIFOR research and international communication and engagement efforts. The findings were assessed the data-integration workshop held in London in February 2015 and the sense-making workshop also held in London in July 2015. The results are included in a synthesis report.[29]

## Stories of change

The original plan for stories of change (SoC) was that CIFOR staff and other stakeholders would be invited to submit proposals, from which a purposive sample would be selected to explore positive and less positive, or even negative, stories, particularly at the international and sub-national levels, and that illustrate the vertical integration of CIFOR's work. The CIFOR staff who had submitted the proposal would then have been asked to write up the stories using a common framework. It was decided at the inception workshop that it was, however, unlikely that CIFOR staff or other scientists would volunteer to write SoCs, and different approach was taken – to identify interesting stories from existing accounts that had been collected by CIFOR staff (Module 2 and Module 5) and make a selection from these and from interesting stories that emerged at the data-integration workshop in February 2015. One of the ODI assessment team would then write up the stories based on documentary evidence and a few interviews. The full list of stories and some of the stories are provided in Annex 5, and all were discussed at the sense-making workshop, and written up in a synthesis report.[30]

## Communications review

The session on communication in the inception workshop identified differing views about the focus and types of communication outputs and engagement activities that generate the most impact for GCS. What was clear was that both sides recognised that a wide range of communication products and approaches to engagement are important, and different products and approaches are needed at the international, national and sub-national level. It was not be possible to undertake a systematic review of all GCS communication activities within the scale and timeframe of this assessment, but in the planning workshop and subsequent discussions between the ODI and CIFOR teams it was agreed that it would be useful to gather more information through online surveys to explore the reach and impact of GCS-derived knowledge, and compare GCS REDD+ web-based communications with those of comparable organisations. The results were then discussed with research and communications staff together in a half-day workshop in CIFOR[31] to analyse the results, identify evidence of good uptake and use of CIFOR-generated information, and any lessons to further strengthen good practice. The results of the review and the workshop were then discussed at the sense-making workshop held in London in July 2015 and written up in a separate report.[32]

## Analysis and reporting

While most of the components described above include analysis by the research team and discussion with wider CIFOR stakeholders, a key part of the analysis and reporting stage was integrating and extrapolating the results from the individual components to the Programme level. This was achieved via two main workshops:

27 Global Comparative Study REDD+ Assessment. Synthesis report: Outcomes of GCS REDD+ research on policy in Indonesia, Peru and Cameroon. July 2015.

28 See: http://www.odi.org/publications/5694-episode-guide

29 Global Comparative Study REDD+ Assessment. Non-CIFOR Case Studies Synthesis Report. July 2015.

30 Global Comparative Study REDD+ Assessment. Stories of Change Synthesis Report. July 2015.

31 Global Comparative Study Assessment. Communications Review Workshop. CIFOR 27 February 2015.

32 Global Comparative Study REDD+ Assessment. Communications Review. July 2015.

## Data-integration workshop (London February 2105)

The data-integration workshop included the full ODI assessment team, plus Daniel Suryadama, Brian Belcher and Christopher Matius. The workshop included presentations for the lead researchers on each of the sub-studies, review and refinement of the overall ToC, initial development and partial population of the meta-results charts against the assessment questions and the ToC, selection of the SoC, identification of the need for more evidence, and design of the sense-making workshop. The results were then written up[33] and further developed into detailed specifications for developing the full results charts and an approach to populating them from the sub-studies, which formed the basic data for analysis at the sense-making workshop.

## 'Sense-making' workshop (London July 2015)

A workshop in in London with the full ODI and CIFOR assessment team, plus GCS REDD+ component leaders, reviewed the results charts, assessed CIFOR's contribution to international and national REDD+ policies using the Redstone Strategy approach, reviewed the overall ToC and identified recommendations to be included in the final report about how CIFOR could achieve better overall outcomes and impacts. The results were written up and circulated along with the revised results charts for any further comments before the final draft report was completed.

## Final presentation of results (October 2015)

The final report was presented at the CIFOR Annual Conference in Bogor on 9 October 2015.

## Final outputs (July 2015)

The preparatory activities and components described generate a number of documents that will provide the evidence to underpin the assessment. These will include:

- Report on the inception meeting
- Detailed implementation plan
- Global Case Study report
- Indonesia Case Study report
- Report of the Indonesia country case-study workshop
- CIFOR Country Case Study reports on Cameroon and Peru
- Report analysing the stories of change (and including these as an annex)
- Report analysing the Country Case Study reports
- Report on the review of communication (knowledge sharing) uptake
- Report on the communications workshop
- Results charts assembling evidence from all the reports for discussion at the sense-making workshop
- Final assessment report (this report)

33 Global Comparative Study Assessment Data-Integration Workshop. 24–28 March ODI, London.

ODI is the UK's leading independent think tank on international development and humanitarian issues.


ISSN: 2052-7209

All ODI Reports are available from www.odi.org

Cover photo: Sophie Furnival/ CIFOR, Travelling through a peat swamp forest

**Overseas Development Institute**
203 Blackfriars Road
London SE1 8NJ
Tel +44 (0)20 7922 0300
Fax +44 (0)20 7922 0399

**odi.org**