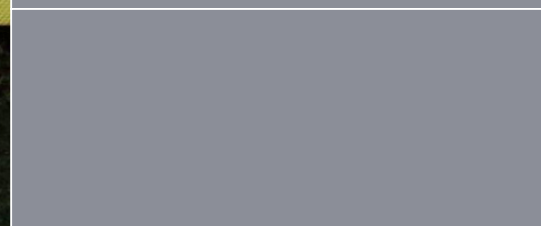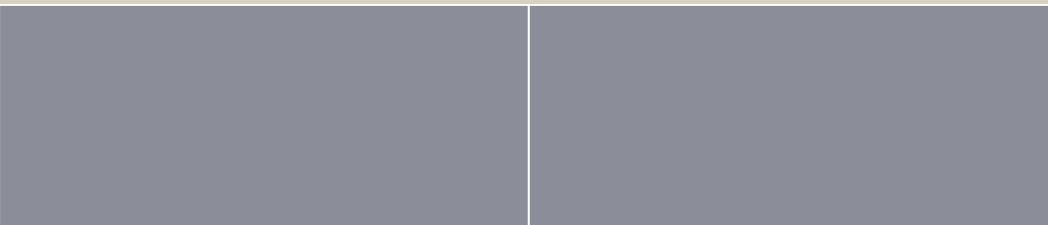# Norad

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

Contrtibution to Measurement Reporting and Verification

Annexes 4 - 15
Report 5/2013

Real-Time Evaluation of Norway's International Climate and Forest Initiative
Contribution to Measurement, Reporting and Verification

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Annex 4 – Democratic Republic of Congo (DRC) and Central Africa Forestry Commission (COMIFAC) Regional MRV Project Summary

2009 Baseline Comparison with Forest Monitoring Capabilities in 2013

Annex 4: Table 1 - Comparison of forest monitoring capabilities in 2009 and 2013, using the criteria of Herold 2009

	Key requirement	Indicator	Baseline 2009	Status in 2013
GHG inventory	Understanding of international UNFCCC negotiations and REDD process	Engagement in UNFCCC REDD process	High	High
Forest monitoring capacities	Forest area change monitoring capacity	Forest area change time series & Remote sensing capabilities	Some	Some
	Carbon stock assessment	Forest inventory capacities (growing stock and/or biomass)	Some	Good
		Reporting on carbon for different pools	-	Intermediate – Good by end 2013

Evaluation Object Overview

Annex 4: Table 2 - NICFI support on MRV and reference levels to DRC

Support Modality	Programmes / Projects / Activities Supported	Details
Congo Basin Forest Fund	Congo Basin MRV Initiative: National Forest Monitoring and MRV systems with a regional approach for the Congo Basin countries	**Implementers: COMIFAC with FAO and INPE** **Purpose**: support the design and implementation of national monitoring and MRV systems in the COMIFAC region **Key activities and outputs so far:** - Inception workshop summer 2012 in Yaoundé; - Project office set up in January 2013; - Project team hired, including the focal points in all 10 COMIFAC countries; - Missions to Chad and DRC to discuss needs for National Programmes. **Funding**: Budget for Quick Start Phase: € 6.2 million (NOK 46.4 million). This is for the whole of the COMIFAC region. **Timescale**: 2011-2013 originally, but start delayed until January 2013

Support Modality	Programmes / Projects / Activities Supported	Details
UN-REDD and FCPF	FAO-led country activities	**Purpose**: An operational, country-managed MRV system for GHG emissions (deforestation/ degradation), *i.e.* setting up and operationalising a national satellite land monitoring system, national forest inventory and national GHG inventory **Key activities and outputs so far:** -Selection of national staff for Satellite Land Monitoring System -Composite reference image and initial analysis with manually delineated forest polygons -Beta version of National Forest Monitoring System (TerraCongo) launched and being tested -Initial workshop on National GHG Inventory with civil society and other national stakeholders -Preparations for pre-inventory at selected sites across DRC **Funding**: NOK 5.4 million UN-REDD: $1.8 million (NOK 10.4 million) for MRV and reference level (out of total $5.5 million) FCPF: $7.8 million (NOK 45.1 million)for MRV and reference level (out of total $22.7 million) **Timescale**: UN-REDD: 2010-2013 FCPF: 2010-2012
Total Support		**Unclear as no specific DRC budget under the COMIFAC project**

Achievement of Objectives

Annex 4: Table 3 - Progress in attaining MRV and reference level related objectives of the UN-REDD and FCPF programme in DRC

Country	Modality	Objectives	Achieved?
DRC	UN-REDD / FCPF	MRV system for GHG from Deforestation and forest degradation operational and managed at the country level: 1. Establish satellite land management system 2. Analysis and synthesis of drivers of deforestation and forest degradation 3. Establish national forest inventory 4. Establish national GHG inventory	 1. **Achieved - ongoing**: staff hired; reference image compiled; initial analysis; beta version of TerraCongo launched and trialled 2. **Achieved** - modelling recently completed by University of Louvain 3. **Partial - ongoing**: preparations made for pre-inventory 4. **Partial** - initial workshop on GHG inventory held

NICFI Supported Progress on MRV and Reference Level Establishment

Annex 4: Table 4 - NICFI supported MRV and reference level establishment activities in DRC

Country	Measurement	Reporting	Verification
DRC	**Planning** - Components 3 and 4 of the DRC Readiness Preparation Proposal **Forest Area Change Assessment / Activity data** - *Système de Surveillance des Terres de Satellite*-lab established and equipped, Staff recruited for the, and trained on RS data interpretation - Imagery purchased and 1990 data currently being analysed - TerraCongo online visualisation tool developed **Carbon Density Assessment / Emissions Factors** - Historical inventory data being identified and compiled - Field data collection methodology developed - Field staff trained - Sample plot system designed and agreed - Roadmap for national forest inventory prepared **Reference Level Establishment** - Drivers of deforestation assessment undertaken	GHG inventory staff have been hired, lab installed and equipped, initial workshop on GHG inventory held	

Relevance

DRC's Framework Strategy for REDD provides a clear concept for MRV and RL references levels that is consistent with UNFCCC guidance. The three pillar approach, – consisting of i) a national forest monitoring system; ii) a national forest inventory; and iii) a national forest emissions inventory, – is clearly illustrated in UN-REDD documents and presentations, as well as the CBFF Regional MRV project proposal. Also, the DRC national MRV system is directly based on UNFCCC IPCC Good Practice Guidelines (GPG) and the Meridian Institute's REDD Options Assessment Report (2009), which uses IPCC's GPG approach to account for changes in carbon stocks (by recording activity data and calculating emissions factors).

Preparatory works to establish a national MRV system in DRC have been collaborative and aligned with existing systems and institutions. These include the European Commission (EC) through its Joint Research Centre, JICA (Japan), AFD (France), USAID (USA), the International Tropical Timber Organisation (ITTO), WWF, and Wildlife Conservation Society (WCS). However, donors, civil society as well as the academic and research community itself would like to see more involvement of the academic and research community (both within and outside DRC).

The stepwise approach to MRV and reference level establishment does not appear to be well understood in DRC, and DRC is being held back by the UNFCCC process of agreeing on standards for MRV systems and setting reference levels. NICFI funding is clearly focused on establishing national level systems and nesting sub-national systems within it. All respondents reported being satisfied that DRC's approach to establishing MRV and reference levels is consistent with the stepwise approach. However the stepwise approach to building a credible national MRV system is not clearly articulated in national level documentation of for REDD+, and nor was its process clearly described by the group of respondents interviewed, suggesting that it is not well understood.

Effectiveness

DRC has made various submissions to the UNFCCC on NAMAs, REDD finance, and terms of reference for the Green Fund. DRC, as member of the Coalition for Rainforest Nations, has made one submission[47] to UNFCCC SBSTA specifically about the modalities for reference levels and MRV. The emerging DRC MRV system has also been presented at numerous Conference of the Parties (COP) side events, workshops and other international meetings. According to the national REDD+ Co-ordination (CN-REDD), DRC's MRV system is seen as one of the only concrete examples of setting up a national MRV system, particularly for sub-Saharan Africa. It may therefore also be indirectly influencing UNFCCC global guidelines on development of MRV systems although it is not possible to determine from interviews. In addition, DRC is a member of the interim REDD+ Partnership, has led Africa's group contributions to the UNFCCC, and is recognised as influential within the region.

DRC has approved legal texts that define the institutional framework for REDD+, but responsibility for MRV development and operation are not defined in this legislation. Instead, such responsibilities are presented in CN-REDD and UN-REDD documentation and organograms. They put the entire responsibility on the Ministry for the Environment, Conservation of Nature, and Tourism (MECNT) for establishing and managing the MRV system and all its elements. This has worked under the former Minister, considered to be a REDD+ visionary, and former coordinator of the CN-REDD team, but both have recently changed positions.

Training and capacity building has been detailed and generally effective, but very much focused on Ministry for the Environment, Conservation of Nature, and Tourism (MECNT) staff within DRC's Directorate of Inventory and Forest Management (DIAF) and Direction du Développement Durable. For example, four technical staff from DIAF attended a GEO-FCT funded training session in September 2011 on INPE's TerrAmazon system and its application for TerraCongo. They are now in the process of cleaning the automatically classified remote sensing data in TerraCongo, in particular cross-checking and where necessary manually correcting the automated segmentation of polygons of land cover classes. Initially this segmentation correction was being done in Rome and corrected data sets were sent to DRC for validation. Now, MECNT staff are doing the segmentation correction themselves. However, the team of 4 staff is

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[47] Miscellaneous document dated 19th October 2011 submitted as Item 4 of the provisional agenda at Thirty-fifth session of Subsidiary Body for Scientific and Technological Advice in Durban, 28 November to 3 December 2011. http://unfccc.int/resource/docs/2011/sbsta/eng/misc07.pdf

insufficient to complete the remote sensing data compilation, checking and analysis for the rest of the country.

Although DRC's MRV system is based on Brazil's TerrAmazon system, DRC has specific needs for monitoring forest cover change that are quite different from Brazil's. TerraCongo was based on TerrAmazon but had to be substantially adapted to address the national need to monitor relatively small changes in forest cover from small scale agriculture in widely dispersed sites in a High Forest, Low Deforestation (HFLD) context, whereas Brazil's method focuses more on large scale land use change in High Forest, High Deforestation context. Various partners are arguing that instead of monitoring carbon in DRC initially, more focus should be put on monitoring improvements of governance, involvement of civil society etc., which are pre-requisites for a functioning REDD+ mechanism and should be rewarded, before paying only on the basis of carbon stocks. Lessons learned from the DRC experience are therefore important for other similar HFLD countries, in particular those in a similar post-conflict context.

The debate regarding appropriate reference emission levels is ongoing. The general consensus is that historical rates of deforestation are not appropriate for DRC, which should instead use projected accelerated levels of deforestation based on an anticipated increase in economic growth in a post conflict context. The national REDD+ co-ordination (CN-REDD) is still in the process of planning a workshop to agree on a common vision for establishing a Reference Level, while a FCPF mission is forthcoming with the objective to meet FAO, CN-REDD and MECNT to determine the level of readiness in terms of establishing a reference level. The key question remaining to answer is: is it possible to establish a reference level on the basis of existing information, and if so, by when? In the absence of an in-depth assessment, some respondents asserted that it should be possible to establish a reference level by the end of 2013. However, others warned that so far the approach to establishing a reference level is more at a more preliminary stage and is not yet sufficiently supported by scientific evidence.

Systems such as TerraCongo and the National REDD+ Registry have improved transparency on existing and future REDD+ projects. Moabi is a web-based platform that has been developed by the World Wide Fund for Nature (WWF) (partially using NICFI funding) specifically to support transparency around REDD+ initiatives in DRC. Moabi is a platform for public sharing of information on REDD+ projects and all other forms of projects that may impact on forests, and allows anybody to submit data for review and publication, and for anybody to access approved data. The Moabi launch workshop was seen as an important event to inform the public about the overall MRV System, and the tools that are being developed to implement it. Another example of transparent reporting of activities is a video released on YouTube in March 2013 by UN-REDD (FAO and, INPE) that presents the geo-portal of the DRC National Forest Monitoring System. This serves as a model for the presentation of country-led and country-specific and in-depth presentation of data.

Scientific comparisons of methodologies used to estimate deforestation rates are ongoing (scientific papers in press) and are inconclusive at this point. Different methods and data sets have produced quite divergent estimates of rates of deforestation in DRC. The 'Forêts d'Afrique Centrale Evaluées par Télédétection' (FACET) project has produced a map for DRC (implemented by OSFAC, Universities of South Dakota and Maryland, and funded by CARPE/USAID) that estimates deforestation from 2000-2010. According to respondents, differences exist between the various estimates of the rate of deforestation conducted so far, and this that highlights: i) the impact of the methodology used; and ii) the relative imprecision of any estimate. The absence of an authoritative regional or national scientific body means that policymakers are left to reach their own

conclusions or make their own assumptions on the various methods and their implications on a reference level.

DRC depends primarily on the FAO UN-REDD network of international experts to develop methods for its MRV system and setting a reference level. This is understandable and perhaps realistic, although more exchange with national and regional experts is desirable and planned. The quality of technical support provided by FAO from Rome and from its global network was deemed to be 'high' by respondents. However, many respondents reported a tendency of FAO to put too much emphasis on developing Technical Standards to meet UNFCCC standards, and not enough thought is applied into ensuring that sustainable institutional frameworks, appropriate systems, tools and capacity are built to meet the realities in the field in a nationally appropriate context.

REDD-related multilateral donors in DRC have varying approaches to funding and implementing REDD-readiness activities that have seen varying degrees of effectiveness.
- For FCPF, staff are not based in-country thereby making communication more difficult; with the exception of one member of staff who was extremely engaged and supportive, but he left in 2012. Rigid but clear guidelines on the stepwise FCPF process (R-PIN, R-PP, REDD+ Strategy) appear to have helped provide clarity for all stakeholders and have allowed the process to move forward in an orderly fashion.

- For UN-REDD, delays in recruiting and sending all experts to the field delayed the start of the implementation phase by about one year, as is the case with the – e.g. Satellite Forest Monitoring System (SFMS). Exchanges between experts within the UN-REDD global network appear to be rapid and efficient, providing opportunities to exchange experiences, tools and ideas between countries, and this is a major benefit of UN-REDD+ membership. However, the FAO Technical Experts involved in DRC reported that they do not have time or access to 'trainee staff' to whom they can transfer their knowledge and skills. The FAO technical experts, for example, have very senior counterparts within MECNT that are already technically competent, and do not need training. These national counterparts are preoccupied with administrative matters, and do not seem likely to 'take over' the technical tasks being performed by FAO Technical staff. This has important implications for sustainability of current approaches.

- For CBFF, initially there were not sufficient staff to process the huge number of requests for funds as part of the two rounds of Calls for Proposals. Consequently, the CBFF team in Tunis was overwhelmed and technical support in-country was inadequate. According to respondents (some of which were recipients of the 2nd round of funding), the recent appointment of a Financial Management Team (SNV/PwC) for the smaller grants seems to have improved the situation. A newly appointed CBFF Technical staff member in DRC is also helping to support the process.

Communication about activities, lessons learned and progress related to a national MRV system are effective at an international and regional level, however there is not enough of a 'trickle-down effect' from key decision makers to other actors (e.g. civil society). FCPF Participants Committee, FIP, Carbon Fund and UN-REDD meetings provide excellent forums for sharing updates and reports on progress in other countries. National delegates appear to be well informed, but this does not trickle down much beyond those who participated. Thus the key decision makers are relatively well informed but most others complain they do not have enough information. This shortcoming should be addressed by the Information, Education, Communication and Consultation (IEC) strategy, which has only recently been completed and has not yet been

implemented. That said, the IEC strategy does not contain any specific planned activities relating to disseminating information about MRV and reference levels.

There are real practical challenges to completing the process of setting up a national MRV system and establishing reference levels. For example, the low availability of cloud-free imagery for any single year to use for monitoring changes is a real issue with no clear solution. Also, practical issues remain for collecting sufficient and robust National Forest Inventory data, due to DRC's constrained human resource capacity, the cost of data collection and processing, as well as the security issues particularly in Eastern DRC (e.g. South Kivu and North Kivu provinces).

Efficiency

Most stakeholders expressed concern that too much responsibility and control for the MRV conceptualisation, establishment and operations, is being held within the Ministry for the Environment, Conservation of Nature, and Tourism (MECNT)

The responsibilities need to be better distributed with partners from civil society, academia and the private sector as DRC moves from the preparation phase to pilot investment phase. The consensus among respondents seemed to be that this broader involvement is unlikely as long as the national REDD+ co-ordination (CN-REDD) is under the sole control of MECNT. Such long-term partnerships need to be fostered to build national capacity for a sustainable and credible MRV system at the national level, and in particular to ensure that capacity at provincial level is built so that implementation of REDD+ can be decentralised in line with policy objectives. Operational work (e.g. data collection) can be delegated to decentralised services and/or contracted out to the private sector in order to achieve greater efficiencies. Forest communities see opportunities to participate in data collection and participatory forest monitoring, but so far there is little indication that they will be able to do so, or guidance on how they can engage.

Although civil society participates in national level dialogue on REDD, it has not yet had real opportunities to discuss the institutional setup and design of the MRV system, nor to define the role of civil society and communities in MRV operational work in the field. Civil society organisations (CSO) representatives do sit on the CN-REDD but there is insufficient explanation of the content of complex documentation on MRV presented to the committee, and insufficient time for members to analyse them before CN-REDD meetings take place. CSO representatives reported feeling that they had only a 'token involvement' in defining, understanding and approving the MRV system, an issue exacerbated by the lack of funding to implement the 'Information, Education and Communication' strategy.

A roadmap has been prepared by CN-REDD showing contributions of major donors and agencies to the preparation of the MRV System.

This roadmap could be expanded to show the institutional collaborations and contributions of all other partners to the establishment of the national MRV system and references levels in DRC. Respondents expressed stated that they would like to see an organogram that shows these partnerships, with clear definitions of appropriate roles and responsibilities in MRV and reference level design and operation (field data collection, quality control, coordination, capacity building, etc.) for all stakeholders, notably civil society, private sector, regional service providers, universities, research and training institutes and international experts.

There seems to be consensus among respondents that coordination between donors has generally been good.

There has been exemplary coordination between UN-REDD and FCPF in the first two or more years of REDD+ readiness in DRC, though this will be more difficult now that FCPF have no permanent field presence. Flexibility has been demonstrated by both UN-REDD and FCPF to ensure that funds flow, if necessary switching to other sources of funds if planned activities are held up by one or another donor's programming and/or disbursement procedures. Bilateral partners have generally stepped in when multilateral funding has been delayed. However, there remains an overall need for greater coordination of technical partners involved in MRV in DRC. The national REDD+ co-ordination (CN-REDD), on the other hand, appear to be lacking a '*chef d'orchestre*' – i.e. a leader – to ensure an effective coordination so that all REDD+ Readiness activities fit into an overarching vision and roadmap (similar to Guyana's MRV Roadmap).

Until recently, the CBFF has been beset with major inefficiencies in its operations and disbursement mechanisms. Finally, four out of six pilot projects have begun implementation, but they are still having difficulty in getting funds flowing due to delays in obtaining non-objections. Expectations are not being met and frustration abounds among all stakeholders. Most agree that it was too ambitious to expect that the African Development Bank (AfDB) could learn how to implement targeted grant finance to small-scale projects, – particularly when its procurement and accounting systems are set up for large-scale infrastructure type projects, – at the same time as learning about REDD+. For the smaller grants, the situation appears to be improving with the introduction of a Financial Management Team (SNV/PwC).   This has been corroborated by an interview with the International Union for Conservation of Nature (IUCN) in Cameroon, who have expressly stated that there has been an improvement in communications, guidance and disbursements from CBFF for their regional programme on REDD+ Readiness (and potential partnership with FAO and COMIFAC on the Regional MRV project).

Most respondents report that the multilateral approaches to supporting REDD+ in DRC (FCPF, UN-REDD, CBFF) have been inefficient compared to bilateral cooperation.

- FCPF is seen by most as bureaucratic and slow to release funds. This is in part due to fact that i) FCPF staff are not resident in country; and ii) the Fiduciary Management Unit is shared with the much larger World Bank Forest Conservation & Nature Project that tends to be given higher priority. However, the process (R-PIN, R-PP, REDD+ Strategy, Forest Investment Plan) is rigorous, with a precisely defined set of objectives and procedures to achieve them. While this is considered more rigid than CBFF, for example, the expectations are at least clear and the process moves forward in an orderly process. According to in-country informants, the dialogue seems to have been open and constructive.

- UN-REDD procedures seem to be less heavy than FCPF but are still far from ideal to for supporting the timely implementation of activities. Delays in programme implementation, in part due to bureaucratic delays, have resulted in at least one year being lost against the original work plan; a no-cost extension until the end of December 2013 has been granted to accommodate this delay.

- UNDP has been leading the preparation of the National REDD+ Fund, while UNEP has been leading on the preparation of the third National Communication to the UNFCCC. Both UNDP and UNEP are seen as efficient, flexible and able to respond quickly to requests for funds.

Large capacity gaps to implementing a national MRV system and establishing a reference level remain. The number of staff trained so far is only just sufficient to pilot certain key components, such as the National Forest Inventory and satellite image interpretation at pilot scale. There is still a huge amount of capacity to be built before the MRV system can be rendered operational at the national level. Likewise, the envisaged decentralisation of REDD+ to the provinces has not yet begun. Provincial REDD+ Focal Points have been recruited with FCPF funds but have not received salaries and have had no operating budget since they were recruited.

The capacity to use promising new technologies such as Radar and LiDAR image interpretation does not exist in government institutions. The *École régionale d'aménagement intègre des forêts* (ERAIFT) has a GIS laboratory and expert capacity for Radar and LiDAR that does not appear to be utilised by MECNT staff at the moment. WWF have organised a training workshop to test LiDAR data and calibrate it with other data sets. In partnership with ICRAF, the University of Kinshasa's Department of Agricultural Economy has been developing allometric equations for some agroforestry tree species. So far, MECNT has not been sufficiently proactive at building institutional partnerships with universities or specialist institutions in its programme of activities. This may improve under the COMIFAC/FAO Regional MRV Project that envisages more capacity building and facilitating better coordination of efforts to establish a harmonised MRV system for the COMIFAC countries.

There has been little evidence of long term planning and budgeting for rolling out the national MRV system beyond the nested pilot schemes. No long-term estimates of capacity building needs or costs have been prepared yet, but we estimate that this area has been underfunded and inefficiencies remain. Respondents reported that inefficiencies stem from the fact that some work is replicated, – e.g. the same people being trained more than once in the same skills area. This could be avoided by maintaining a database of what which staff have been trained in what skills. Another example includes the fact that three different satellite image analyses have produced three different estimates of historical deforestation rates, and no agreement has yet been reached.

Transaction costs so far have been heavy but this may be inevitable at this stage. While no detailed estimate could be made during the field mission, the observation is that there is a huge team of people working on REDD+ readiness, requiring heavy investment in coordination. This is probably inevitable, but means that a lot of staff time is spent in coordination meetings, taking time away from more operational work.

Generally, there is an issue with the differing time frames of funding partners. For example, the timeframe to prepare a request for FCPF Carbon Fund finance is not aligned with FAO's timeframe for preparing the necessary tools and systems to meet the Carbon Fund's requirements. UN-REDD is making gradual progress but risks being too slow to meet Carbon Fund deadline.

Sustainability

It is too early to assess the sustainability of DRC's national MRV system, although there are concerns about the institutional arrangements to ensure on-going activities in the absence of donor funding. Most commentators doubted that current efforts to build a national MRV system or establish a reference level would continue in the absence of external funding, at least until the National REDD+ Fund is in place and generating sufficient revenues to maintain activities. Some respondents seemed to think that the concentration of resources and training on MECNT's DIAF and DDD may prove to be a risky approach due to its issues of low human resources, financial and technical capacity

(e.g. ageing staff near retirement resulting in the need to re-train the new cohort). For example, capacity for statistical analysis is non-existent within the Ministry and very little capacity exists within DRC as a whole.

There is a serious issue within MECNT of an ageing cadre of staff, which means that identifying staff for training is particularly challenging. Technical partners are hesitant to train the older staff, knowing that they are on the verge of retirement – or, in some cases, have been past retirement age for years but remain in their positions.

The current focus on technical issues, and developing solutions to address them, may be diverting attention away from the greater need to develop a clear vision and roadmap for a national MRV system. Some respondents in DRC and within regional institutions were critical of FAO's inputs, claiming that they are more preoccupied with getting the tools and methodologies for MRV and remote sensing adopted and in place than with ensuring the appropriateness and longer-term sustainability of the institutional framework for the MRV system. The COMIFAC/FAO Regional MRV Project is promoting INPE's TerrAmazon system, while some believe that it should remain neutral towards which system the COMIFAC countries choose to employ.

A number of specialist national and regional institutions such as the _Observatoire des Forêts d'Afrique Centrale_ Observatory for Central African Forests (OFAC), the _Observatoire Satellital des Forêts d'Afrique Centrale_ (OSFAC), _École régionale d'aménagement intègre des forêts_ (ERAIFT), University of Kinshasa, the Centre for Research for Agricultural Development (CIRAD), and various sub-national projects already have expertise in collecting and analysing data, and have ongoing activities that are relevant to building a national MRV System and the capacity to operate it. Given capacity constraints within MECNT – mainly human resources, technical and financial – it seems appropriate that the Ministry's role be defined as the key coordination and regulatory agent but should not implement all the tasks itself. A sustainable national MRV system will envisage engaging the above-listed specialist institutions to conduct the 'research & development' work, and sub-national projects, and the private sector to undertake clearly defined operational tasks. To date, there is no consensus or documentation showing how these institutions might contribute to the design, operation, and continual research and development to support iterative improvements of to the national MRV system, nor how the private sector might participate in MRV and reference level work. There is already some duplication of effort and many respondents see scope for better harmonisation.

There are widespread reports of insufficient funding for moving ahead fast enough with – to MRV and the REDD+ readiness processes in general – to move the process ahead fast enough. This is due in part to limited absorption capacity, in part to slow disbursement, but also to due to reported inefficiencies in the use of available funds. Most respondents see that substantial additional financing is required to demonstrate that REDD+ can generate real benefits. There is a risk that if no benefits are perceived to be coming out of the process that the political will to continue may rapidly wane.

Annex 5 – Guyana Summary

2009 Baseline Comparison to 2013 Forest Monitoring Capabilities

Annex 5: Table 1 - Comparison of forest monitoring capabilities in 2009 and 2013 in Guyana, using the criteria of Herold 2009

	Key requirement	Indicator	Baseline 2009	Status in 2013
GHG inventory	Understanding of international UNFCCC negotiations and REDD process	Engagement in UNFCCC REDD process	Medium	High
Forest monitoring capacities	Forest area change monitoring capacity	Forest area change time series & Remote sensing capabilities	Very low	Very good
	Carbon stock assessment	Forest inventory capacities (growing stock and/or biomass)	Limited	Very good
		Reporting on carbon for different pools	n.a.	Very good

Evaluation Object Overview

Annex 5: Table 2 - NICFI support on MRV and reference levels to Guyana

Support Modality	Programmes /Projects/Activities Supported	Details
Bilateral	Guyana – Norway bilateral agreement	**Purpose**: UNFCCC compliance grade capability for monitoring, reporting and verifying (MRV) emissions is established in Guyana (Guyana – Norway MoU) **Funding**: NOK 6.6 million plus NOK 0.7 million to DNV for verification **Timescale**: 2011-2012; covered by the Guyana REDD+ Investment Fund since then
FCPF		No funding received yet
Total Support		**NOK 7.3 million**

Achievement of Objectives

Annex 5: Table 3 - Progress in attaining MRV and reference level related objectives of the Guyana-Norway bilateral agreement and strategic objectives of the NICFI Secretariat for this partnership

Modality	Objectives	Achieved?
Bilateral agreement	1. Development of a needs assessment for MRV in Guyana 2. Roadmap for MRV system development 3. Establishment of Status Quo baseline, including historic and current deforestation rates, by October 2010 4. Annual independent assessment of Guyana's results against the MRV- focused interim REDD+ performance indicators established in the Joint Concept Note 5. Progressive updating of the indicators as new information becomes available, leading to phasing out of the interim indicators as an increasingly sophisticated forest carbon accounting system is implemented	1. **Achieved**, part of the Roadmap process 2. **Achieved**, Roadmap developed in 2009 3. **Achieved** 4. **Achieved**, two annual reporting and independent verification cycles against the MRV indicators successfully completed 5. **Partial – ongoing process**. Progressive improvements have been made and the Reference Level revised in the 2011 version of the Joint Concept Note, based on new information.
NICFI Secretariat Strategy	Short-term 1. An increasingly accurate and precise system to monitor Guyana's forests 2. Increasing capacity in Guyanese institutions to take over more and more of this work from consultants 3. To demonstrate "stepwise MRV" 4. Effective communication of this demonstration	 1. **Partial – ongoing process** 2. **Partial – ongoing process** 3. Achieved –Demonstration successful, Guyana is currently improving its MRV system through stepwise developments following an MRV Road Map 4. Partial – Much effort has gone into communication of lessons, but potential transferability not well communicated

NICFI-supported progress on MRV and reference level establishment activities

Annex 5: Table 4 - NICFI-supported MRV and REL/ RL establishment activities in Guyana

Measurement	Reporting	Verification
Planning - Components 3 and 4 of the Guyana R-PP - Developed a high quality MRV Roadmap and used this as the basis for the following activities: **Forest Area Change Assessment / Activity data** Established database integration across the key Ministries, established an historic deforestation baseline and recorded forest area change related to five drivers of deforestation between 1990 and 2009; monitored these annually from 2009; trialled driver-specific methods of degradation assessment and produced two annual assessments of degradation; developed and refined QA and QC processes and uncertainty analyses. **Carbon Density Assessment / Emissions Factors** Development of a forest cover stratification by forest type and carbon density; creation of a benchmark forest biomass map; developed, establishment and measurement of a sample plot network for developing emissions factors; deforestation rate and degradation proxies calculated into emission estimates **Reference Level Establishment** Forest definition developed and agreed; 5 main drivers of deforestation and 2 of degradation identified; historical forest area change data already available, work underway to model future projections to include in the RL / REL; development of a RL position paper to submit to the UNFCCC is underway; Proposal of REL to UNFCCC expected 2014	- 2 Annual reports to NICFI against a deforestation reference level; - 2013 Guyana intends to pilot reporting using IPCC GHG-reporting templates this year	- 2 annual verifications; - Independent assessment of the benchmark map; - Independent forest monitoring process under development

Relevance

The NICFI- supported MRV and reference level activities in Guyana are highly relevant for providing piloting lessons and well aligned with UNFCCC priorities, however, the context is very specific to Guyana

- All relevant Guyana MRV- related documentation (Joint Concept Note (JCN), MRV Roadmap, Readiness Preparation Proposal (R-PP), interim measures reports) are focused on achieving compliance ta the UNFCCC level. For example:

  o FCPF R-PP 2010 draft notes that the reference level will be developed following IPCC Good Practice Guidance for Land Use, Land Use Change and Forestry, and that historic and projected emissions established using both ground based and remote sensing data. This is ahead of any UNFCCC decision on reference levels and is fully in line with current modalities for reference level establishment

- o MRV Roadmap 2009 is firmly grounded in the UNFCCC texts, referring explicitly to what the texts mean for MRV system development in Guyana
- The Guyana MRV model is highly relevant in that a working system has been established. Downside is that the reasons it has succeeded are quite specific to Guyana. Small country; fairly uniform forest block; little fragmentation; almost zero deforestation; limited drivers – mining effectively is the only one; good institutional and skills basis from inventory; small number of people involved hence a single team with a strong leader has worked

- There is a strong alignment on the technical side with Norway's priorities for example:

  - o MRV Road map details a national level, internationally compliant, stepwise approach
  - o R-PP 2010 states that the MRV system and reference level will be national in scope; the national carbon measurement system is being developed specifically with the MRV system in mind, and the MRV system integrates logging information from Guyana Forestry Commission (GFC); stepwise progressions are already in evidence in the interim measures reporting and some aspects detailed in the 2012 R-PP

Effectiveness

Guyana is active at the UNFCCC on MRV and reference levels and it is likely that the lessons on MRV and reference levels generated through NICFI-supported development of the Guyana MRV system have informed the development of the Guyana national position on these issues at the UNFCCC

- Guyana made a joint submission to the UNFCCC in 2011, ahead of Durban, that covered modalities for establishment of reference levels and modalities for MRV. Guyana also made a joint submission in 2012 (ahead of Doha) on national forest monitoring systems and how to address drivers

- A member of the implementing staff at GFC is on the SBSTA technical committee and has presented on the Guyana MRV approach, challenges and lessons through this, directly as part of the UNFCCC training programme

There is an effective institutional framework for MRV and reference level establishment in Guyana, with clearly defined roles and responsibilities

- Recognition in Guyana of the need for an institutional framework for MRV, to advise on issues such as forest definition, how to monitor mining deforestation etc. apparently emerged through the MRV Road Map process and this gave rise to the establishment of a designated MRV Steering Committee

- There is a high degree of clarity on the institutional roles, and evidence of clear development of these roles over time :

  - o Tentative institutional roles outlined before the bilateral agreement with Norway;
  - o 2009 MRV Road Map outlined the institutional basis and a basis for partnership and cooperation on MRV consisting of: a steering committee which is responsible for implementing the Road Map; GFC as executive agency; development of a process for involving all relevant national stakeholders.

- There is a clear table in R-PP 2012 that details all responsibilities and roles – this is clearer than other iterations and contains more information. Functions these committees are expected to carry out are also listed in the R-PP,

- MRV system Steering and Technical committees established (Joint Concept Note 2011)

- Terms of Reference for the MRV system Steering committee agreed during the first committee meeting, roles and responsibilities for the Steering Committee and technical sub-committee outlined.

There has been good progress in MRV system establishment. The system is established and running, and two annual measurement, reporting and verification cycles completed

- In terms of planning, the MRV road map set out short – medium term goals, as does the Joint Concept Note; other goals for step-wise improvements are detailed in the 2012 R-PP. Pre-bilateral agreement planning and the MRV Roadmap workshop identified existing data sets and identified additional needs / gaps

- There has been rapid progress on forest area change aspects of measurement:

  - Key database integration was completed in 2010

  - A series of tools have been developed that run within ArcGIS 9.2 framework that assist with the detection process and management of the workflow. The initial source of satellite data for this assessment was 30m resolution Landsat TM and ETM+ imagery.

  - Forest area change for five deforestation drivers has been established for three periods: 1990-2000, 2001-2005, 2005-2009

  - Annual monitoring of current changes Year 1 2009-2010 - deforestation; Year 2 2010-2011 deforestation and degradation.

  - Driver specific methods of degradation assessment have been trialled

  - Refinement of assessments was made – from 30m resolution, now using 5m.

  - There are plans to monitor emissions from degradation occurring due to construction of non-forestry infrastructure will monitored through application of remote sensing techniques such as pixel un-mixing and time-series analyses

  - The 2012 interim measures report notes that efforts had been made to improve the Yr 1 mapping; to develop a more precise method for degradation monitoring, and introduce new areas under the forest area assessment work in 2012-2013

- Good progress has also been made on forest carbon stocks and densities aspects of measurement:

- A sampling strategy was designed, biomass plots set up and a national carbon monitoring system under development

- Emissions factors and carbon densities established for the high threat areas; next stage will be for medium threat areas. There are also plans to develop emission factors for the assessment of degradation from selective logging.

- Quality Assurance and Quality Control processes have been developed and refined

- With regards to reporting, the first piloting of an emissions assessment against the IPCC GHG reporting criteria using 2012 activity data has just concluded. The aim is that at the end of three years the focus will be on carbon emissions and removals and IPCC GHG reporting. Working on deforestation first, then degradation, ultimately to enhancement of forest carbon stocks.

- Two annual verification cycles have been successfully completed (on MRV aspects).

The first reference level REDD+ was developed through the bilateral agreement with Norway, and Guyana is preparing to propose a reference level to the UNFCCC in 2014

- The Joint Concept Note includes the first national REDD+ reference level ever developed (0.45% deforestation - note that the units used are % deforestation, not gross or net emissions). This reference level was revised in the March 2011iteration of the Joint Concept Note. New level is decreased to 0.275% based on new data for global average deforestation and the FAO Forest Resource Assessment 2010 Guyana forest loss data.

- The forest definition was developed by of the MRV system Technical Steering Committee, approved by the MRV system Steering Committee and was later endorsed by the Multi-Stakeholder Steering Committee

- Much preparatory work for the development of Guyana's reference level to be proposed to the UNFCCC has been undertaken: Technical studies on reference level setting undertaken 2009-2010 (JCN 2011). 5 Main drivers of deforestation and 3 of degradation identified (R-PP 2012) (this was done at the MRV roadmap workshop). Pools to be included according to driver are summarised in 2012 R-PP, Forest definition has been developed and agreed

- The activity data from the historic and annual forest area assessments are being used as the basis for developing the reference level to be submitted to the UNFCCC. This is expected to be ready for submission in 2014.

- Guyana Forestry Commission is currently developing a position paper on reference levels, and believes it will be the first position paper informed by data and analysis (historic, current assessments, projections), so will have a real evidential background. GFC see this as really setting their work apart from what else is currently out there. It is clear that Guyana believe themselves to be real pathfinders in this regard

- Winrock (one of Guyana's technical partners) developed a draft methodological framework for the World Bank's Forest Carbon Partnership Facility (FCPF) to assist participant countries in enhancing their near-term capacity for producing national reference levels. Guyana was involved in this. The framework includes 7 key decisions, and Guyana will follow this framework in the development of their reference level. According to R-PP 2012, Guyana has already made most of these decisions. At this stage the reference level will only include deforestation and forest degradation; other activities will be included through stepwise improvements. Of these: scope of activities, forest definition, scale, pools for inclusion, links to forest inventory and adjust for national circumstances – only the latter is incomplete

Capacity building appears to be central component of the MRV activities

- It is written into the terms of reference of the technical support providers that they must provide capacity building. According to Guyana Forestry Commission (GFC) staff, every year they undertake more of the work themselves, as follows:

  o Forest carbon measurements – GFC now do all the data collection, analysis and uncertainty assessment. They have developed standard operating procedures for data collection and archiving, with the oversight of Winrock. 25 staff members have been trained in destructive sampling, logging assessment, soil, deadwood and litter assessment, regrowth sampling. The GFC process is to introduce new staff members on each field mission to constantly increase the number of trained people

  o Forest area assessments - Currently the GFC staff are digitising the data, doing the forest area assessments and they have 3 PhD students doing technical research.

- Training of GFC staff has been the core priority, however, there has also been training for the MRV Steering Committee (three workshops by Winrock, two by Indufor Asia Pacific), and of partner agencies – last year there was a training event on forest area assessment for Guyana Geology and Mines Commission, Lands and Surveys Commission, Environmental Protection Agency

- When information on capacity building was requested a table providing full listing of activities undertaken plus the outcomes of these activities (what was being done differently) was provided.

Guyana has received high quality technical support through the NICFI MRV work track

- The FCPF Technical Advisory Panel review of the 2009 Readiness Plan was considered useful to GFC in providing general understanding on the MRV issues that Guyana needed to work on. Also, this process identified to the Guyana members of the Technical Advisory Panel that could provide the needed technical expertise.

- Guyana also mentioned a reference level development framework, developed by Winrock for the FCPF. Guyana is using this to develop its reference level, so again this appears to be useful.

- The technical support, from both the NICFI Secretariat and Guyana's key technical consultants, is regarded by GFC and other stakeholders as being extremely high quality. GFC regard the capacity building support provided by their technical advisors as very strategically designed

- NICFI staff suggested the facilitator for the MRV Roadmap work shop, and this appears to have been particularly useful. His facilitation was described as very good in that he helped the stakeholders understand the issues all around MRVs development, as well as helping develop the discussions into a stepwise roadmap with short, medium, long term goals and activities

- NICFI staff were also helpful in helping to identify, and convince technical experts to attend an initial workshop in 2010 that was intended to help GFC understand what the expectations were and what the requirements related to MRV system development were at the international level.

Extensive communication of activities, but focus appears to be more on Guyana's progress and country lessons rather than aspects that may be transferable

- Guyana has presented at two REDD+ Partnership meetings: one on the Guyana MRV system and another on reference levels

- GFC has presented at each Group on Earth Observations (GEO) meeting the Guyana progress on forest monitoring, forest change monitoring, the next steps and the current challenges that GEO could help with.

- GFC have presented at a range of different international and regional forums, including through the Coalition of Rainforest Nations, on MRV road map and MRV process

- GFC presented on the Guyana MRV approach, challenges and lessons learned.

Good transparency of data

- One external stakeholder noted that while the technical information sharing was good and fully transparent, while another felt that data sharing was not always brilliant but there was an excellent spirit of transparency, a glitch rather than a serious problem.

- An independent assessment of benchmark map was undertaken

- Two independent verification against the interim measures have been undertaken and have been positive (for the MRV indicators), which suggests, but doesn't confirm that transparency is adequate

Efficiency

Support from NICFI MRV staff appears to be well regarded

- NICFI MRV staff appear to be held in high regard by GFC as being open and supportive as well as efficient

- NICFI MRV staff were seen as being supportive of an adaptive process for MRV system development

Extremely efficient management in of the process of MRV system development in Guyana

- The Guyana process appears to have been extremely well structured and organised. GFC believes that the process of design and execution of an MRV system along a road map is the best way for systematic development of an MRV system, especially where funding originates from multiples sources and donors.

- The process in Guyana has had a very efficient manager who was given authority to make things happen. The manager had a clear role, clear authority and excellent skills and has stayed in the task from the beginning.

- There has been an effort to build on existing structures / units with the GFC to minimise duplication of effort. Initial work on REDD+ forest assessment was undertaken through the existing GFC Geographical Information Systems unit. When it became evident that more staff were required, additional people were hired into this unit.

Relatively low cost of MRV establishment and running costs

- Annual running costs of US $4-500,000, as estimated by GFC, and of this up to US $200,000 is being spent on remote sensing data.

- A lot of funding was needed up front for equipment, training, fieldwork, vehicles etc. but now these are in place the annual costs are much lower. Of the annual costs of running the Guyana MRV system, about 30% goes on satellite imagery; consultation and capacity building are also large elements.

Lack of efficient support through the multilateral institutions

- No funding has yet been received by Guyana from the FCPF. What is ultimately achieved on MRV through the FCPF channel will be impacted by the time it takes the Inter-American Development Bank to eventually release funds: the first Readiness Preparation Proposal budget for MRV was 30% R-PP budget; in the 2012 draft this is zero. As was taking so long Guyana had to find other donors.

- The GFC view is that the GEO project has a lot of potential, but this has not yet been realised. The main issue is that GEO FCT is not yet able to provide predictable and assured means of data sharing, on the time scales that REDD+ countries need to work on (e.g. Guyana has to measure and report yearly to Norway under their bilateral; REDD+ countries will have to report biennially to the UNFCCC). Guyana estimates that it needs 25% country coverage with radar data each year to supplement their Landsat and Rapid Eye (they use Landsat 30m resolution and Rapid Eye 5m resolution complete country coverage each year, but have a lot of problems with cloud cover), but have only received radar data that could be used as part of their measurements, once from GEO. Raw, uncorrected ASAR datasets, data sets over the GEO study sites in Guyana, and a 2007 Radar land cover map (that was a little too course to really use, but did confirm GFC's forest / non-forest map) have also been received, but these have not been useful for annual monitoring.

- According to GFC there is a real need for stronger, more predictable and assured means of data sharing - this ought to be, but currently is not, provided through GEO.

The MRV Roadmap is regarded as having been critical for Guyana in keeping focused and on track whilst reconciling the needs of multiple donors, however there still appears to be a significant administrative burden borne by the implementing agency

- No funding has yet come through from the FCPF because of problems transitioning between the World Bank and the Inter-American Development Bank, so other donors have been sought. This has required MRV system development along the roadmap to be 'parcelled off' among a range of donors, that each have their own ideas and agendas.

- The need to parcel off sections of the MRV roadmap to different donors has been challenging – this would have been more efficient if funding was available up-front for this. However, The MRV Roadmap is regarded as having been critical for Guyana in keeping focused and on track, while reconciling the needs and priorities of multiple donors.

- GFC has started getting funding in one year grants from the Guyana REDD+ Investment Fund (GRIF). The admin burden is quite high as GFC need to reapply each year and it takes some months for this to come through. This leaves a gap during which no funds are available and in turn reduces the amount of time available to undertake the annual assessment. Because of this, there is a need to decrease the length of time GFC are spending on undertaking their annual assessments (it currently takes six-eight months to do the analysis, get stakeholder feedback and get the verification reports in).

- As GEO FCT is not making data available frequently enough to meet Guyana's reporting needs, Guyana has to buy in the data from private providers (e.g. Rapid Eye) themselves. This is very expensive and adds to the administrative burden taken on by GFC – apparently it took three months of negotiation between Guyana and Rapid eye last year to get the imagery they needed. The GFC view is that this is a real duplication of time and effort if each country is negotiating this separately and that this is an area that ought to be addressed through the GEO FCT.

Sustainability

Added value elements are emerging

- Forest monitoring system is currently being used to monitor compliance of timber concessionaires with their harvest plans, and by Guyana Geology and Mines Commission to monitor new / illegal mining operations.

Stakeholders felt that the current process was too Guyana Forestry Commission (GFC)-centric, with implications for both stakeholder engagement and the development of sustained capacity

- Several stakeholders felt that there had not been enough stakeholder engagement in the MRV process so far, which has very much been driven by GFC

- There was also a feeling among various stakeholders that the capacity building effort needs to be much strengthened outside of GFC to develop sustained capacity.

- MRV Steering Committee has little representation outside government. Although the few non-government representatives were highly complementary about the functioning of the Steering Committee but also a little concerned on the question of staff retention

Annex 6 – Indonesia Summary

2009 Baseline Comparison to 2013 Forest Monitoring Capabilities

Annex 6: Table 1 Comparison of forest monitoring capabilities in 2009 and 2013 in Indonesia, using the criteria of Herold 2009

	Key requirement	Indicator	Baseline 2009	Status in 2013
GHG inventory	Understanding of international UNFCCC negotiations and REDD process	Engagement in UNFCCC REDD process	Medium	High
Forest monitoring capacities	Forest area change monitoring capacity	Forest area change time series & Remote sensing capabilities	Very Good	Very Good
	Carbon stock assessment	Forest inventory capacities (growing stock and/or biomass)	Good	Very Good (but NFI needs to be vastly expanded to cover carbon stocks)
		Reporting on carbon for different pools	n.a..	Probably Good to Very Good

Evaluation Object Overview

Annex 6: Table 2 NICFI support on MRV and reference levels to Indonesia

Support Modality	Programmes /Projects/Activities Supported	Details
Bilateral	Indonesia – Norway bilateral agreement	**Purpose**: Phase 1 Preparation for MRV **Funding**: US$ 4 million (NOK 22.5 million), broken down as follows: - MRV conceptual design developed, consulted on, and finalised (Task Force)- $82,873; - National near real time forest monitoring conducted, (LAPAN) - $3,755,788; - Land based emissions measurements in pilot province (Central Kalimantan) - $74,900. **Timescale**: Phase 1 2010 – 2011, but not yet completed
UN-REDD country programme	FAO-led activities	**Purpose:** Successful demonstration of establishing a REL/MRV system and fair payment systems based on the national REDD+ architecture **Funding:** $1.4 million (NOK 8.1 million) **Timescale:** 2009 – 2012
FCPF		**Purpose:** unclear, but some funding has gone towards increasing the network of forest inventory plots **Funding:** unclear **Timescale:** unclear
Total Support		**NOK 30.6 million**

Achievement of Objectives

Annex 6: Table 3 - Progress in attaining MRV and REFERENCE LEVEL related objectives of the Indonesia-Norway bilateral agreement and UN-REDD Programme activities

Modality	Objectives	Achieved?
Bilateral agreement	Phase 1- Preparation (2010-2011) 1. Development of an initial framework for an independent MRV institution 2. Development of a strategy for MRV	1. **Delayed, Partial** – various framework options outlined in MRV strategy; Presidential decree for the establishment of independent MRV institution drafted and awaiting signature of president – progress on this is stalled due to resistance from the line ministries 2. **Delayed, Achieved**. National MRV strategy drafted and stakeholders consulted, now being finalised. Provincial MRV strategy for Central Kalimantan drafted.
	Phase 2 – Transformation (2012-2013) 1. Province-wide MRV system conforming to IPCC Tier 2 by Dec 2011 2. Strategy for improving provincial pilot MRV system to Tier 3 3. A country-wide MRV system conforming to IPCC Tier 2 or better by Dec 2013 4. Run by an independent MRV institution 5. Uncertainty estimates 6. Strategy for improving national MRV system to Tier 3	1. **Delayed**, however, much preliminary work undertaken 2. **Delayed** 3. **Delayed**, however, much preliminary work undertaken 4. **Delayed** 5. **Delayed** 6. **Delayed**
UN-REDD	1. Improved capacity and methodology design for forest carbon inventory within a Measurement, Reporting and Verification system (MRV), including sub-national pilot implementation 2. Reference Emissions Level (REL)	1. **Achieved**, Recommendations for a national MRV strategy drafted; range of support to the Ministry of Forestry for national level MRV, including: data management system; redesign of the NFI; establishment of additional permanent sample plots in Central Sulawesi; various training activities. 2. **Achieved**, REL established for Central Sulawesi

NICFI-Supported MRV and Reference Level Establishment activities

Annex 6: Table 4 - NICFI supported MRV and REL/ RL establishment activities in Indonesia

Measurement	Reporting	Verification
Planning - Components 3 and 4 of the Indonesia R-PP - National MRV Strategy drafted, consulted on and currently being finalised - Draft MRV Strategy for Central Kalimantan drafted - MRV technical guidelines and assessment tool developed by the Task Force **Forest Area Change Assessment / Activity data** - New satellite data receiving station established - National Historic Forest Area Change Assessment completed **Carbon Density Assessment / Emissions Factors** - Carbon assessment protocols covering all 5 pools developed to add into the NFI - NFI sample plot network expansion underway through UN-REDD and FCPF (NFI originally focused on timber production so there are gaps in coverage for C density assessment) - Quality control systems developed and data management system for the NFI data installed and in use (UN-REDD) **Reference Level Establishment** - Interim Reference Level for Central Kalimantan developed - Reference Level for Central Sulawesi developed (UN-REDD)		

Relevance

Indonesia's planning and strategy documentation is well aligned with United Nations Framework Convention on Climate Change (UNFCCC) priorities.

- The Letter of Intent (LoI) between Norway and Indonesia states that nothing in the partnership shall conflict with the UNFCCC.

- Indonesia's draft measurement, reporting, and verification (MRV) strategy did not initially mention the UNFCCC or Intergovernmental Panel on Climate Change (IPCC) guidance, and following a request by Norway the draft was updated to include this.

- The draft MRV Strategy mentions the Subsidiary Body for Scientific and Technological Advice (SBSTA) decision that MRV for Reducing Emissions from Deforestation and Forest Degradation (REDD) and MRV for Nationally Appropriate Mitigation Actions (NAMAs) should be consistent.

Indonesia's activities are generally well aligned with Norway's position on MRV and reference levels.

- The reply to Norwegian comments on the MRV strategy agrees that sub-national and national level emission reductions and MRV will be harmonised.

- Indonesia is planning to apply a stepwise approach through the IPCC Tiers, at both national and provincial levels. The draft MRV Strategy envisages a step-wise approach, achieving Tier 2 sub-nationally initially, and progressing to Tier 3 at a national level.

- The draft MRV strategy includes monitoring for biodiversity (which is not aligned with NICFI's interpretation of MRV), with biennial reporting, rather than annual reporting.

There seems to be good evidence of flexibility and adaptability in the Indonesia-Norway REDD+ partnership.

- The NICFI funded Support to the Establishment of Indonesia REDD+ Infrastructure and Capacity project appears to be flexible and adaptable, for example, due to lack of consensus over the establishment of an independent MRV institution the project continued to implement MRV activities such as those in the pilot province of Central Kalimantan, and also the upgrade to the systems at the national space agency (LAPAN).

Effectiveness

The current political discussions on the establishment of an independent MRV institution is the main stalling point to progress on MRV in Indonesia.

- There is resistance from line ministries, most notably the Ministry of Forestry, to the establishment of an independent MRV institution. An independent MRV institution is one of the requirements of the Letter of Intent, and without progress on this point it is not possible for Indonesia to move forward to Phases 2 and 3 of the Indonesia-Norway partnership agreement.

- A Presidential Decree for the establishment of an independent MRV institution has been drafted, and is currently under consultation by the relevant line ministries. A number of informants commented that the ministries opposing the creation of the institution are aware that the REDD+ Task Force and the Presidential Delivery Unit for Development Monitoring and Oversight (UKP4) have limited legal status, and it may be possible to stall developments until after the presidential elections in 2014.

- The MRV institution is intended to play a central co-ordinating role in the draft MRV strategy, and in its absence it is not possible to create a fully functional system. In addition, the absence of the MRV institution is suggested as a reason for delays in Central Kalimantan, as there is a lack of clarity on which national institutions are able to provide data and guidance to the provincial level.

- The Ministry of Forestry is undertaking a number of activities to demonstrate that it has the capability to act as the MRV institution, and a number of informants suggested that the Ministry of Forestry has the legal mandate to perform the role. However, a large number of informants raised questions over the impartiality and transparency of the Ministry of Forestry, and whether data from the Ministry of Forestry would be sufficiently credible to allow results-based payments.

Despite the stalled progress with the independent MRV institution NICFI funding has supported the planning of the MRV system, as well as a number of significant technical/technological advancements.

- NICFI has supported the development of the draft MRV Strategy, through the provision of funding for the REDD+ Task Force, and through the provision of detailed comments on the draft.

- NICFI provided funding to the space agency (LAPAN) for an upgraded satellite receiving station in Sulawesi, which is now capable of dealing with high resolution data sets.

- NICFI funding through the Support to the Establishment of Indonesia REDD+ Infrastructure and Capacity project has strengthened the technical capacity of the National Institute of Aeronautics and Space (LAPAN) by purchasing an open access licence giving direct access to high-resolution satellite imagery.

- UN-REDD has worked closely the Ministry of Forestry in the redesign the National Forest Inventory (NFI). Previously the NFI focus on timber production rather than carbon stocks, and the number of permanent sample plots did not cover the full range of forest types in Indonesia. FAO has also added quality assurance procedures to the NFI.

- FAO, in consultation with the Ministry of Forestry, has developed a reference level for Central Sulawesi.

- NICFI funding has supported the development of an interim reference level for Central Kalimantan, and the development of a provincial-level draft MRV plan.

NICFI is supporting communications activities within Indonesia, and internationally, however there is need for improved communications on MRV system development at the provincial level.

- There is reference to a national and international communications plan in the Joint Concept Note, and a knowledge management system as part of the Support to the Establishment of Indonesia REDD+ Infrastructure and Capacity project.

- Indonesia has made submissions to the Subsidiary Body for Scientific and Technological Advice (SBSTA), but these cannot be directly attributable to NICFI support.

- In Central Kalimantan, the REDD+ Joint Secretariat has a member of staff who has responsibility for communications and stakeholder engagement. However, a number of

informants interviewed in Central Kalimantan knew very little about the MRV plan development or the work of the Joint Secretariat.

- It was reported that there has been limited communication between Central Kalimantan and other provinces, largely because there has been very little progress within the pilot province to date.

NICFI funding via UNDP and the National REDD+ Task Force is supporting developments in the pilot province of Central Kalimantan, though progress appears to be limited so far.

- One of the main tangible outputs from Central Kalimantan is an interim reference level for the province, however, the informants involved with the development of the reference level considered it to be of low quality as the data available for the historical rate of deforestation was provided by the Ministry of Forestry, and this was described as "political data". Nevertheless, following the stepwise approach, this initial reference level may be updated in the future once more accurate data are available.

- A draft MRV strategy has been developed for Central Kalimantan, and this is currently with the National REDD+ Task Force for review. The detail in the document appears to be limited, and informants commented that there are still questions about which institutions will be able to provide the data that is required for the MRV system.

- Informants also commented that there are a very large number of donors and REDD+ projects active in Central Kalimantan, and there the Joint Secretariat does not have the resources to co-ordinate and track all of them.

- There appears to be a high level of fatigue or dissatisfaction with REDD+ in Central Kalimantan. One key informant was unwilling to be interviewed as he felt he had wasted too much time on REDD+. Other informants were disillusioned by the lack of tangible action aimed at reducing emissions.

The absence of agreement at the UNFCCC level is noted as a barrier to MRV system development.

- The draft MRV Strategy notes the difficulty of designing a system to meet UNFCCC requirements while these requirements are not yet finalised or fixed. The situation is described as "shooting a moving target".

Efficiency

Communication between NICFI staff and the Norwegian embassy in Jakarta is good.

- Co-ordination between the NICFI Secretariat and embassy staff in Jakarta appears to be good. At the Royal Norwegian Embassy in Jakarta, the Forest Team has three positions (four people) that are responsible for the Climate and Forest Initiative in Indonesia, with one member of staff having a specific focus on MRV. According to the embassy staff, their work on the Initiative is co-ordinated by the member of the NICFI Secretariat responsible for Indonesia, with whom they have frequent communication by

telephone and frequent visits. The NICFI Secretariat member also participates in all the important meetings with the Indonesian government.

The co-ordination with existing policies in Central Kalimantan could be improved, as could the decision-making process for funding

- One informant commented that there is already a provincial strategy for reducing emissions, and the provincial REDD+ strategy should have been subsumed within that strategy, rather than creating something additional.

- The current process for the Joint Secretariat to receive funding is for it to submit a request to the National REDD+ Task Force. One informant stated that this approach leads to piecemeal rather than strategic developments. In addition, it is difficult for the National REDD+ Task Force in Jakarta to properly assess proposals, as it is removed for the situation on the ground.

- One informant suggested that the efficiency of the disbursement system could be improved by providing a budget directly to the provincial Joint Secretariat.

Co-ordination with other donors and agencies is extremely difficult in Indonesia due to the large number of different institutions involved in REDD+ and MRV.

- There appears to have been problems or a lack of co-operation between UN-REDD and the REDD+ Task Force. The UN-REDD annual report for 2011 notes that UN-REDD tried to "reach out and collaborate with the Task Force, but the response has not met with expectations". In addition, UN-REDD selected Central Sulawesi as its pilot province although this wasn't one of the pilot provinces initially selected by the REDD+ Task Force (though it was the province nominated by the Ministry of Forestry). It appears that co-ordination between UN-REDD and the National REDD+ Task Force has improved more recently, with a member of staff from UN-REDD now actively involved on the Task Force.

- There are a very large number of different ministries and agencies that have some involvement or role in MRV, and there are also a large number of other donors active in Indonesia. One informant commented that NICFI staff are good at sharing information with other donors when they are visiting Indonesia, but the level of co-ordination does not extend much further than that.

- One informant commented that some other donors may be deliberately reserved with NICFI, as NICFI has taken centre-stage in Indonesia, and has displaced other donors.

- The draft MRV strategy contains an outline of the different roles and remits for different institutions, but the MRV institution is not yet established and so cannot yet provide a central co-ordinating role.

- Although there are still tensions between some of the institutions involved in MRV, a number of informants commented that the level of co-operation and dialogue has improved over the last few years. The One Map initiative has been noted for bringing different agencies and ministries together, and improving co-ordination.

The clarity of reporting on NICFI supported activities has been mixed.

- The 2012 annual report for the Support to the Establishment of Indonesia REDD+ Infrastructure and Capacity project provides clear information on the activities undertaken, including indicators, targets, and progress status reporting.

- With a number of progress reports, such as the reports from UNREDD, it is difficult to assess what has been achieved. Progress achieved through FCPF is also unclear, as reports give details of all progress achieved in relation to R-PP rather than progress achieved specifically through the FCPF.

Sustainability

There does not appear to be sufficient consideration given to the on-going costs of the MRV system.

- Although the draft MRV Strategy notes the importance of achieving results at least cost it also sets out a structure involving district and provincial level measurement, which feeds into the national level system. The need for capacity building at the district and provincial levels is likely to be substantial, and the costs of co-ordinating the flow of data is also likely to be high. These costs could undermine the financial sustainability of the system.

- The draft MRV Strategy also envisages that Indonesia will progress to IPCC Tier 3, but there is no apparent estimate of the costs of doing so. This was raised as a concern by FAO. However, an investigation of the costs of achieving different IPCC Tiers is presented in Indonesia's R-Plan.

It appears likely that the MRV system will create added value, in addition to allowing payments for results.

- The draft MRV Strategy states that the MRV institution will co-ordinate MRV for all land use, land use change, and forestry (LULUCF) focused Nationally Appropriate Mitigation Actions (NAMAs).

- The draft MRV Strategy states that the MRV system will also be used for early deforestation detection, determining deforestation drivers, and for improving forest governance.

- There was a lot of interest from local NGOs in Central Kalimantan in the potential for using information from the MRV system, e.g. for tracking habitat impacts, or monitoring palm oil concessions.

- One informant suggested that the development of the MRV system could help encourage good governance and transparency in Indonesia.

Annex 7 – Tanzania Summary

2009 Baseline Comparison to 2013 Forest Monitoring Capabilities

Annex 7: Table 1 Comparison of forest monitoring capabilities in 2009 and 2013, using the criteria of Herold 2009

	Key requirement	Indicator	Baseline 2009	Status in 2013
GHG inventory	Understanding of international UNFCCC negotiations and REDD process	Engagement in UNFCCC REDD process	Medium	Medium
Forest monitoring capacities	Forest area change monitoring capacity	Forest area change time series & Remote sensing capabilities	Very low	Limited
	Carbon stock assessment	Forest inventory capacities (growing stock and/or biomass)	Very Low	Limited
		Reporting on carbon for different pools (results not provided in Herold 2009)		Limited

Evaluation Object Overview

Annex 7: Table 2 NICFI support on MRV and reference levels to Tanzania

Support Modality	Programmes /Projects/Activities Supported	Details
Norwegian Embassy	Enhancing the Measuring, Reporting and Verification (MRV) of Forests in Tanzania Through the Application of Advanced Remote Sensing Techniques	**Purpose**: To test methods for MRV using a combination of ground data and remote sensing techniques (with focus on LiDAR). Implementating partners: Sokoine University of Agriculture, University of Life Sciences (UMB), Norwegian Space Centre, Oslo, University of Tromsø, and others. **Funding**: NOK 27.5 million **Timescale**: 2011 – 2015 Notes: also a GEO FCT country demonstration activity
	National Carbon Monitoring Centre	**Purpose**: To co-ordinate the measurement of forest carbon emissions for Tanzania. Implementation partner: Sokoine University of Agriculture **Funding**: US$ $5.5 million (NOK 0.5 million - preparation; NOK 32 million - implementation) **Timescale**: 2013 - 2016

Program on Climate Change Impacts, Mitigation and Adaptation in Tanzania (CCIMA)	**Purpose**: To develop and sustain national capacity to address the effects of climate change (including technical capacity related to carbon stock measurement). **Funding**: NOK 93.9 million, (but unclear how much is directly for MRV – hence left out of total) **Timescale**: 2009 - 2014	
Zanzibar Woody Biomass Survey (ZWBS)	**Purpose**: To develop a systematic survey of woody biomass in Zanzibar (including capacity building and institutional strengthening). **Funding**: USD $0.75 million (NOK 4.3 million) **Timescale**: September 2012 to September 2013	
Building REDD Readiness in the Masito Ugalla Ecosystem Pilot Area	**Purpose**: To build awareness and enhance capacity for local communities and government institutions to benefit from REDD+ through a Verified Carbon Standard and Climate, Community, and Biodiversity Standard compliant project. **Implementation partner**: Jane Goodall Institute **Total NICFI funding**: NOK 19.3 million **Percentage funding for MRV**: 55% **NICFI funding for MRV**: NOK 10.6million **Timescale**: January 2010 to December 2012 **Notes**: One of the outputs of the project is to develop a replicable and scalable methodology for remote-sensing based forest and carbon accounting at village scale.	
Making REDD work for Communities and Forest Conservation in Tanzania	**Purpose**: To demonstrate at local, national and international levels, a pro-poor approach to reducing deforestation and forest degradation by generating equitable financial incentives from the voluntary carbon market. **Implementation partner**: Tanzania Forest Conservation Group **Total NICFI funding**: NOK 41.4 million **Percentage funding for MRV**: 10% **NICFI funding for MRV**: NOK 4.1 million **Timescale**: August 2009 to August 2014	
Community Based REDD Mechanism for Sustainable Forest Management in Semi-Arid Areas	**Purpose**: To develop a sustainable forest management project under the Verified Carbon Standard. **Implementation partner**: Tanzania Traditional Energy Development and Environment Organisation (TaTEDO) **Total NICFI funding**: NOK 14.1 million **Percentage funding for MRV**: >30% **NICFI funding for MRV**: NOK 4.2 million **Timescale**: January 2010 to December 2013	
Mpingo Conservation and Development Initiative	**Purpose**: To develop a participatory forest management project under the Verified Carbon Standard. **Total NICFI funding**: NOK 13.6 million(~30% allocated to MRV). **Percentage funding for MRV**: ~30% **NICFI funding for MRV**: ~NOK 4.1 million **Timescale**: January 2010 to December 2013.	

		Wildlife Conservation Society of Tanzania (WCST) piloting REDD in Pugu and Kazimzumbwi Forest Reserves	**Purpose**: To improve forest vegetation and enhance forest carbon stocks. **Implementation partner**: Wildlife Conservation Society of Tanzania **Total NICFI funding**: NOK 22.9 million **Timescale**: April 2011 to March 2015 **Notes**: The project has experienced difficulties and the contract with the Norwegian Embassy has been terminated.
		Enhancing Tanzanian Capacity to Deliver Short and Long Term Data on Forest Carbon Stocks Across the Country	**Purpose**: To contribute core data to the Tanzanian national MRV system (including establishment of sample plots) **Implementation partner**: WWF Tanzania **Total NICFI funding**: NOK 13.9 million **Percentage funding for MRV**: 100% **NICFI funding for MRV**: NOK 13.9 million **Timescale**: January 2011 to December 2013 (though suspended for 1 year due to misuse of finance)
		REDD Readiness in Southwest Tanzania	**Purpose**: To develop the capacity and knowledge for Tanzania to participate in REDD activities in the Southern highlands while establishing sustainable alternatives to forest resource use (including full carbon inventory). **Implementation partner**: Wildlife Conservation Society. **Total NICFI funding**: NOK 9.3 million **Percentage funding for MRV:** 25% **NICFI funding for MRV**: NOK 2.3 million **Timescale**: July 2010 – June 2014
		Advancing reducing emissions from deforestation and forest degradation (REDD) in the Kolo hills forest (ARKFor)	**Purpose**: To develop an improved forest management project and support communities and district government to prepare for participation in carbon markets. **Implementation partner**: African Wildlife Foundation. **Total NICFI funding**: NOK 14.4 million **Percentage funding for MRV**: 25% **NICFI funding for MRV**: NOK 3.6 million **Timescale**: January 2010 to December 2012
		CARE HIMA – Piloting REDD in Zanzibar through the community forestry project.	**Purpose**: To develop a community forest management project under the Verified Carbon Standard or Climate, Community, and Biodiversity Standard. **Implementation partner**: CARE HIMA **Total NICFI funding**: NOK 38.8 million **Percentage funding for MRV**: 10% **NICFI funding for MRV**: 3.9 million **Timescale**: April 2010 – March 2014
	UN-REDD	Tanzania National Programme	**Purpose**: To develop MRV tools and methodologies, and a national reference level. **Funding**: USD $4.28 million (NOK 24.6 million) **Timeline**: January 2010 to June 2013

FCPF	REDD+ partner country	**Purpose**: To learn and share experiences with other REDD+ countries (Tanzania has not sought a readiness grant from FCPF as it receives funding from the Norwegian Embassy). **Funding**: None.	
Total Support for MRV		**~NOK 111 million, including LiDAR project** **~NOK 84 million, excluding LiDAR project**	

Achievement of Objectives

Annex 7: Table 3 - Progress in attaining MRV and REFERENCE LEVEL related objectives of the bilaterally supported projects in Tanzania and UN-REDD Programme activities

Country	Modality	Objectives	Achieved?
Tanzania	Bilateral	**National Carbon Monitoring Centre** 1. Establishment of a centre for oversight, hosting and management of national carbon database , facilitation of international reporting, and training	1. **Partial – project in early stages**
		Enhancing the measurement, reporting and verification of forests in Tanzania through application of advanced remote sensing techniques (LiDAR project) 1. Test the accuracy of LiDAR measurements for biomass and carbon stock estimation 2. Develop, implement, test and validate a statistically sound sampling-based application for regional biomass/carbon stock change estimation utilizing ground samples and airborne LiDAR data collected over NAFORMA ground plots across a selected district of Tanzania. 3. Deliver pre-processed optical and SAR data and develop an automated pre-processing chain. 4. Develop and test methods to monitor changes in forest areas using satellite data. 5. Estimate above-ground biomass for different forest types 6. Develop allometric models for total above-ground and below-ground biomass 7. Increase general capacity for MRV in Tanzania	**1.,2. and 3. – Partial – ongoing**. Too early to tell whether the objectives will be met. There seem to be issues accessing NAFORMA data but the project is working with the Government to sort these issues out. **4. and 5. Partial – delayed** Delayed due to the NAFORMA project delays, also budget problems with objective **6. Achieved – on going** Allometric models for some ecosystems complete, others soon to be completed **7. Partial – very limited**. Two PhD students are being trained in RS techniques at UMB and another at UT, however all technical work on this project has been undertaken by the staff of Norwegian institutions. Also PhD topics have a research rather than application (*i.e..* in MRV) focus

NICFI Secretariat	**LiDAR Project** 1. To provide lessons on approaches to aid development of MRV in Tanzania and broader sub-Saharan African contexts	1. **Partial** – Allometric models could be useful, however this currently regarded as a research project only, value for MRV not obvious to stakeholders
	Zanzibar Woody Biomass Survey 1. Capacity building and development, woody biomass survey, institutional strengthening in forest monitoring	1. **Partial – project on-going**
	Pilot Projects (assumed objective) 1. Pilot methods of baseline carbon stock assessment	1. **Partial** – approaches are being piloted, however they are not consistent with the national approach so data are not useable at the national level
UN-REDD	Increased capacity for capturing REDD+ in national forest Monitoring, Assessment, Reporting and Verification Systems[1]	1. **Unclear** - the programme evolved significantly and changed in scope from the 2009 Joint Programme Document, so the original indicators no longer hold

Please note that Annex 7: Table 3 above only includes the bilaterally supported activities that have stated objectives relating to the development of MRV or reference levels.

NICFI supported MRV and Reference Level Activities

Annex 7: Table 4 NICFI supported MRV and REL/ RL establishment activities in Tanzania

Country	Measurement	Reporting	Verification
Tanzania	**Planning** - Components 3 and 4 of the Tanzania R-PP -Several MRV tools and methods developed (UN-REDD) **Forest Area Change Assessment / Activity data** - LiDAR project – testing of RS approaches for monitoring forest area changes **Carbon Density Assessment / Emissions Factors** - Zanzibar woody biomass survey, to supplement NFI work funded by another donor -testing of baseline carbon stock assessment through the 9 pilot projects -- LiDAR project – forest biomass assessments **Reference Level Establishment** -Reference Level expected late 2013 (UN-REDD)	National Carbon Monitoring Centre being established	

Relevance

The activities supported by the Norwegian Embassy and NICFI aim to comply with UNFCCC requirements, and provide lessons to inform the UNFCCC negotiations.

- The National Carbon Monitoring Centre aims to ensure full compliance with UNFCCC requirements.

- Tanzania's national REDD+ strategy outlines how the national MRV system design is compliant with UNFCCC REDD+ requirements.

- It is intended that Tanzania's pilot projects will develop lessons learnt which will feed into the UNFCCC negotiations.

It is not clear how relevant the project level activities will be to the development of the national MRV system.

- The pilot projects are generally using international consultants for technical support, and so it appears less likely that the projects will help to develop technical capacity within Tanzania that can then be used at the national level.

- The NAFORMA programme appears to be the core of the MRV system in Tanzania, and this has largely been developed prior to the implementation of the pilot projects. Several of the pilot projects use a forest classification system that is not consistent with the classifications used by NAFORMA, and this is likely to create difficulties when nesting with the national MRV system and reference level.

- The project-level activities are largely using Verified Carbon Standard or Climate, Community, and Biodiversity Standard methodologies, which may be too complex for replication at the national level.

- However, the pilot projects may be more relevant to generating lessons on other aspects of REDD+, such as benefit sharing, community engagement, and safeguards.

The activities supported by the Norwegian Embassy and NICFI appear to be aligned with Tanzania's needs.

- The Zanzibar Woody Biomass Survey was implemented in order to address an identified gap in carbon stock data in Tanzania (i.e. the existing forest carbon data only covered mainland Tanzania).

- The nine demonstration projects were chosen together with the Tanzanian REDD+ Task Force, and it is therefore expected that the projects chosen are aligned with Tanzania's needs.

- A capacity needs assessment was facilitated by the FCPF and UN-REDD, and this should help to align NICFI activities with Tanzania's needs.

Effectiveness

NICFI support is helping to develop the institutional framework for REDD+, but there appear to be a number of remaining issues related to institutional capacity and mandates.

- The Capacity Needs Assessment facilitated by FCPC and UN-REDD identified institutional capacity needs, and institutional functionality.

- Norway has supported the creation of the National Carbon Monitoring Centre (NCMC), which will play a co-ordinating role for reporting on forest carbon emissions.

- The NCMC project proposal clarifies the capabilities and responsibilities of the various institutions involved in MRV in Tanzania, including the Tanzania Forest Research Institute (TAFORI), Sokoine University of Agriculture (SUA), and the University of Dar es Salaam – Institute for Resource Assessment (IRA).

- According to a number of informants, the institutional arrangements for the national MRV system are clear on paper, but these presentations do not make reference to the reality of the capacity constraints and other barriers and limitations of the various institutions involved.

- There are questions about whether responsibility for reporting should be within the remit of the Vice President's Office, given the limited number of staff.

- According to the Tanzania Forest Service (TFS), there is a need to clarify the mandates for TFS and NCMC. TFS will collect field data for NCMC but does not expect to provide the data for free.

- Reportedly, the technical working group for MRV under the National REDD+ Task Force has not been broad-based, and does not include all key MRV experts in Tanzania.   According to a number of informants it has not been effective in guiding decision making and coordination processes.

NICFI support channels are building capacity for MRV, but there are effectiveness /sustainability issues related to the limited financial incentives for government staff.

- One of the reasons for basing the NCMC in Sokoine University of Agriculture is because of the university's capacity for MRV, and the expectation that there will be an on-going flow of students who are trained in MRV. In addition, one of the key anticipated outputs of the NCMC is the implementation of a training and sustainability plan.

- Since the NICFI support for capacity building activities commenced, the number of people with MRV expertise has increased, and is expected to further increase especially at Sokoine University of Agriculture and the University of Dar es Salaam.

- The pilot projects are also providing training related to MRV, for example the Jane Goodall Institute has trained 30 people in GIS.

- The quality of the training appears to be high, with a number of informants commenting on the high standard of training.

- However, a number of commentators suggested that external consultants will still be required, in part due to the lack of financial incentives for government staff to undertake MRV activities (particularly data entry and data management, which do not qualify for a Daily Subsistence Allowance).

- There may also be a lack of capacity for reporting in Tanzania (in terms of combining area change and carbon stock data), as the focus of donor support has been on measurement and data collection.

Norwegian/NICFI support has provided technical support and a number of MRV system components, but there is not yet a fully functioning MRV system in place

- There is a UN-REDD national expert who is based within the Tanzania Forest Service, providing MRV technical support to the government.

- There is also collaboration between Sokoine University of Agriculture and a number of Norwegian Universities.

- The Zanzibar Woody Biomass Project is providing carbon stock data for Zanzibar.

- The Enhancing the Measuring, Reporting and Verification (MRV) of Forests in Tanzania Through the Application of Advanced Remote Sensing Techniques project and GEO FCT have increased access to state-of-the-art remote sensing technologies, though there are questions about the sustainability of using these technologies due to cost.

- A number of the pilot projects have undertaken leakage assessments, but leakage is not yet addressed at the national level and integrating project and national-level leakage assessments may be challenging.

NICFI support is contributing to the development of a reference level, and an initial reference level is expected towards the end of 2013

- UN-REDD will be developing the forest reference level using NAFORMA data, though there have been some delays due to the availability of the data (the effectiveness of UN-REDD has been constrained by NAFORMA, which is not funded by NICFI).

- It is expected that the forest reference emission level will be further developed and improved by the NCMC, once the centre becomes operational.

There have been a large number of communication activities, but limited information on the impact of those activities

- The Tanzania Natural Resource Forum (TNRF), funded by the Norwegian Ministry of Foreign Affairs, provides a widely used and up-to-date independent platform for collating and communicating REDD+ progress, activities and news in Tanzania.

- Several of the REDD+ pilot projects use online newsletters for their REDD+ progress updates and announcements.

- At COP 18, in Doha Tanzania hosted a side event on REDD+ Readiness: Lessons Learnt and the Way Forward.

- The national REDD+ Task Force established an official national REDD+ website with announcements, newsletters, policy briefs, consultations, strategy development documents, training materials and progress reports. The website is maintained and hosted by the REDD+ secretariat at the Institute for Resource Assessment, University of Dar es Salaam.

Efficiency

Norwegian/NICFI decision-making has been timely and evidence-based, in addition the reporting requirements have been clear.

- Informants suggest that the decision making processes for the Norway/NICFI supported MRV work track are clear, logical and based on evidence rather than preference.

- According to the Institute for Resource Assessment, which hosts the REDD+ Secretariat, the Royal Norwegian Embassy has guidelines and modalities for reporting and these guidelines are very clear.

- Agreements are based on contracts and there is a clear linkage between the expected outputs based on allocated financial and human resources.

- Where there have been financial or reporting irregularities, such as with the Wildlife Conservation Society of Tanzania project or the WWF Tanzania project, these have been identified and remediated.

The funding for Tanzania appears to be high given the level of process in the national MRV system.

- According to consultations with the Royal Norwegian Embassy, Norway financing between 2009-2014 is estimated to be USD $83 million, of which about 30% (USD 25 million) has been allocated to national MRV and reference level development.

- The NAFORMA project (2010-2014), receives financing from Finland via FAO of about USD $6 million. In addition, the Government of Tanzania has assigned USD 2.2 million (not including salaries) for Tanzania Forest Service staff. Based on these figures, it is estimated that approximately USD $33 million has been allocated for MRV and reference level development 2009-2014.

- Despite the high level of funding, the October 2012 FCPF progress report states that current grant funding is not sufficient.

- The REDD+ projects and NAFORMA are employing measures to improve the cost efficiency of the MRV systems through the use of open source software and LANDSAT satellite imagery. Community forest monitoring is also seen as an approach to keep the MRV costs down for the REDD+ projects. Despite this the transaction costs appear to remain high for the REDD+ projects and the estimated transaction costs for establishing a project-level MRV system ranges between USD 5-243/ha.

- The REDD+ projects estimate that their budget allocation for MRV can range from between 10-50% of the total project budget.

- Another key concern is that the proportion of MRV funding that should be reaching recipient countries, but is going to international consultants and experts. This is seen in the REDD+ projects, and their need for international technical expertise in the preparation of their VCS PDDs, and also in the LIDAR project, which is estimated to cost around USD 5 million, and of this, about 80% of the cost is absorbed by Norwegian partner institutions.

Norwegian/NICFI support has been co-ordinated with other donor activities to some extent, but there are areas where co-ordination could be improved.

- Norwegian/NICFI support complements and builds upon the NAFORMA activities, funded by Finland via FAO. For example, the Zanzibar project was specifically designed to fill gaps in the NAFORMA programme. However, the forest definition and classification systems used by NAFORMA and the Zanzibar project are different, and some interpretation will be required to combine the datasets.

- Similarly, the GPS accuracies for the LiDAR project are not compatible with the NAFORMA GPS points, and this means that the two systems cannot be easily combined.

- One donor informant commented that other donors do not know what is happening with NICFI financing in Tanzania.

- REDD+ Task Force has the lead role in coordinating cooperation between REDD+ initiatives in Tanzania, however, one informant commented that the Tanzanian government has not been effective in coordinating the various activities and initiatives related to REDD+ MRV.

- There is a high level of co-ordination between UN-REDD and NAFORMA, with the two programmes sharing resources.

- The GEO FCT programme did not appear to have had active cooperation, coordination or harmonisation with the REDD+ pilot projects or UN-REDD.

Sustainability

The cost of establishing the MRV system in Tanzania appears to be high, and there are a number of questions around the sustainability of the system.

- A number of informants commented that it will be challenging to maintain the engagement of government staff in the MRV system. Staff are interested in collecting

field data as it is then possible to claim a Daily Subsistence Allowance (DSA), but there is less interest in entering the data as there is no DSA.

- The Tanzania Forest Service (TFS) did not expect the National Carbon Monitoring Centre (NCMC) to generate its own revenue, and therefore the TFS questioned the financial sustainability of the centre. In addition, there is reportedly no long term financial plan for the NCMC beyond 2016.

- A number of the pilot REDD+ projects intend to maintain their MRV systems and activities through the sale of Verified Emissions Reductions (VERs), however at present there are no agreements in place for the sale of the credits. In addition, the breakeven VER price for the projects ranges from between $5 and $20 per credit, which appears high compared to current market prices.

- A number of stakeholders questioned the sustainability of the LiDAR project given the high costs of the technology. The project is seen by some as primarily of interest to the scientific community, but is not of practical value to the national MRV system. However, the project may have potential in the longer-term for measuring degradation.

- Reportedly, the LiDAR project has not been successful in building in-country capacity, and Sokoine University is not likely to be able to continue the work.

- At present the supported MRV activities appear to be focused on "measurement", and less so on "reporting" for which there is a lack of capacity. Tanzania is currently preparing its second national communication, but this is not expected to include information on REDD+. Without reporting there will not be results-based payments, and the sustainability of the "measurement" system will be undermined if "reporting" is not also addressed.

There is limited evidence of added value from Norway/NICFI supported activities.

- The national MRV system and project MRV systems in Tanzania are designed to be compliant with REDD requirements, and they have not been established with additional purposes in mind, such as land use planning, concession data, or MRV for NAMAs.

Annex 8 – Norwegian Space Centre and GEO Summary

Evaluation Object Overview

The NICFI support to the Group on Earth Observations Forest Carbon Tracking Task and Global Forest Observation Initiative (GEO FCT / GFOI) is administrated by the Norwegian Space Centre. The Enhancing the Measuring, Reporting, and Verification (MRV) of Forests in Tanzania through the Application of Advanced Remote Sensing Techniques project (referred to as the "LiDAR" project for short) is funded through the Royal Norwegian Embassy in Tanzania and became a GEO National Demonstrator country activity. These various channels, and the activities they support, are summarised in Annex 8: Table 1.

The lessons from the GEO FCT programme led to the development of GEO GFOI, with lessons learnt from FCT reflected in the design of GFOI. The focus of the evaluation is on GEO FCT as this programme has been implemented and data are available on its outputs. GEO GFOI is at an early stage of implementation, and therefore the evaluation is limited to the initial stages of the initiative.

The details of the LiDAR project are included in this Annex as it is a National Demonstrator activity under GEO FCT, and although the Norwegian Space Centre is involved in the project it should be noted that is not the main co-ordinator or technical lead for the LiDAR components of the project.

Annex 8: Table 1 NICFI support to the Norwegian Space Centre and Group on Earth Observations

Support Modality	Programmes /Projects/Activities Supported	Details
GEO	Forest Carbon Tracking (FCT)	**Purpose**: To demonstrate that co-ordinated earth observation can provide the basis for reliable information services to support REDD+ policy **Funding**: **NOK 16.7 million**; NOK 9.8 million to the Norwegian Space Centre to lead and co-ordinate the FCT and NOK 5.4 million to the GEO Secretariat* **Timescale**: 2009-2012, expected to end once the GFOI is well established
GEO	Global Forest Observation Initiative (GFOI)	**Purpose**: to help countries develop efficient and sustainable forest monitoring systems **Funding**: NOK 10 million **Timescale**: 2012-2015 (start-up phase 2012-2013)
Total Support	**GEO and Norwegian Space Centre**	**NOK 26.7* million**

| Bilateral | Enhancing the Measuring, Reporting and Verification (MRV) of forests in Tanzania through the Application of Advanced Remote Sensing Techniques (LiDAR project) (the project began independently, then became a GEO demonstration activity) | **Purpose**: To test methods for MRV using a combination of ground data and remote sensing techniques (with focus on LiDAR). This is a GEO 'National Demonstrator' activity.
 Implementation partner: Sokoine University of Agriculture, Norwegian University of Life Sciences (UMB), and others
 Funding: NOK 27.5million
 Timescale: 2011 – 2015 |

*The totals are taken from Norad Statistics Departments summary of disbursements 2009-2012 to the Norwegian Space Centre and GEO for the FCT task. The allocation of funds between the Norwegian Space Centre and the GEO Secretariat is taken from Norwegian Space Centre (2010) Framdriftsrapport og Prosjektregnskap for GLO-09/954 "Support for Forest Carbon Tracking". The two allocation figures combined from the Norwegian Space Centre 2010 document give a total value of 15.2 million NOK in NICFI support for the FCT task. This differs slightly from the figure provided by Norad Statistics Department of 16.7 million NOK disbursed 2009-2012.

Achievement of Objectives

Annex 8: Table 2 Progress in attaining objectives under GEO FCT, GEO GFOI and related activities

Support Modality	Initiative	Objectives	Activities	Outputs	Achievement of Objectives
Norwegian Space Centre	GEO FCT	1.Lead and Co-ordinate the FCT Task FCT objective[48]: Demonstrate that coordinated Earth Observations, validated by *in situ* measurements and properly linked to modelling can provide reliable, accurate, consistent and continuous information, constituting the basis for national systems	1 Establishment of National Demonstrators (ND) countries to demonstrate the system's capacity (both solid and specific verification sites) 2 Consolidation of observation requirements and associated products. 3 Ensure coordination of observations both in the short and longer term. 4 Development of analytical tools and methods. 5 Coordination of the production of reference datasets. 6 Improving the availability of observations, data, tools and expertise, and to ensure initiation of appropriate capacity building activities for ND states.[49]	1. First guidance documents due late 2012-2013 2. FCT portal lists data acquired 2009-2010 from six providers for each demonstration country (note Guyana only received the Palsar data)	1. **Partial**
GEO	GFOI	1. Foster sustained availability of satellite and ground observations in support of national forest information systems; and 2. Support countries in the use of observations for their national forest information systems—respecting national choices of data and tools.	-Satellite data acquisition -Data processing and supply -Data access (through FCT portal) -Alternative data to fill CEOS gaps -In situ data	-Data acquisition plan developed	**All partial - ongoing**

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[48] The GEO FCT objectives were not clearly or consistently defined by GEO FCT. This formulation of the programme's objective was provided in Rum, G. (2011).

GEO	GFOI	NICFI Secretariat objectives 1.Establishment of a GFOI Office 2. Ensure sustained supply of remote sensing data through co-ordinated acquisition			1. **Achieved** 2. **Partial** – project in early stages, following on from FCT
Bilateral	LiDAR Project	1.Test the accuracy of LiDAR measurements for biomass and carbon stock estimation 2. Develop, implement, test and validate a statistically sound sampling-based application for regional biomass/carbon stock change estimation utilizing ground samples and airborne LiDAR data collected over NAFORMA ground plots across a selected district of Tanzania. 3. Deliver pre-processed optical and SAR data and develop an automated pre-processing chain. 4. Develop and test methods to monitor changes in forest areas using satellite data. 5.Estimate above-ground biomass for different forest types 6.Develop allometric models for total above-ground and below-ground biomass 7. Increase general capacity for MRV in Tanzania	-LiDAR data acquisition -LiDAR data pre-processing -Field data collection (UMB staff and local field crew) -Field data processing (UMB staff) -Field and LiDAR data exported to SUA April 2013 -2 PhD students enrolled at UMB -2 week training course on LiDAR and SAR held at UMB -Various methodological trials and developments	-most activities are ongoing -Publication on carbon stocks in pilot district expected late 2013 -Allometric models completed	**1.,2. and 3. – Partial** – ongoing. Too early to tell whether the objectives will be met. There seem to be issues accessing NAFORMA data but the project is working with the Government to sort these issues out. **4. and 5. Partial – delayed** Delayed due to the NAFORMA project delays, also budget problems with objective 4. **6. Achieved – on going** Allometric models for some ecosystems complete, others soon to be completed **7. Partial – limited**. Two PhD students are being trained in RS techniques at UMB and another at UT, however all technical work on this project has been undertaken by the staff of Norwegian institutions.

Relevance

The GEO FCT / GFOI work track is highly relevant to the UNFCCC negotiations and country needs

- The GEO FCT task follows the guidelines set out by the UNFCCC. Its outputs are intended to support interested countries in their efforts to implement the Convention.

- The need for access to remote sensing data and for the standardised approaches / methodologies (that GEO FCT / GFOI intend to deliver) was mentioned by stakeholders in each country visited by the evaluation team.

Effectiveness

An apparent lack of understanding country context has decreased the current effectiveness of GEO FCT

- Although GEO has excellent technical expertise, its mandate and experience on development work are both quite limited. As a consequence, GEO is not perhaps sufficiently aware of varying partner country capabilities and at times seems to have not adapted and refined its engagement. For example Brazil is itself a provider of technical guidance to DRC and other partners. It was reported that GEO did not adapt its approach to reflect Brazil's level of capacity for remote sensing.

- Although the efforts did not amount to tangible outcomes at the time, scientific cooperation has been ongoing between Norway and Brazil. Norway has several leading scientists in forest monitoring working with LiDAR data and the *Instituto Nacional de Pesquisas Espaciais* (INPE) sees LiDAR as an additional data source to the monitoring system but not to be established as a main source of data for forest mapping and monitoring. Currently, INPE and Norwegian Space Centre are planning to collaborate as INPE plan to pay for satellite data download and pre-processing services from the satellite download station (INPE is waiting for the proposal to go through the approval process in the Brazilian Government).

- The low capacity for LiDAR based forest monitoring in Tanzania appears to have been underestimated at the start of the project.

There appears to be a lack of awareness of GEO FCT / GFOI and where there is awareness there appears to be something of a mis-match in expectations between GEO FCT and partner countries / other stakeholders

- GEO FCT, appears to be understood primarily to have a research remit by the GEO Secretariat. For instance, in a presentation by a member of the Secretariat, GEO FCT was described as having the following objectives:

"Demonstrate that coordinated Earth Observations, validated by in situ measurements and properly linked to modelling can provide reliable, accurate, consistent and continuous information, constituting the basis for national systems.

More specifically the overall goal for FCT is to test and compare the use of different observations, models, tools and methodologies in order to provide advice and guidelines to Countries willing to implement national systems" Rum (2011).

- Similarly, the activities in Guyana and Tanzania appear to be primarily research driven, rather than driven by application for national MRV. In Guyana the project activities cover two test sites and are currently not really feeding into to the established national MRV system. In Tanzania the project activities are seen as being 'mostly of interest to the scientific community'.

- Stakeholders and national actors in REDD+ countries appeared to primarily regard GEO FCT as a potential service provider for remote sensing data and standardised approaches and methodologies.

Strong focus on capacity building in objectives but effectiveness in this appears to be quite mixed

- There is a strong emphasis on capacity building in National Demonstrator under the FCT and GFOI objectives, and GFOI work plan

- Four technical staff from DIAF in DRC attended a GEO-FCT funded training session in September 2011 on INPE's TerrAmazon system and its application for TerraCongo. They are now in the process of cleaning the automatically classified remote sensing data in TerraCongo, in particular cross-checking and where necessary manually correcting the automated segmentation of polygons of land cover classes. Initially this segmentation correction was being done in Rome and corrected data sets were sent to DRC for validation. Now, MECNT staff are doing the segmentation correction themselves.

- Tanzania LiDAR project – analysis of both remote sensing data and ground data were undertaken by Norwegian institutions. Stakeholders in Tanzania felt that there would be limited capacity for the activities to be continued by Tanzanians once the project ends.

- Capacity building does not appear to be a focus of activities in Guyana

While some satellite data have been made available to Guyana by GEO FCT, it has not been made available frequently enough to fulfil Guyana's reporting needs.

- GEO FCT provided Guyana with a set of Palsar radar images for 2008-2009, which Guyana describe as being instrumental for the Guyana 2010 assessment of forest cover. However, since then, only raw, unprocessed ASAR data has been received by Guyana. As GEO FCT is not making data available frequently enough to meet Guyana's reporting needs, Guyana has to buy in the data from private providers (e.g. Rapid Eye) themselves.

- The GFC view is that the GEO project has a lot of potential, but this has not yet been realised. The main issue is that GEO FCT is not yet able to provide predictable and assured means of data sharing, on the time scales that REDD+ countries need to work on (e.g. Guyana has to measure and report yearly to Norway under their bilateral; REDD+ countries will have to report biennially to the UNFCCC). Guyana estimates that they need 25% country coverage with radar data each year to

supplement their Landsat and Spot, but have only received radar data once from GEO, and no other remote sensing data.

- This issue may in part relate to differences in expectations of what GEO FCT should deliver.

Annual meetings appear to be well attended by national implementers

- Relevant implementing agencies from the focal countries covered by this study reported attending all the GEO FCT Science and Data Summits and these appear to have been regarded as useful forums for exchanging information and learning about activities in other countries.

Efficiency

Co-ordination and collaboration with other actors and institutions appears to be limited, despite there being an apparent intention to undertake this

- There appears to be an intention to collaborate with other actors. For instance, various reports discuss consultations with other institutions, such as the World Bank, foundations and research institutions in order to exploit the synergies with the FCT task activities (GEO 2010). Consultation with UN-REDD resulted a joint workshop on MRV being held in Mexico in 2010. In addition, the grant to the NRS for participation in FCT was on condition that the work was done in close cooperation with UN Collaborative Programme on Reducing Emissions from Deforestation and forest degradation, UN-REDD (NRS, 2010).

- At the country level this intention does not appear to be borne out. In Tanzania many stakeholders reported that GEO / Norwegian Space Centre had limited collaboration with other actors (including in relation to UN-REDD, who GEO FCT / Norwegian Space Centre repeatedly mention as a close collaborator in their reports). Similarly, in Indonesia, outside of LAPAN, stakeholders and actors seemed unaware of what was being undertaken with GEO FCT.

The capacity of GEO in terms of staffing and funding appears to have been over estimated

- The FCT and GFOI are only two tasks out of more than seventy that are covered by GEO. The Secretariat includes approximately eight scientific and technical experts seconded by their governments and participating organisation,

- The Norwegian Space Centre is a relatively small organisation and much of the work has been put out to tender.

- There have also been indications that GEO does not receive sufficient funding to carry out what they already should be doing. GEO Work Plan had outlined a number of potential tasks, leading to the capability of the GEO Secretariat to continue its activities at the same level of commitment not being assured, as its operations are relying on the limited funding GEO receive from GEO Members and Participating Organizations.

- The Norwegian Space Centre GEO delegates are convinced the best way to secure that the GEO Secretariat continues to prioritize and focus on this task in the upcoming implementation phase is through dedicated Norwegian funding (NRS, 2009).

Annex 9 – UN-REDD Programme

Evaluation Object Overview

Annex 9: Table 1 NICFI support on MRV and reference levels to the UN-REDD Programme

Support Modality	Programmes /Projects/ Activities Supported	Details
UN-REDD	Global Programme	**Purpose**: Development of common approaches, analyses, methodologies, guidelines, tools, data and best practices* **Funding**: Global Programme expended on "Improved guidance on MRV and monitoring" during 2009 to 2011 was US $5.2 million (NOK 29.8 million). Estimated NICFI contribution NOK 24.8 million** **Timescale**: First phase is 2009 to 2011, and second phase is 2011 to 2015.
UN-REDD	Country Activities	**Purpose:** The UN-REDD 2011 – 2015 Programme Strategy states that support for MRV will mostly be provided through the National Programmes, with complementary support from the Global Programme. **Funding:** $67.3 million for National Programmes to-date*** , but this covers all readiness activities **Timescale:** "Quick Start" phase 2008 to 2011, second phase is from 2011 to 2015
	FAO Activities	**Purpose**: FAO undertakes the majority of the UN-REDD MRV related activities **Funding**: US $46 million (NOK 264 million). Estimated NICFI contribution NOK 219 million
Estimated Total Support (FAO activities)	**NOK 219 million**	

*   (UN-REDD 2011 annual report, p51 - 52)

**   Norway has provided 83% of UN-REDD funds - US$ 141.2 million of the total UN-REDD fund budget of US$170.9 million http://www.climatefundsupdate.org/listing/un-redd-programme, (http://mptf.undp.org/factsheet/fund/CCF00)

*** http://www.un-redd.org/AboutunREDDProgramme/tabid/583/Default.aspx

Achievement of Objectives

Annex 9 Table 2 Progress in attaining MRV and reference level related objectives of the UN-REDD (UN-REDD 2009 and 2011)

Implementing agency	Planned outcomes and indicators	Progress
FAO	1. Accelerate essential improvements in measurement and assessment elements of MRV at the national and international levels by the end of 2010	1. **Delayed – on-going**
	2. Help achieve full functional and sustainable national MRV systems in participating countries by 2014.	2. **Delayed – on-going**
	Outcome: REDD+ countries have systems and capacities to develop and implement MRV and monitoring.	**On-going**
	Indicators: 1. Number of MRV related focal personnel with increased capacities 2. Number of countries with functional MRV systems for REDD in place	

Relevance

The United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries (UN-REDD) Programme aims for consistency with UNFCCC requirements.

- The 2011 UN-REDD annual report states that the outcomes of the programme are "defined in alignment" with the international REDD+ agenda.

- The remote sensing package offered to countries by the UN-REDD Programme is compatible with UNFCCC agreements.

- The UN-REDD 2011 – 2015 Programme Strategy recognises that UNFCCC requires the use of IPCC methods/guidance.

UN-REDD is aligned with Norwegian priorities for MRV.

- The UN-REDD 2011 – 2015 strategy document states that "MRV and monitoring for REDD+ is about much more than carbon". This view is consistent with Norway's position provided that measurement (for carbon) and monitoring in a wider sense are clearly separated and not seen as interchangeable terms.

UN-REDD is aligned with partner countries' needs, though some concerns exist about the appropriateness of the systems developed for some countries.

- The transfer by FAO of the Brazilian (INPE) system to other countries (*e.g.* Zambia, Papua New Guinea, and the Democratic Republic of Congo) was questioned by some informants who queried whether this level of technical sophistication is appropriate or sustainable for all countries. FAO's response is that they use INPE only where it is appropriate to do so.

- The "Targeted Support" component of the Programme for 2011-15 is intended to respond to individual countries' requests for services, and so should align with national priorities and needs.

Effectiveness

UN-REDD appears to have made slow progress up until 2011, with more progress since then. Progress is still slow within partner countries for a number of reasons.

- Progress was reportedly slow up until 2011, largely due to a lack of co-ordination between the different UN agencies. Improvements since then have been attributed to staff changes and improved communications.

- Progress with REDD+ partner countries is reported to still be slow, and a number of reasons were suggested by informants, including: there are limited resources for institutional capacity building; there is competition for attention within forestry departments and ministries; and there is a lack of clarity on whether and how much countries may receive in results-based payments.

The UN-REDD Programme is providing a large number of training activities and events, but there is limited evidence that capacity is successfully improved and the skills are being used.

Note that the following list is intended to be illustrative of the evidence to support the finding rather than an exhaustive list. The examples noted here were particularly noted by informants during interviews.

- Training in remote sensing is being provided in all countries with National Programmes.

- UN-REDD supported the Capacity Development-REDD process with a training workshop on how to establish a national system for GHG inventories with the participation of 36 REDD+ countries.

- A pilot course and a regional course on REDD+ MRV, NFI, and monitoring were held in Rome and Tanzania. These were designed to generate capacity within governments, universities, and training institutions locally.

- While there has been good progress on capacity building, as in DRC for example, because countries have yet to develop fully functioning MRV systems, capacity building is still work in progress and its utility cannot be assessed until the system is fully in place. One informant commented to this effect.

UN-REDD has been active in sharing knowledge at the international level, and in facilitating South-South knowledge exchange.

- UN-REDD has been active in sharing knowledge at the international level through side events at UNFCCC Conferences of Parties, and participating in panels during the Oslo REDD Exchange. It has also provided documentation and been present at global and regional workshops.

- UN-REDD supports a programme of South-South exchange involving FAO, INPE, and UN-REDD partner countries.

Efficiency

UN-REDD's co-ordination appears to be improving, both internally and externally.

- Problems with inter-agency co-ordination were reported in some National Programmes, and steps have been taken by UN-REDD to remedy this.

- The UN-REDD 2011 – 2015 Programme Strategy states that the Programme is teaming up on MRV with: other FAO initiatives on national forest inventory (including the Forest Resources Assessment); the World Bank; INPE; USDA Forest Service; Chatham House; Coalition for Rainforest Nations; and GEO, among others.

Sustainability

It is too early to tell whether the outputs achieved are sustainable, with sustainability dependent on agreement for results-based payments.

- One informant commented that it is too early to tell whether the developments achieved within partner countries will be sustained, and whether they will is largely dependent on agreement for results-based payments. In the absence of payments there will be limited incentive to develop or maintain MRV systems.

Annex 10 – Policy and Governance of NICFI in Oslo

Relevance

Strong commitment to NICFI from Ministry of Environment and Ministry of Foreign Affairs, and the importance of MRV is growing

- There is strong commitment to NICFI from environment and aid ministries and NICFI is considered by both to be consistent and aligned with main priorities. There have been some policy adjustments since the new aid minister has been in place (more emphasis on environmental and social safeguards, gender, indigenous peoples etc., but the adjustments have not affected the MRV work track.

- The NICFI Secretariat feels that the importance of MRV has grown in recent years (much greater demand from other NICFI staff and from outside for services from NICFI MRV staff).

- A potentially big challenge ahead revolves around the "V" in MRV. The verification issues have led to divisions between countries "led" by Norway (which prefers independent external verification) and many developing countries led by Brazil (which prefers national verification). NICFI does not see this as an immediate threat given that countries are not yet in Phase 3 of REDD+ implementation and workable solutions are in place for Guyana and Brazil.

Effectiveness

NICFI believes that it has made major achievements with its MRV initiatives.

At the beginning MRV was considered globally/by many as a potential obstacle to progress/too difficult to achieve proper measurement, but NICFI believes that the MRV work track has contributed to demystification in global negotiations and in REDD+ countries. NICFI MRV staff also believes that NICFI has generated improvements in scientific methods and in demonstrating the stepwise approach in which the MRV system does not need to be perfect at the outset. NICFI staff also believe that it has contributed to progress in improving access to remote sensing and satellite imagery.

MRV was considered in the beginning as primarily a technical/methodological issue, but NICFI has now learned the hard way that it is much more.

Progress at the country level has been slower than expected. Although the most important reason for a lack of progress is of course outside NICFI control, the MRV staff recognise that a very important lesson learned from slow progress at the country level was that NICFI may have underestimated the challenges involved in building MRV national institutional capacity. Building such capacities will often impact on political dynamics and power relations in the country (*e.g.*, Indonesia). This requires much more sensitivity and understanding of local contexts and power relations than originally expected by NICFI. This issue is broader than MRV. As pointed out by NICFI, the changes needed at a high political level for REDD+ to be implemented and sustained will in most countries result in substantial political processes that may be more demanding than anticipated at the outset.

Efficiency

NICFI MRV staff consider the MRV work track to be efficiently managed

- Staff appear to consider the work to be reasonably efficient, but decreasingly so due to staff shortage in a situation characterised by growing demand. One additional MRV person is being hired. This will bring the MRV dedicated staff to two. In addition the deputy in the department also spends some time on this. They believe they have sufficient capacity.

- There is heavy reliance on one external consultant to help but this has not caused problems so far.

- There is generally a short decision-making/communication route within the NICFI Secretariat and between the NICFI Secretariat and the climate change negotiators;

- NICFI MRV staff appear to have limited time to reflect and process lessons learned. Despite this the staff appears to have good grasp of the state of progress in the individual partner countries.

- Administration of the MRV portfolio appears to be generally good, including disbursements and reporting. However, much appears to be in "heads" of task managers.

Co-ordination appears to be good within NICFI but NICFI considers the co-ordination with other donors and actors on MRV could be strengthened and improved

- There is strong interaction within NICFI as the MRV staff is in growing demand within NICFI.

- At the country level NICFI believe that they have a unique niche by focusing on national mechanisms. Other donors are doing highly relevant related work, e.g. on forest data such as Finland/Tanzania and Australia/Indonesia. NICFI interact with other donors in focal countries for information sharing when NICFI-staff visits. They regard the existing division of labour between donors / actors as a good platform for co-ordination.

Annex 11 – General country progress through UN-REDD and FCPF support

Evaluation Object Summary

In addition to bilateral arrangements with individual countries NICFI also provides support on MRV and reference levels to a greater breadth of countries through a number of different multilateral channels:

1. The United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries (UN-REDD)

2. The Forest Carbon Partnership Facility (FCPF)

3. The Congo Basin Forest Fund (CBFF)

4. The Group on Earth Observation (GEO)

Brief desk reviews were undertaken for a sample of the countries receiving support through these multilateral channels, in addition to the more in-depth review of UN-REDD. Annex 11: Table below shows the countries supported and the channels of multilateral support they receive, as well as the sample for the desk reviews.

Annex 11: Table 1. Multilateral support by country, and sample for desk review

Multilateral Channels Countries	CBFF	FCPF	GEO	UN-REDD	Sample for desk review
Bolivia		✓		✓ $4.7 million	✓
Brazil			✓		
Burkina Faso					
Burundi	✓				
Cambodia		✓		✓ $3 million	
Cameroon	✓	✓	✓		
Central African Republic	✓	✓			
Chad	✓				
Chile		✓			
Colombia		✓	✓		✓
Costa Rica		✓			
DRC	✓	✓	✓	✓ $7.38 million	
Ecuador				✓ $4 million	✓
El Salvador		✓			
Equatorial Guinea	✓				
Ethiopia		✓			✓
Gabon	✓	✓		✓	

Country					
Ghana		✓			
Guatemala		✓			
Guyana		✓ $ 0 million	✓		
Honduras		✓			
Indonesia		✓	✓	✓ $5.64 million	
Kenya		✓			✓
Lao		✓			
Liberia		✓			
Madagascar		✓			
Mexico		✓	✓		
Mozambique		✓			✓
Nepal		✓			✓
Nicaragua		✓			
Nigeria				✓ $4 million	✓
Panama		✓		✓ $5.3 million	✓
Papua New Guinea		✓		✓ $6.38 million	✓
Paraguay		✓		✓ $4.72 million	✓
Peru		✓	✓		✓
The Philippines				✓ $0.5 million	
Republic of the Congo	✓	✓		✓ $4 million	
Rwanda	✓				
Sao Tome and Principe	✓				
Solomon Islands				✓ $0.55 million	
Sri Lanka				✓ $4 million	
Suriname		✓			
Tanzania		✓	✓	✓ $4.28 million	
Thailand		✓			
Uganda		✓			
Vanuatu		✓			
Vietnam		✓		✓ $4.38 million	✓
Zambia				✓ $4.49 million	✓

Annex 11: Table 2 Overview of the multilateral channels

Support Modality	Programmes / Projects / Activities Supported	Details
Congo Basin Forest Fund	Congo Basin MRV Initiative: National Forest Monitoring and MRV systems with a regional approach for the Congo Basin countries	**Implementers: COMIFAC with FAO and INPE** **Purpose**: support the design and implementation of national monitoring and MRV systems in the COMIFAC region **Funding**: Budget for Quick Start Phase: € 6.2 million (NOK 46.4 million). This is for the whole of the COMIFAC region **Timescale**: 2011-2013 originally, but start delayed until January 2013
Forest Carbon Partnership Facility	Readiness fund: provision of grants for formulating Readiness Preparation Proposals (R-PP), and provision of grants for the implementation of R-PPs	**Implementers:** The World Bank **Purpose:** to demonstrate how REDD+ can be applied at the country level **Funding**: total funding pledged to FCPF Readiness Fund is $258 million (around NOK 1,491 million). Funding to individual countries is $200,000 (around NOK 1.15 million) for R-PP formulation, and $3.4 to $3.6 million for implementation (NOK 19.6 million to 20.8 million). Note there are total funds and only a proportion will be spent on MRV. **Timescale:** started in 2008
Group on Earth Observations	Forest Carbon Tracking (FCT)	Purpose: To demonstrate that co-ordinated earth observation can provide the basis for reliable information services to support REDD+ policy Funding: NOK 5.4 million Timescale: 2009-2012, expected to end once the GFOI is well established
	Global Forest Observation Initiative (GFOI)	**Purpose**: to help countries develop efficient and sustainable forest monitoring systems **Funding**: US$ 4.6 million (around NOK 26.4 million) **Timescale**: 2012-2015 (start-up phase 2012-2013)
UN-REDD	National Programme: FAO-led country activities	**Purpose**: to assist developing countries prepare and implement national REDD+ strategies **Funding**: The total UN-REDD budgets for individual REDD+ countries is shown in the table above (note that this is not the amount on MRV). **Timescale**: started in 2008
	Global Programme	**Purpose**: The Global Programme focuses on the development of common approaches, analyses, methodologies, guidelines, tools, data and best practices. **Funding**: between 2009 and 2011 approximately $5.2 million on MRV (around NOK 29.6 million). **Timescale**: started in 2008
Total Support		**Unclear as figures available do not always show the amount for MRV, nor the amount from NICFI***

* But see attempt at this for UN-REDD Programme in the UN-REDD Programme annex.

Relevance

The planning documents produced through support from the multilateral channels generally state consistency with UNFCCC requirements as a key aim, and countries receiving support are engaged with the UNFCCC negotiations.

- The planning and design documentation, e.g. Readiness Preparation Proposals (R-PPs), supported through the multilateral channels generally state that consistency with United Nation Framework Convention on Climate Change (UNFCCC) requirements is a key aim.

- Most countries supported through the multilateral channels have made submissions to the UNFCCC and its Subsidiary Body for Scientific and Technological Advice (SBSTA). Although this engagement cannot be attributed solely to NICFI funded support channels, the multilaterals have played an active role in facilitating engagement, e.g. Panama's UN-REDD National Programme included training on the status of the global negotiations, and funding for attendance at Conference of the Parties (COP) 17.

Countries' planning documents often note the need for flexibility, given the evolving nature of the REDD+ mechanism and UNFCCC requirements.

- Kenya's R-PP is intended to be flexible in order to take account of the changing nature of the REDD+ mechanism. This flexibility may be easier to achieve within documents dealing with high-level details, but may be more difficult for more detailed plans, such as Kenya's roadmap for reference level development.

- Vietnam's R-PP mentions in several places that REDD+ is an evolving initiative/mechanism and that this will be taken into account in the processes that Vietnam develops.

Lack of final decisions from UNFCCC on MRV modalities present a challenge for countries to determine their needs and hence capacity requirements.

- Papua New Guinea's R-PP notes the difficulties caused by the lack of certainty around UNFCCC requirements.

There appears to be a high level of stakeholder engagement and participatory design through UN-REDD and FCPF, particularly in the development of R-PPs. This also suggests that there is a good level of alignment between the multilateral support channels and beneficiaries needs. However, there are some exceptions to the achievement of inclusive stakeholder engagement.

- Ecuador's National Programme Document plans for a national REDD+ consultation process involving civil society, indigenous communities, Afro-Ecuadorian and Montubio peoples, and communes.

- There appears to have been a good level of stakeholder engagement in Kenya, with workshops organised by the REDD+ Consultative Group; stakeholder engagement

during the implementation of the R-PIN; and a Stakeholder Consultation and Participation Plan was developed for the formulation of the R-PP.

- Nepal's R-PP has been developed through consultation with public and private sectors, NGOs, indigenous communities, and civil society organisations. A REDD+ Stakeholders Forum, which is already operational, will serve as the principal platform for outreach and consultation.

- Panama's readiness plan (R-Plan) has been formulated following discussions with government agencies, academics, environmental NGOs, and indigenous people's groups.

- The Technical Advisory Panel Synthesis Review of the Vietnam R-PP highlights that the level of involvement from indigenous people's organisations appeared to be very limited, and that this should be addressed.

Effectiveness

The countries supported through the multilateral channels have developed institutions/clarified institutional arrangements for MRV, though the documentation available is not sufficient to comment on the effectiveness of the institutional arrangements.

- In Ecuador a specific working group on REDD+ was established under Executive Decree No. 495 called the Inter-institutional Committee on Climate Change (CICC)'

- Kenya has established a hierarchy of institutions to oversee the implementation of the R-PP, including the establishment of a Technical Working Group for MRV.

- Nepal has established a three-tiered institutional mechanism for implementing REDD, consisting of the REDD Multi-sectoral, Multi-stakeholder Coordinating and Monitoring Committee as the apex body; the REDD Working Group at the operational level; and the REDD-Forestry and Climate Change Cell as the coordinating entity.

- Colombia's R-PP provides details of the institutional set-up for the MRV system, though the feasibility of co-ordinating regional environmental authorities and input from local stakeholders appears ambitious.

- Ethiopia established an interim steering committee, which will be superseded by a permanent federal agency for forestry, once it is established.

- Papua New Guinea has established an Office of Climate Change and Development, which is the co-ordinating agency for REDD+ activities.

- Zambia's Joint Steering Committee for REDD+ has been established but its formalisation process is still underway.

The countries supported through the multilateral channels are planning the development of reference levels, but the actual development of reference levels is still to happen.

- Ecuador proposes a national reference emissions or removal level using historical data over a period of at least five years. This level can be either elevated or reduced using a developmental adjustment factor that takes into account national circumstances and capabilities.

- Kenya has prepared Terms of Reference for the development of its reference emissions level; discussions have been held on the data needs for supporting the development of the reference level; a workshop was held in 2011 to further inform the process of developing the reference level; a detailed roadmap for establishing a National Reference Emission Level/Forest Reference Level has been completed through a wide consultation process.

- Nepal developed a reasonably detailed 3-step plan for the development of a historic reference scenario, with information on the data sources that will be used.

- In Vietnam, the UN-REDD programme has developed an interim national reference scenario, including analysis of the various technical options for the definition of the reference level.

- Colombia has undertaken a number of activities for developing reference levels, e.g. identifying the drivers of deforestation, and establishing reference scenarios.

- The United National Food and Agriculture Organisation (FAO) helped develop a methodological framework for reference level development in Zambia.

UN-REDD (primarily FAO) has provided technical support for MRV development across a wide number of different countries

- The National Forest Evaluation in Ecuador has received technical support from FAO.

- The design of Panama's national forest inventory was done in close cooperation with FAO, and is expected to be finalized in 2013.

- UN-REDD is providing technical assistance to Vietnam on formulating, reviewing and updating reference levels.

- FAO developed Papua New Guinea's monitoring system at FAO headquarters in Rome between August and November 2011, and coordinated training for the PNG operatives in November 2011. FAO also provided technical advice through a number of other workshops.

FCPF and UN-REDD appear to have mainly supported planning, stakeholder engagement, and capacity building/training. Countries will need to move beyond the planning stage in order to achieve fully functioning MRV systems.

- Panama concluded a first phase of preparation in 2011, which involved analysing the current situation, and the general structure for the national forest and carbon monitoring system has now been agreed. Panama now appears to be moving beyond the planning phase and has procured satellite imagery, GIS software, and equipment.

- Vietnam has produced an MRV framework document through the National REDD Network.

- Ethiopia is developing an MRV roadmap, based on the Guyana model, involving wide stakeholder consultation (this is supported by funding from NICFI).

- Peru's R-PP details a number of components for the development of the MRV system, with component 4 focused on the design of the system, and capacity strengthening.

- UN-REDD provided a three day planning workshop in Papua New Guinea, and FAO coordinated a two-week training course in Belem, Brazil for six geographical information system (GIS) and remote sensing experts. From the documentation available it is not possible to tell how far Papua New Guinea has progressed from the planning stage to actual implementation.

- FAO provided training in setting up national systems to two technicians in Zambia. Training in remote sensing, and training in the INPE system is also planned.

- FAO appears to favour the promotion of Brazil's MRV system, with this being introduced in Zambia, Papua New Guinea, and Democratic Republic of Congo, among others.

All countries appear to intend to use the IPCC Good Practice Guidance and Guidelines for their MRV systems.

- Kenya's R-PP mentions the IPCC's framework and methodologies several times.

- Colombia's R-PP states that IPCC guidelines will be used.

- Ethiopia's R-PP states that the MRV system will be developed in accordance with the 2006 Guidelines of the Intergovernmental Panel on Climate Change.

FCPF and UN-REDD have supported or encouraged communications activities.

- Kenya's R-PP includes a budget for the "documentation of lessons learnt for consultation going forward", and the Kenyan Government has stated that it is committed to communicating lessons learnt both within Kenya, and to the international REDD+ community.

- Vietnam has been highly active in documenting and sharing its lessons learned. A "lessons learnt" report has been developed and published: http://vietnam-

redd.org/Upload/Download/File/Lessons_Learned_UN_REDD_VN_phase_1_final_3103.pdf. UN-REDD has also been involved in the development of a communication strategy for Vietnam.

- Colombia has produced a set of communication materials, and has established a working group to continue to develop a REDD+ communication strategy.

- FAO supported the organization of a side event at COP 17 to present Papua New Guinea's monitoring system to the international community.

- Tanzania and Zambia held a joint workshop on allometric equations, and this was facilitated by FAO.

Efficiency

Reporting tends to focus on activities rather than clear outputs and outcomes. The FCPF progress reports tend to include all REDD+ developments, without attribution to specific donors or support programmes.

- Kenya produces regular Readiness Progress Fact Sheets with regular updates on the evolving measures taken in the national REDD+ agenda.

- Ethiopia provides updates on the R-PP activities, but these are simple reports and do not include extensive detail. The budget reporting tends to provide totals pledged from different donors, but not the totals spent on different activities, e.g. MRV.

- Zambia has produced annual and semi-annual reports on their progress, and the Zambia page of the UN-REDD web site is kept reasonably up-to-date. However, activities are not linked to clear outputs and impacts.

The documentation available suggests that co-ordination between NICFI funded support channels and other donors is good, as is co-ordination with existing policies and programmes within countries.

- Kenya's REDD+ Technical Working Group held a consultation in 2010 with a large number of donors and stakeholders on the skills and infrastructure needed to establish a national reference level.

- In Nepal the REDD+ strategy is being aligned with the preparation of a new National Forest Sector Strategy, and the Forest Resource Assessment.

- In Panama the FCPF and UN-REDD programmes started largely independently of each other, but these have now been harmonised, e.g. with a common budget and documentation.

- For Vietnam, UN-REDD undertook an institutional donor mapping exercise to identify donors and other implementing agencies and partners. The findings were then used to co-ordinate activities, e.g. UN-REDD decided to take on a supporting role to JICA in developing Vietnam's reference level.

- Colombia's REDD preparation builds on the remote sensing work of the Institute of Hydrology, Meteorology and Environmental Studies of Colombia IDEMA.

- Peru's R-PP notes that the country already has a number of committed donors, and that the support from these donors it being actively co-ordinated by the Ministry of the Environment.

- The development of the MRV system in Zambia is closely aligned with the existing Zambian Integrated Land Use Assessment.

The R-PP template appears to provide a clear structure which aids planning, budgeting, and co-ordination

- Countries' R-PPs generally appear to aid the co-ordination between donors as the budget structure creates clarity over which aspects of the REDD+ programme are funded by which donors.

- The Technical Advisory Committee assessments appear to be useful for providing guidance on the feasibility of the budgets submitted.

- Mozambique's R-PP sets out the key institutions and existing donors relevant to the development of the MRV system.

- Although the R-PP's often provide clear budgets for MRV activities, these budgets do not appear to be regularly updated with actual levels of expenditure. This information would be very helpful for understanding the actual level of expenditure on MRV system development.

Sustainability

Added value

- In Vietnam, it is proposed all relevant stakeholders will gain access to data and information through a web-based interface.

- Colombia's MRV system is closely linked to the collection of data on other socioeconomic and environmental variables.

Annex 12 – NICFI support on MRV and reference levels in the UNFCCC negotiations, and interviews with climate change negotiators

Evaluation Object Overview

Annex 12:Table 1

Modality/project	
Timescale	2007-2013
Key activities	• MRV portfolio development and management • Support / sharing of information with negotiators; informing the development of the Norway position; input into submissions to SBSTA • Participation in UNFCCC meetings and workshops; • Acquisition of ad-hoc technical support to the Secretariat • Commissioning of research/consensus building / information provision • Provision of technical advice, e.g. to country and multilateral partners • Communication activities of the NICFI Secretariat on REDD+ MRV and reference levels, e.g. side events at the Conference of the Parties.
Key outputs so far	NICFI submissions: • Submission on methodological guidance for activities relating to reducing emissions from deforestation and forest degradation and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries (October 2011) • Methodological guidance for REDD+ (SBSTA) – forest monitoring, MRV and drivers of deforestation (March 2012) Consensus-building activities: • Herold M. (2009). *An assessment of national forest monitoring capabilities in tropical non-Annex I countries: Recommendations for capacity building*. GOFC-GOLD. Available at: http://princes.3cdn.net/8453c17981d0ae3cc8_q0m6vsqxd.pdf • Meridian Institute. 2011. *Modalities for REDD+ Reference Levels: Technical and Procedural Issues.* Prepared for the Government of Norway, by Arild Angelsen, Doug Boucher, Sandra Brown, Valérie Merckx, Charlotte Streck, and Daniel Zarin. Available at: http://www.redd-oar.org/links/RL_report.pdf • Meridian Institute. 2011. *Guidelines for REDD+ Reference Levels: Principles and Recommendations.* Prepared for the Government of Norway, by Arild Angelsen, Doug Boucher, Sandra Brown, Valérie Merckx, Charlotte Streck, and Daniel Zarin. Available at: http://www.redd-oar.org/links/REED+RL.pdf • Mora, B., Herold, M., De Sy, V., Wijaya, A., Verchot, L. and Penman, J. (eds) 2012. *Capacity development in national forest monitoring: experience and progress for REDD+.* CIFOR, Bogor, Indonesia. Available at: http://www.cifor.org/publications/pdf_files/Books/BWijaya1201.pdf

Relevance

The NICFI MRV and reference level work is relevant to the UNFCCC negotiations

- All of the respondents felt that NICFI's contributions have been aligned and timely. One respondent stated that they had "contributed significantly to the rate of progress". One respondent noted that NICFI had been working on reference levels before the UNFCCC started negotiating on them, describing its activities as "very good timing". One respondent noted that the NICFI work on MRV has been an example to others.

Good awareness of NICFI MRV and reference level activities amongst respondents

- There was a good awareness of the NICFI work track, though they were not necessarily aware of the content of the partnerships and what activities relating to MRV and reference levels were involved. For example, four respondents were not familiar enough with Guyana's interim measures system for reporting to comment on its contribution to the UNFCCC discussions.

- There was least awareness of GEO and less awareness of Tanzania than other bilateral partnerships.

- Two of the respondents highlighted NICFI's support through the civil society fund as contributing to the UNFCCC negotiations on MRV and reference levels

In relation to the consensus-building activities, the Meridian reports on reference levels appeared to be particularly useful, both in demystifying the terms and in contributing to progress (especially the report on modalities).

- The factors influencing this were highlighted as: (i) the reports being very timely (i.e. being released early on in the discussion on reference levels and, therefore, having an important role, e.g. in clarifying terminology); (ii) due to their balanced assessment of the issues; (iii) the process involving a number of negotiators in the development of the report, which contributed to sharing and building knowledge on the issues and developing greater buy-in to the terms and options proposed.

- One respondent noted that there has been "significant progress [overall on reference levels] facilitated quite a bit by the Meridian report". One respondent noted that they had "noticed lots of negotiators looking at this" and highlighted that it was "really good work, staying neutral without promoting one approach of another". One respondent noted that it has been influential in terms of clarifying terminology, but has not necessarily had policy influence. One respondent felt that the paper on modalities had been particularly useful, while they felt the report on principles was not so strongly based on lessons learnt. They highlighted that the first report had involved lots of countries in the consultations to develop the report, which they felt had allowed the report to include experience but also increased awareness and buy-in to the substance of the report, supporting communication.

One respondent answered 2-3 (not included in chart)

To what extent has the Meridian report on modialities contributed to demystification 1 = Low, 4 = High
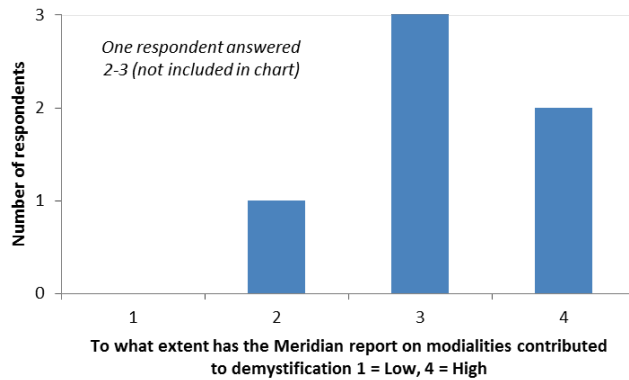
Respondents felt that NICFI partner countries were also influential in the UNFCCC negotiations, but this may not be due to NICFI's influence.

- Examples given included Brazil, Indonesia and Guyana (to a lesser extent). It was highlighted, however, that while NICFI partner countries are influential in the UNFCCC negotiations, this cannot necessarily be attributed to NICFI's influence (for example, Brazil and Indonesia are high emitting countries and, as emerging economies, would likely have been influential in the REDD+ negotiations in any case).

Effectiveness

Good contribution to UNFCCC workshops and expert meetings on MRV and reference levels

- Norway has provided financial support to three of the four UNFCCC workshops and expert meetings relevant to MRV and reference levels since 2007.

- At two of the meetings, presentations have been given based on consensus building reports funded by NICFI:

  o At the expert meeting on methodological issues relating to reference levels on 23rd-24th March 2009, Cyril Loisel presented on elements from the Options Assessment Report;

  o At the expert meeting on methodological issues relating to reference levels on 14th-15th November 2011, Dan Zarin and Charlotte Streck presented an overview of the two Meridian reports on modalities and guidelines for REDD-plus forest reference levels.

- Indonesia, one of NICFI's partner countries, presented their views on reference levels at the 'Expert Meeting on Methodological Issues relating to Reference Emission Levels and Reference Levels' on 14th-15th November 2011

Respondents were generally positive about the role the partnerships have played in contributing to international discussions on MRV and reference levels, with a strong emphasis on the value of 'learning by doing'.

- Some of the respondents highlighted that this was useful even in the case of pilots being criticised, because this was felt useful in both building knowledge and understanding to inform the negotiations, and to ensure that a final agreement on MRV and references levels would be robust and rigorous (having learnt from the experience). While, on balance, respondents felt that learning by doing was useful

even in the case of criticism, it was highlighted that criticism of previous examples (such as the Guyana reference level) may make countries more reserved about coming forward with reference levels to the UNFCCC, for fear of criticism. One of the respondents highlighted that the Norway submissions are "very based on practical experience".

The contribution of the establishment of Guyana's reference level to international agreement is considered to be moderate to high

One respondent answered 2-3 and three respondents were unfamiliar (not included in chart)
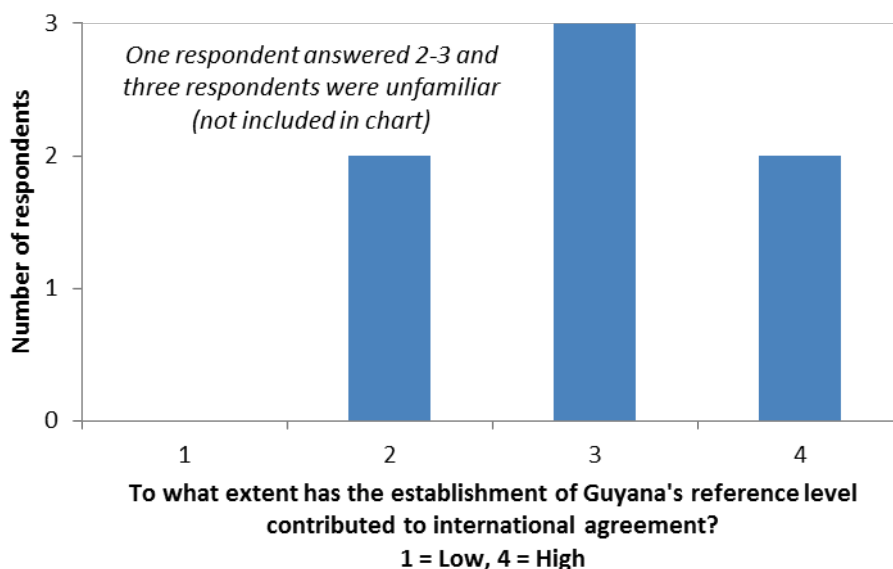
- Two respondents explicitly highlighted that concerns raised about Guyana's reference level may allow parties to negotiate guidance that there is a broader degree of confidence in.

The contribution of the piloting of a stepwise approach in Guyana to international agreement is considered to be moderate to high

One respondent answered 2-3 and two respondents were unfamiliar (not included in chart)
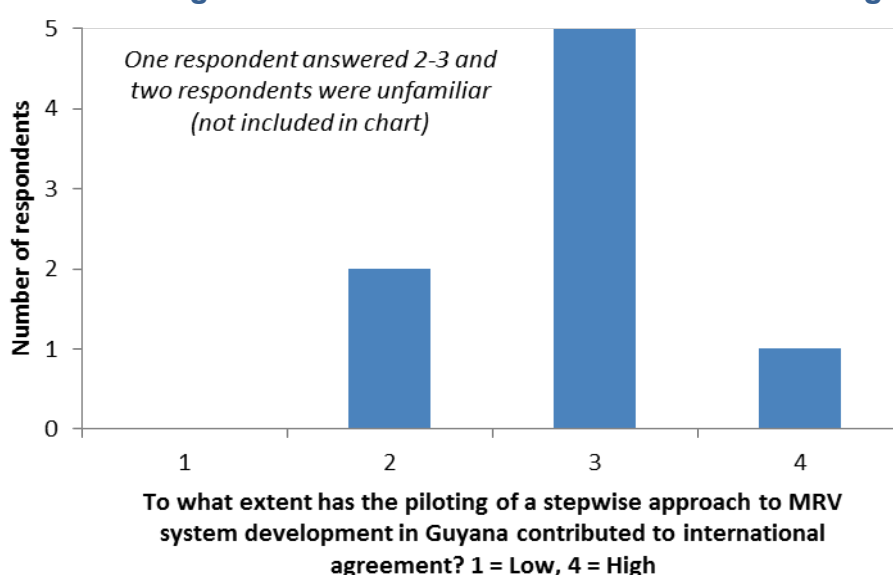
- The most popular ranking amongst respondents on the contribution of the piloting of a stepwise approach in Guyana to international agreement was 3, on a scale of 1 (low) to 4 (high). One respondent stated that the stepwise approach is one of the few

measures that can be agreed upon, while one respondent highlighted that the idea of the stepwise approach has been important but not necessarily linked to Guyana.

NICFI-supported multilateral institutions have had a high contribution to the demystification of MRV and reference levels

To what extent have FCPF and UN-REDD technical guidance and support work contributed to demystification of MRV and reference levels? 1 = Low, 4 = High
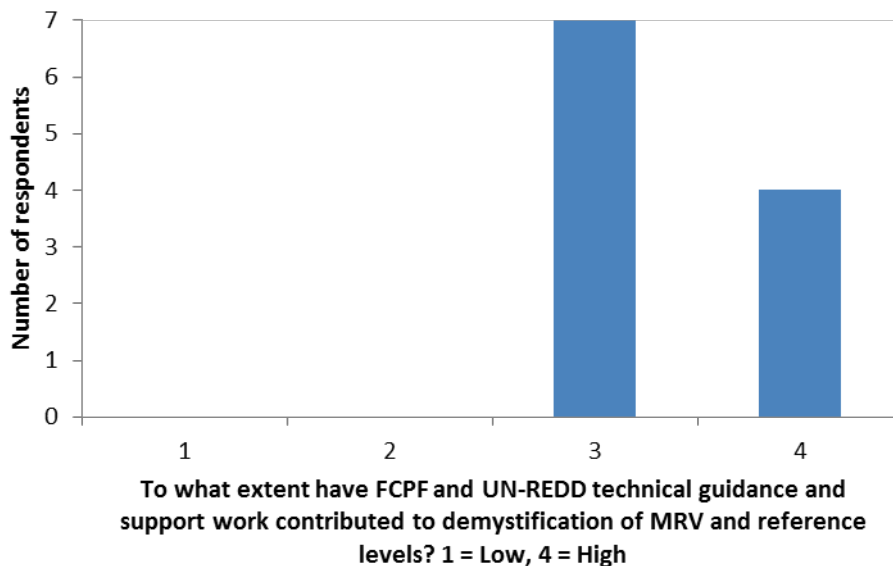
- All 11 respondents ranked the technical guidance and support work of the Forest Carbon Partnership Facility (FCPF) and UN-REDD as 3 or 4, on a scale of 1 (low) to 4 (high) in terms of their contribution to demystification

Annex 13 – International Informants Interviews

Relevance

The NICFI MRV and reference level work track is generally felt to be relevant to the UNFCCC negotiations, but opinions vary in the strength of this alignment.

One respondent felt NICFI's MRV and reference level support is fairly aligned with UNFCCC priorities and the REDD+ debate but is following a special agenda and driving the process. Another felt strongly that NICFI is critically important and has made MRV, reference levels and REDD tangible, to the extent that it may allow REDD+ to continue should the UNFCCC collapse. One respondent felt NICFI had good intentions to align MRV development with the UNFCCC process, but that it was unclear whether this helped progress in the UNFCCC. This respondent suggested that difficulties arose due to countries wanting guaranteed funding before committing to international independent verification systems and there are many differing views on what type of MRV systems are the best and give the most accurate results. The same respondent felt there was a 'chicken and egg' situation where the block of countries with money and the block of countries with forest were both hesitant to make the first move. This respondent suggested Norway could face difficulty aligning the processes due to the slow progress in the UNFCCC, which could result in some countries proceeding faster than others. Another respondent felt that the UNFCCC negotiations and REDD+ debate are constantly evolving, which makes alignment difficult.

Since REDD+ became part of the international and national agenda, there has not been a high level of 'demystification' of REDD+ MRV and reference levels but requirements have been identified and this is leading to some progression.

One respondent stated that there has been some demystification, but not a great deal. The actual requirements of translating the concepts to reality in terms of capacity are beginning to emerge. As a result, the remote sensing community is now trying to respond to political guidance as to what is the bare minimum that is needed in an MRV system. Ranking on a scale of 'critical', 'important', unimportant' and 'marginal', this respondent considered both (i) the piloting of the stepwise approach to MRV system development within Guyana's bilateral agreement and (ii) the Meridian reports to have been 'important' to these developments. Both (i) technical guidance and support work of the multilateral institutions (particularly FCPF, UN-REDD), and (ii) national experiences, or 'learning by doing', were considered 'marginal'.

Alignment of NICFI MRV/reference level support with partners' needs and priorities is felt to have improved.

One respondent felt that the UN-REDD country needs assessment has been important in this regard. This respondent also thought, however, that needs are not easy to identify and are often very broad so the UNFCCC should provide better guidance.

Contrary to the NICFI view, a number of international informants felt that MRV systems should go beyond carbon.

Three respondents felt safeguards and co-benefits should be considered to the extent that the MRV systems can be adapted to include them at a later date. One of these respondents stated that establishing MRV was of greatest importance, even in an imperfect form. Safeguards and co-benefits could be considered future goals, under a step-wise approach.

One respondent stated these aspects should be included from the start, at pilot level. One respondent, however, felt that while including safeguards and co-benefits would likely help to create a politically and environmentally sustainable REDD+ mechanism, it should be the choice of the country to include them in MRV systems. They felt reporting and verification should be focused on carbon for three reasons: (i) REDD+ is a mitigation tool, (ii) the reporting and verification system should not be over-burdensome for REDD+ countries, (iii) many non-carbon benefits are extremely difficult to quantify. Similarly, one respondent felt that systems need to be simplified in order to ensure better implementation. As a result, this respondent felt that the current priority is to develop a system for carbon flux measurement, without further safeguards. One respondent felt that while monitoring other benefits accruing under REDD+ was reasonable, there may be approaches other than results-based payments that are also effective in supporting mitigation of emissions from forests.

Effectiveness

NICFI's international MRV work is considered influential to UNFCCC MRV development

One a scale of 'critical', 'important', unimportant' and 'marginal', one respondent ranked both (i) the establishment of the first national REDD+ reference level and (ii) the piloting of the stepwise approach to MRV system development as 'important' in this respect. This respondent ranked the establishment of the interim measures system to report on results as 'critical' to the MRV development at UNFCCC level. UN-REDD / FAO global and national activities were ranked as 'critical' in this respect.

The contribution of NICFI to MRV institutional frameworks has varied from country to country, but has generally been strong.

One respondent felt that in the countries that have bilateral agreements with Norway, the MRV institutions are getting stronger at a relatively fast pace. This respondent felt the variety of approaches for MRV, rather than having in place a single standard, slows progress. One respondent felt that certain countries, such as Indonesia, were far behind others, such as Mexico and Brazil, in terms of the strength and capacity for political leadership. One respondent stated that MRV institutional frameworks are being implemented, but that institutional issues sometimes pose challenges. Another respondent felt there was more discussion than actual progress on the ground.

Some informants felt that multi-sectoral land use MRV systems would benefit REDD+ countries. These would incorporate data from multiple ministries. Indonesia's One Map example was described as excellent by one informant, but it was noted that this approach is not being implemented elsewhere. Domestic political support for land use MRV is considered a critical component for building robust institutional frameworks for MRV.

The NICFI MRV work track on capacity building, when considered generally, is making progress, but slowly.

One respondent felt NICFI was providing a great contribution. Another stated that progress is being made but capacity remains low. One respondent felt this could not be answered at a general level and specific countries must be considered individually. One respondent felt that NICFI's impact had been moderate, but that it is difficult to separate NICFI's impact on the development of individual countries' MRV systems and reference levels from other channels of support.

- Within Guyana, capacity remains low. This country is the only real full-scale implementation example of REDD+ MRV at national scale currently existing. Those involved, however, are mainly consultants from outside the country.

- In Tanzania, capacity remains very low. There is basic forest inventory and some skilled individuals in this field, but the country remains disorganized, the attitude is problematic and progress is slow. Africa in general is a difficult continent as it holds less technical capacity and has low capacity to plan for and outsource the services needed in an organised way.

One respondent felt MRV development receives high levels of funding because it is considered a very tangible REDD+ capacity building activity. This respondent stated it may be over-funded in some places compared to other capacity building that needs to be done. Another respondent felt there was probably more international financial support available for MRV than for other areas, such as technical infrastructure, ground-based data, land reform, safeguards and payment systems.

Efforts to establish and improve systems components of MRV vary from country to country.

One respondent felt this cannot be considered generally and must be thought of at the country level. Another respondent felt that while there are many efforts, they are uncoordinated. The slow progress of the UNFCCC in developing guidelines and modalities on MRV and reference levels may result in individual countries and/or regions developing guidelines independently, outside the UNFCCC.

NICFI is considered by most to be contributing well to progress on systems components and the establishment of reference levels and MRV systems, but there is some variation. One respondent felt that all major institutions doing the critical work on MRV are being funded by NICFI. One respondent felt that NICFI's impact had been moderate, but that it is difficult to separate NICFI's impact on the development of individual countries' MRV systems and reference levels from other channels of support.

Informants felt that Guyana is a positive example: MRV has been implemented step-by-step and has well-described reports of MRV systems that are robust enough to criticise. However, national circumstances have not been relevant in determining the reference level. The country had no historical deforestation from which to develop reference levels, so international averages were considered instead. Tanzania faces problems due to competition between public agencies and the developments in MRV and reference levels are uncertain, and other countries in general are also slow. Mexico has good ground-level forest inventory, but faces access problems due to security issues. Mexico is moving towards highly transparent measurement and reporting. In Indonesia and the Democratic Republic of Congo, credible MRV systems are two to five years away from implementation, if the countries continue to work and improve.

The lack of clarity at the UNFCCC level is hindering implementation.

Uncertainty surrounds the precise definition of Verification and what should be monitored in terms of the role of REDD+ in conservation, for example. In this case, implementation is delayed less by the technology than by (i) the lack of clarity on what to monitor and (ii) finding new techniques to monitor both deforestation and degradation.

Guyana is considered a successful Low Deforestation and High Forest cover example, but opinions vary on whether other countries intend to follow its model and indeed, whether its model is transferable at all without Norwegian financing.

Guyana is the only country with MRV and has a transparent system. It is unknown whether other countries intend to follow the Guyana model (one respondent stated they had not heard of many countries looking to Guyana as a model) but one respondent felt it could be transferable along with the country's Low Carbon Development Strategy. Another respondent, however, felt that Guyana's MRV is not transferable without similar financial commitments from Norway or other donors. One respondent felt Norway should be encouraged to provide similar funding for neighbouring countries, which could then coordinate inventory systems.

There is a feeling that REDD+ and MRV have not necessarily been 'demystified'.

There are big differences between countries. One respondent felt that very few monitoring people know UNFCCC criteria, and very few UNFCCC people understand the technical capacities and needs. It appears that there is only a very small group who understand the technical MRV discussions well. One respondent felt that reference levels have been demystified more than MRV has been.

Progress in technical support delivery varies between countries.

In general, the FCPF is thought to be making systematic, but slow progress. Indonesia and Guyana show remarkable progress. Progress in technical support delivery varies greatly between channels. CBFF support is considered to have suffered greatly due to mismanagement by AfDB and lack of UK and Norway involvement in this respect. UN-REDD is felt to be ad-hoc and to lack a clear goal. UN-REDD is starting to be more engaged in MRV and readiness and is very active in many countries in a positive way. GEO FCT is considered to have made little progress despite worthwhile goals as they are too far removed from the reality of UNFCCC. Conversely, the Meridian reports are felt to be helpful and to give good theoretical background. Guyana and Indonesia are considered to have been successful in changing attitudes.

Differences in financing and geography contribute to the differences in technical support delivery.

It is felt that the countries that have bilateral agreements with Norway have good financing, while other countries struggle both with finance and in establishing good MRV systems. There are also differences in landscape and nature that makes some MRV systems harder or easier to develop. For example, DRC is vast and faces problems with infrastructure, while a country like Guyana with much funding, low population and area has other prerequisites for developing MRV systems. One respondent felt there is a wide variation in progress, based on the initial starting point of each country, domestic capacity, outside support, and ownership/ buy-in of the government and stakeholders.

Bilateral, multilateral, South-South and GEO channels of support vary in effectiveness.

One respondent considered bilateral channels (such as the partnerships with Tanzania and Guyana) more direct and attributable than multilateral channels. This respondent felt that bilateral channels are more likely to involve a working relationship, which is more effective

than 'just giving money' and so are likely to be higher quality. This respondent felt that South-South cooperation is important and that GEO is the least effective of all so far.

There are examples of shortfalls in the communication of lessons learned.

Some countries do not know how to become engaged. There is a feeling that NICFI should try to stimulate the debate on MRV between practitioners and the scientific community. One respondent felt that the international community could do a much better job in collecting, synthetizing and disseminating experiences.   This respondent felt that messages and guidance to countries need to be more uniform and less conflicting. GEO could potentially do much in this. GEO-GFT seems to be a good framework for exchanging information, but its focus is slightly different to NICFI's. Identification and communication of lessons should be strengthened within NICFI. It is also felt that even if lessons have been communicated, the audience has been too small. One respondent felt that as Norad and NICFI have not been good at collecting and sharing lessons learned, grantees have been doing major part of this work themselves. This respondent felt that WWF has piloted some of the best ways of communicating and sharing information and knowledge on MRV, through reports, workshops, development of different systems, and through the learning and sharing community: www.reddcommunity.org

One respondent felt that overall there has been good sharing of lessons learned but there is still a lot more than could be done for gathering very broad lessons that could apply in a variety of situations. As an example, this respondent stated they were unsure whether many of the MRV lessons to date have made it very clear how payment for performance can be implemented outside of a bilateral agreement.

There appears to be is a lack of awareness of what communications are taking place. Two respondents were unsure where to look for information, but felt that information would be available through an internet search, for example. Similarly, another respondent had not come across materials, but felt that NICFI has a great opportunity to identify and communicate lessons learned, given their support for so many initiatives.

As sources of information for Forest Carbon Partnership Facility (FCPF) staff, research reports are less important than dedicated workshops, COP side events, technical reports and dialogue with other countries that are developing MRV. On a scale of 'critical', 'important', 'unimportant' and 'marginal', these sources of information were considered 'important', while scientific research papers were considered 'marginal' as they are too slow to be published.

Efficiency

NICFI should invest more on people in Norway and on technical and political capacity development to improve NICFI's MRV support activities.

Competence within NICFI is seen to be limited. One respondent felt that as there is no REDD+ panel in Norway to advise NICFI, a national REDD+ centre should be established by NICFI. This, however, is constrained by the fact that it cannot be funded by development money, which must be spent abroad. There are felt to be inadequate staffing numbers in Norway. Too few people from NICFI have actively been involved and there is little control and coordination of NICFI investments. Another respondent noted that NICFI has made considerable achievements considering the low staff numbers. Similarly, another respondent felt that NICFI's efforts are under resourced.

NICFI has used funding efficiently, but there are exceptions and efficiency varies between countries

One respondent felt that NICFI has 'saved' REDD and kept it in consideration. Another felt that NICFI has used funding well in a transparent and sharing manner, but has been constrained by the trial and error nature of the developments in many places, which is unavoidable considering that these are new processes with a low level of existing knowledge. One respondent felt that the level of efficiency achieved depends on the country so cannot be answered in general terms. One respondent felt that needs assessments and prioritisation have probably not been sufficient but it is difficult to define what the needs are. This respondent felt that this is partly in the nature of piloting, and based on the experience gained, it should now be possible to improve this.

NICFI is targeting high priority areas, but may have focussed on some overly-ambitious areas, thus creating new problems.

MRV is considered more important than reference levels. One respondent felt that the rules to establish reference levels should be provided by politicians due to the political nature of certain aspects, such as the meaning or interpretation of 'national circumstances'. Another respondent felt that while every country has a need for MRV and reference levels, the priority is for high deforestation countries, as is currently acknowledged by NICFI. One respondent felt that too much effort has gone into overly ambitious technical components within MRV, with the result that a lack of technical guidance rather than money, is now the main problem.

The extent of cooperation, coordination and harmonisation with other actors is generally moderate to high, but improvements are required.

One respondent, however, felt that given the many channels that are used, NICFI should require or facilitate better coordination and more exchange of lessons learned. This respondent stated that in some countries governments have not been able to coordinate. Another respondent felt that more coordination could be facilitated among the different channels, such as FCPF and UN-REDD, and bilateral efforts in same countries. This respondent noted that the situation as it is puts too much burden on countries to coordinate, which leads to inefficiencies.

One respondent felt there was certainly room to improve coordination by working with other donors and REDD+ countries to assess where gaps in support lie and how these can be fulfilled. Another respondent felt that while Norway has achieved much, more synergies should be created. There is an opportunity for Norway to give clearer instructions to their technical partners, such as FAO in DRC, in order to avoid duplication of efforts and to promote more cooperation with donor activities that are already being implemented on the ground. If Norway were to increase the supervision of their technical providers, more regional cooperation could be promoted. This respondent felt that FAO has started processes 'from scratch' despite existing work that they could make use of to work more efficiently.

Where problems in communication exist, it is not singly the fault of NICFI and better use should be made of existing forums. One respondent felt that the problem of communication should be blamed on all parties. All donor agencies and technical partners should be more active to identify what others are doing and promote more country and regional cooperation. This respondent felt that regional coordination is more effective than international coordination, given the particularities of different regions. There are already a lot of forums available for communication to take place, such as SBSTA and the REDD+ partnership, so there is no need to create a new bureaucratic venue, but existing ones should be improved.

Sustainability of NICFI work track activities

Overall, sustainability varies from country to country and opinions vary on the situation within countries.

One respondent stated that Mexico's system is sustainable as Mexico already allocates substantial domestic resources. According to this respondent, in Indonesia, where work has been very dependent on external support, the risk of non-continuation is high, and in DRC even higher. Indonesia and DRC are considered to be ten to twenty years behind Mexico in this respect. This respondent felt that improving governance and sustainability are complex issues and goes along with long-term improvement of governance. Conversely, another respondent felt sustainability is high in Indonesia (and also Vietnam) as they receive a high level of support from elsewhere. This respondent felt that some countries, including Guyana, would be drastically affected if NICFI funding were to end, due to their reliance on NICFI.

The added value of NICFI-supported systems and outcomes is generally considered to be high.

It is felt to be likely that the countries that are further advanced in terms of their use of data for forest management are gaining more additional benefits in improved forest management. These include economic benefits. One respondent felt NICFI has contributed immensely to the conservation of forest and ecosystem services, and the need for sustainable forestry. This respondent stated that NICFI had a very big impact. Another cited the high level of focus on co-benefits and governance as examples of the added value of NICFI-supported MRV systems and outcomes. One respondent felt that NICFI support has stimulated work that is not sufficiently appreciated, such as national forest inventories and information systems and that this work has also increased transparency, which they noted as important.

Continued NICFI funding is vital for MRV systems in certain countries, particularly African states, which would benefit from better natural resource management, as instigated by REDD+, for other economic reasons as well as carbon payments.

One respondent felt that MRV systems are likely to collapse in the absence of revenue from REDD+ in poor and less well-organised countries such as Tanzania. It is felt that African REDD+ countries need to manage their resources better for economic reasons (in addition to carbon) and therefore they need better MRV and forestry inventory systems. Active forest management is becoming an important issue now. To ensure sustainability it is important that the information generated through MRV systems is used and provides economic benefits. MRV should therefore not only serve carbon reporting but also natural resources management. It is felt that many European countries are financing the development of very sophisticated and complex systems that only the consultants hired are able to implement.

Annex 14 – Evaluation Framework

Questions	Judgement Criteria	Indicators	Data sources	Potential for benchmarking; quantitative assessment?	Level of assessment	Activity thread for data collection
RELEVANCE The extent to which the NICFI MRV work track is consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies. Whether the NICFI MRV work track has remained appropriate given evolving policy conditions (domestic, international)						
Is the NICFI REDD+ MRV work track consistent with global REDD+ priorities?	Consistency with UNFCCC priorities	- Coherence with and response to signals from the UNFCCC / SBSTA - Timeliness of activities / responses -Uptake in UNFCCC / SBSTA texts	-UNFCCC / SBSTA texts/ documents - NICFI decision documents - Programme documents - NICFI Interviews - Stakeholder Interviews	Survey of international level informants?	Inputs, outputs, outcomes	10 UN-REDD and all country studies
	Consistency with global priorities as REDD+ evolves	- Choice of partners -Flexibility and adaptability -Focus of activities	-NICFI decision documentation -Programme documentation - Informant interviews - NICFI interviews	No	Inputs, outputs	3, 10, 11 UN-REDD and all country studies
Is the NICFI MRV work track well aligned with Norwegian priorities and guidelines?	Coherence with Norwegian priorities	- Consistency with Norway's Climate Policy - Consistency with Norway's Development Policy - Refinements made in line with any changes in policy -Coherence with other Norwegian policies -Coherence with other Norwegian aid activities	- Norwegian policy documents -NICFI planning / decision documents -Informant interviews	No	Inputs, outputs	3, country studies

	Alignment with Norway's position on emerging MRV and REL / RL scope and modalities	- MRV systems developed are national in scope (or sub-national as an interim measure) - Integrated with national inventories - Compliance with international requirements - Stepwise approach	- Programme documentation - Informant interviews - Norway's UNFCCC submissions	Might be possible from planning documents	Outputs	UN-REDD and all country studies
Is the NICFI REDD+ MRV work track consistent with partner priorities and needs? (multilateral institutions, country partners)	Alignment of the work track with partners' priorities and needs	- Process for identifying partner needs - Work track reflects partner needs - Extent and quality of contact with partners - Evidence of participatory/ collaborative design - Work track design takes account of partner's policies and objectives	- Programme documentation - Informant interviews - NICFI interviews	Summary question in informant interviews?	Inputs, Outputs	UN-REDD and all country studies
	Consistency with partners' priorities as REDD+ evolves	- Choice of partners -Flexibility and adaptability -Focus of activities	-NICFI decision documentation -Programme documentation - Informant interviews - NICFI interviews	No	Inputs, outputs	3, 10, 11 UN-REDD and all country studies
EFFECTIVENESS The extent to which the selected interventions have attained or are likely to attain their objectives, taking into account their relative importance						
Has the NICFI MRV work track contributed to UNFCCC level delineation and agreement on the scope and modalities of MRV and RELS / RLs for REDD+?	Consensus building activities /direct inputs to the UNFCCC	-Number and timing of reports commissioned and produced - Number and timing of submissions to SBSTA -Perceived contribution of outputs to the international debate -Recognition and awareness of work track amongst	- Reports (REDD+ OAR; RELS, RLs etc.) and other outputs -Norway's submissions to SBSTA -Partners' submissions to SBSTA	Survey of International level informants?	Inputs, Outputs, Outcomes	10, 11

		UNFCCC negotiators -Reference to MRV work tracks in UNFCCC submissions and meetings -Evidence of work tracks influencing SBSTA/UNFCCC decisions	-Informant interviews -NICFI interviews			
	Piloting of systems	-Lessons from work track communicated to UNFCCC negotiators - Use of lessons / knowledge in submissions (Norway's and other countries) - Awareness of pilots systems amongst UNFCCC negotiators - Perceived value/influence of pilot systems amongst UNFCCC negotiators	-Project / Initiative documentation - Norway's submissions to SBSTA -Partners' submissions to SBSTA -Informant interviews -NICFI interviews	Survey of International level informants?	Inputs, Outputs, Outcomes	10, 11 UN-REDD and all country studies
Has the NICFI MRV work track contributed to progress in the development of national level MRV and the establishment of RELS / RLS?	Institutional framework	-Identification of institutional needs - Clarity and functionality of institutional structures - Size and efficacy of institutional framework including inter-agency collaboration - Ability to deliver outcomes - Extent of engagement of relevant agencies - Degree of overlap / duplication -early indicators of sustainability	- Programme documentation - Informant interviews	Yes in terms of basic numbers and hierarchy	Inputs, Outputs, Outcomes	UN-REDD and all country studies
	Degree of capacity improvement	- Number of personnel trained - Quality and appropriateness of training provided	- Programme documentation - Informant interviews	Yes in terms of basic numbers and hierarchy	Inputs, Outputs, Outcomes	UN-REDD and all country studies

	Establishment of / improvements to system components for MRV	- Enhanced reporting capacity - Reduced need for outsourcing - Identification of technical needs - Identification of MRV gaps and country-appropriate requirements - Enhanced technology/infrastructure for MRV - Enhanced remote sensing capabilities/access to RS data - Enhanced carbon stock assessment - Remaining gaps in capacity for MRV	- Baseline documentation - Programme documentation - R-PPs - Informant interviews	Yes	Inputs, Outputs, Outcomes	UN-REDD and all country studies
	Establishment of REDD+ RELS / RLs	- Understanding of RELS / RLs - Planning for establishment of RELs / RLS - RELS / RLs, or initial products, developed	- Programme documentation - R-PPs - Informant interviews	Yes	Inputs, Outputs, Outcomes	UN-REDD and all country studies
Are the MRV systems and RELS / RLs being developed robust enough to operate a performance-based mechanism?	Quality of the systems being developed	- Creation of plans for system development that are implementable and fundable - Comply with international guidance/GPG - Alignment with IPCC GPG guidance -Plans / systems are suitably transparent for performance based payments	- Project/programme design documentation - Informant interviews	No	Inputs, Outputs,	UN-REDD and all country studies
Are the bilateral approaches (noting their distinct approaches and rationale) effective as	Model development	- Transparent and participatory process in the development of the model - Creation of the necessary	- Baseline documentation - Programme documentation	No	Inputs, outputs, outcomes	country studies

pilot models? (Guyana - MRV system, REL establishment from scratch; Brazil- results based payments; Tanzania mixed REDD+ projects and GEO)		components for an MRV system - The system is compliant with international guidance - Establishment of RELs / RLs - Establishment of results based payments	- Informant interviews			
	Transferability (suitable exemplar or special case?)	- Adoption of model by other countries - Perceived transferability of methods / systems trialled - Perceived relevance of methods / systems developed to other countries	- Programme documentation - Informant interviews	Summary question in informant interviews?	Outcomes, Impact	10,11, UN-REDD and all country studies
	Momentum building	- Demystification of REDD+ MRV - Extent to which demonstration of results based payments is perceived as an incentive for MRVs development by other countries -Extent to which demonstrations encourage participation by other countries	- Programme documentation - Informant interviews	Summary question in informant interviews?	Outcomes, Impact	UN-REDD and all country studies
Has the technical support provided been of high quality?	Availability of technical support	-accessibility -appropriate -tailored	- Programme documentation - Informant interviews	No	Inputs	UN-REDD and all country studies
	Modality of technical support provision (-NICFI Secretariat directly -UN-REDD / FAO -hired consultants)	- Perceived relative value	- Programme documentation - Informant interviews	Summary question in informant interviews?	Inputs	UN-REDD and all country studies
Have lessons been	Communication	- Processes for collection	- Programme	Summary question	Inputs,	10, 11

collected and effectively communicated?		and communication of lessons - Communication materials/presentations - Awareness of model by intended audience - Degree of stakeholder buy-in	documentation - Informant interviews	in informant interviews?	outputs, outcomes	UN-REDD and all country studies
EFFICIENCY How economically resources/inputs (funds, expertise, time, etc.) are converted to results						
Are the decision making, governance, and administration processes of the NICFI MRV work track efficient?	Decision making processes of NICFI and its partners	- Processes are logical (clear linkages between inputs, outputs, and intended outcomes) - Decisions are evidence based - Decision making process at appropriate speed	- Programme documentation - NICFI interviews	No	Inputs	3 UN-REDD and country studies
	Governance	- Clear direction - Clear linkages between the MRV track and the rest of the NICFI activities	- Programme documentation - NICFI interviews	No	Inputs	3
	Administration	- Timeliness of disbursements - Clarity of the budgetary reporting - Clarity of documentation and reporting - Timeliness and quality of monitoring and reporting	- Programme documentation - Informant interviews -NICFI interviews	No	Inputs, Outputs	3 UN-REDD and all country studies
Is the NICFI MRV work track appropriately resourced?	Financial	- Funding needs - Funding gaps	- Programme documentation - Informant interviews -NICFI interviews	No	Inputs	3 UN-REDD and all country studies
	Human	- Adequate time allocated - People with the right expertise available and used	- Programme documentation - Informant interviews -NICFI interviews	No	Inputs	3 UN-REDD and all country studies

Is the funding used efficiently?	Programme costs	- Transaction costs - Proportion of funding reaching recipient countries	- Programme documentation - Informant interviews	Quantitative assessment of % of funding reaching recipient countries (though funding documentation likely to be limited). Also benchmarking of MRV costs compared to published estimates of costs (e.g. Herold estimates)	Inputs	3 UN-REDD and all country studies
	Targets greatest priorities	- Prioritisation process	- Programme documentation - Informant interviews	No	Inputs	3 UN-REDD and all country studies
Is there efficient harmonisation, co-operation, co-ordination?	Extent of cooperation, coordination, harmonisation	- Within NICFI - Between NICFI and its partners - Within and among partners -Between NICFI MRV work track / its programmes and other programmes of Norway - Between NICFI MRV work track / its programmes and /other donor activities	- Programme documentation - Informant interviews - NICFI interviews	No	Inputs	3 UN-REDD and all country studies
SUSTAINABILITY The continuation of benefits from a development intervention after major development assistance has been completed. The probability of continued long-term benefits. The resilience to risk of the net benefit flows over time						
Are the outputs and outcomes from the MRV work track likely to continue in the absence of NICFI support?	Likelihood of outputs and outcomes continuing	- Provision for maintaining a continued trained personnel - Prevalence of brain-drain -Intrinsic value -balance of MRV establishment costs with potential for generating results based payments	- Programme documentation - Informant interviews	No	Outputs, Outcomes	UN-REDD and all country studies

	Added value	- Support forest resource management - Spill-over effects from MRV transparency - Institutional reform - Policy reform - Evidence of forest resource managers utilising MRV outputs - Forest management promoted/increased as a result of MRV work track	- Programme documentation -Policy documentation - Informant interviews	No	Outputs, Outcomes	UN-REDD and all country studies
IMPACT Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended						
Is the NICFI MRV work track aligned with the achievement of NICFI core climate and development goals?	Contribution to the inclusion of a REDD+ in a post-2012 climate regime	[Use the indicators in the NICFI strategy, if these have been developed]	Evaluation desk review and field work results	No	Anticipated outcomes and impact	Internal results workshop
	Contribution to cost-effective and verifiable reductions in GHG emissions	[Use the indicators in the NICFI strategy, if these have been developed]	Evaluation desk review and field work results	No	Anticipated outcomes and impact	Internal results workshop
	Contribution to conservation of natural forests to maintain their carbon storage capacity	[Use the indicators in the NICFI strategy, if these have been developed]	Evaluation desk review and field work results	No	Anticipated outcomes and impact	Internal results workshop
	Potential for poverty alleviation and sustainable development adequately captured	[Use the indicators in the NICFI strategy, if these have been developed]	Evaluation desk review and field work results	No	Anticipated outcomes and impact	Internal results workshop

Interview Protocol – Detailed Version

Introduction

[This can be shortened or altered to fit the audience]

- Who we are – intro to the consortium*

- Intro to the evaluation – as a whole**; current ***

- Public report in the summer and public seminar

- Comments on and off the record

*Real-time Evaluation of Norway's International Climate and Forest Initiative (NICFI) team - consortium made up of LTS International and Ecometrica from UK, Indufor from Finland and the Christian Michelsen Institute from Norway.

** Previously worked on the Initiative's contributions to Global REDD+ Policy; to the development of national RFEDD+ Strategies in 5 countries; and support to civil society organisations.

***We are currently engaged in an evaluation of the NICFI work on REDD+ measurement, reporting, and verification (or MRV) and Reference Levels. NICFI supports REDD+ MRV and Reference Levels through a variety of channels and at a range of scales:

- Through contributing to submissions to the UNFCCC and consensus building research intended to inform the negotiations;

- Through four multilateral channels:

  i.   UN-REDD programme – the FAO-led activities (global programme and country activities)

  ii. FCPF – grants to country participants to develop MRV systems and Reference levels

  iii. GEO – satellite data acquisition and accessibility,

  iv. The Congo Basin Forest Fund (particularly a sizable grant to COMIFAC to develop MRV systems in COMIFAC countries through a regional approach); and

- Through bilateral partnerships with Guyana, Indonesia, Tanzania, and Vietnam, that pilot approaches, systems and processes for MRV system development.

The focus of the evaluation is on the institutional, capacity, and economic perspectives, and less on the technical detail (though we will be covering progress in developing the components of MRV systems). We're collecting data across all of these channels and in four key REDD+ countries, with the aim of looking at what is working, what has not worked and to ascertain if possible the reasons for this. This should then lead to identification of lessons across the full spectrum of modalities for support.

Scene Setting

[International Informants] Channels / countries familiar with

- Which of the following countries/ activities/ multilateral channels are you familiar with in relation to MRV / REL/RLs activities?

    o Party submissions to SBSTA on MRV/RELS /RLS

    o The Meridian reports (REDD OAR; report on RELs / RLs published before Durban; CIFOR GOFC GOLD report on drivers published before Doha)

    o UN-REDD Global and national activities

    o FCPF

    o GEO GFT (global data access and processing methodologies, national 'demonstrations')

    o CBFF – incl. COMIFAC regional MRV project

    o Guyana

    o DRC

    o Tanzania

    o Indonesia

[National Informants] Overview of the MRV system:

- Invite interviewees to outline the following in summary:

- The process (key steps) so far of developing MRV System and REL / RL

- Progress made so far and current state of development with MRV and reference levels?

- Also your involvement in MRV and RL/REL development

- Key stakeholders

- Key funders in addition to Norway

[National Informants / Multilateral Institutions] Confirming The Evaluation Object:

For each of the NICFI supported strands could you please confirm the following in relation to the work on MRV and REL/RLs:

- Scope of activities
- purpose,
- objectives,

- key activities
- Fit within development of overall system
- funding (overall; from NICFI);
- other key funders,
- key stakeholders

Guyana	Indonesia	DRC	Tanzania	UN-REDD	GEO	CBFF
FCPF	FCPF	FCPF	FCPF	Global FAO-led activities	Global activities	COMIFAC regional MRV project
UN-REDD	UN-REDD	UN-REDD	UN-REDD	National activities	Country specific activities in GY, IND, DRC, TZ	Projects in DRC with MRV elements
GEO	GEO	GEO	GEO			
GY-NO bilateral	IND-NO bilateral	CBFF	NO embassy-administered projects			

NOTE: getting hold of the funding information my require follow up by email as most interviewees won't have this to hand. They will also probably find it hard to differentiate activities between the funding channels – we can only try!

Question 1 – What has been done so far in relation to REDD+ MRV and RL/RELs?

[National Informants]

- What is the MRV institutional framework, which institutions involved and what are their roles? How was this framework developed? [5]

- What capacity building was / is needed? For whom? How was this identified? What has been done to develop this? Any evidence of impact – training being put into use / new abilities to do things? Documented evidence of this? [5]

- What is the progress in developing the technical components of the MRVS / REL / RL? [5]

- What technical support have you required? Who do you go to for technical support? Which channels use most? (e.g. multilaterals, NICFI Secretariat, consultants) Which have worked best for you? [8a]

  Quantitative question: On scale 1 – 4 (1=low, 4 = high) what has been the quality of the technical support provided through NICFI channels? Please give a score for each one.

- Which channels of support have been most effective in achieving results? Is it easier to make progress through some than others? Comparison with other countries you know of? Views on progress of other countries through these? [8b] [Possible prompt: UN-REDD national programmes, UNREDD global programme, FCPF, GEO, CBFF, bilateral, other]

- Are MRV and RL exemplars/pilots (e.g. Guyana etc.) influential and transferable? [7] [Do other countries intend to follow elements of the pilot models? Which elements in particular?]

- Where do you get your information on MRV developments?

Please rank the following according to where you get your information on MRV developments:

Learning Opportunity	Critical	Important	Marginal	Unimportant
Side events at the COP				
Research reports, specify main ones				
Dialogue with other countries that are developing MRV systems				
Dedicated workshops and meetings, specify if possible				
Technical support providers (if so, which)				
Others?				
Others?				

- What do you do in terms of identifying lessons from the development of your MRV systems / establishment of REL / RL? How do you communicate these lessons to others? [9] How well do others within the evaluation object (including the NICFI Secretariat) communicate lessons on MRV / REL development?

  Quantitative question: On scale 1 – 4 (1=low, 4 = high) how well have lessons been collected and communicated? Score for each element in the evaluation object that interviewee is familiar with

- Do you think the work you've been undertaking is contributing to the development of MRV / RELs /RLs at the international level / UNFCCC level? In what way? Examples? [4]

[International Actors / Donors]

- What is your general impression on the progress that is being made on developing the following in relation to the channels / countries you are familiar with:

  o   MRV institutional frameworks;

  o   MRV capacity building;

  o   Developing the technical components of MRVs / REL / RLs. [5]

- What is your impression on the rate and quality of progress being made each of the through each of the channels / countries you are familiar with? Are there differences between the channels / countries? If so what is the reason for this? [8b]

- Are MRV systems / MRV plans being developed transparent enough, implementable and fundable? Of sufficient quality for results-based payments? [6]

- Are MRV and RL exemplars/pilots (e.g. Guyana etc.) influential and transferable? [7] [Do other countries intend to follow the pilot models?] Which elements / country models in particular?

- To what extent has there been a 'demystification' of REDD+ MRV and REL/ RLs over the years since REDD+ became part of the international and national agenda? **YES/NO**?

If yes, please rank the following in terms of how you think they have contributed to this:

Activities and Actions	Critical	Important	Marginal	Unimportant
Piloting of stepwise approach to MRV system development (Guyana bilateral agreement)				

Technical guidance and support work of the multilateral institutions (particularly FCPF, UN-REDD)

National experience – 'learning by doing'

Meridian reports / CIFOR GOFC GOLD report on drivers

Add others?

- Where do you get your information on MRV developments?

    Please rank the following according to where you get your information on MRV developments:

Learning Opportunity	Critical	Important	Marginal	Unimportant
Side events at the COP				
Research reports, specify main ones				
Dialogue with other countries that are developing MRV systems				
Dedicated workshops and meetings, specify if possible				
Technical support providers (if so, which)				
Others?				
Others?				

- How good is the identification and communication of lessons from the development of your MRV systems / establishment of REL / RLs? How well do the countries / channels within the evaluation object (including the NICFI Secretariat) communicate lessons on MRV / REL development? [9]

    Quantitative question: On scale 1 – 4 (1=low, 4 = high) how well have lessons been collected and communicated? Score for each element in the evaluation object that interviewee is familiar with

- What has been the contribution to international agreement on MRV rules and modalities of the NICFI MRV portfolio? [4] [Possible prompt: through consensus building; submissions to UNFCCC; piloting systems; general country progress etc.].

    Quantitative question: On scale 1 – 4 (1=low, 4 = high) how much influence has NICFI been in shaping international agreement on MRV and RL rules and modalities?

    Please rank the following in terms of how valuable you consider that these have been for the development of MRV at the UNFCCC level:

Question	Critical	Important	Marginal	Unimportant
Establishment of the first national REDD+ reference level (Guyana bilateral agreement)				
Establishment of interim measures system to report on results (Guyana bilateral agreement)				
Piloting of stepwise approach to MRV system development (Guyana bilateral agreement)				
Norway's submissions on MRV and RELs/ RLs				
Partner countries' submissions on MRV / RELs / RLs				
UN-REDD / FAO Global and national activities				
Add Others?				

Question 2 – How relevant is NICFI's support for achieving UNFCCC, Norwegian, and partner objectives?

[National Actors]

- How aligned is NICFI's MRV/RL support with partners' needs and priorities (policies and national priorities and objectives, existing systems and institutions; UNFCCC level? [3] [I.e. country partners or target beneficiaries]

[International Informants / Donors]

- How aligned is NICFI's MRV/RL support with UNFCCC priorities and the REDD+ debate? Has the timing of activities been appropriate for generating timely results and information? [1a1b]

- Currently UNFCCC debate and discussion considers that MRV systems should focus on carbon as a means to secure results-based payments. Some developing countries and other actors believe that MRV should be expanded to include information on safeguards and co-benefits. To what extent do you feel MRV systems should be expanded to include these wider issues?

Not at all, the current priority is to develop a system for carbon flux measurement
They should be considered to the extent that the MRV systems can be adapted to
include them at a later date
We should be including these at a pilot level already
We should widen MRV systems to include full coverage of these aspects now

Question 3 – How efficient is NICFI's support for MRV and RL/RELs?

[National Actors / Multilateral Institutions]

- Have NICFI decision-making, governance, and administration processes been efficient? How good is communication with NICFI, What is the administrative process with Norway like?[10]

- Do you think the funding has been used efficiently? [12a] [Are the outputs right for the amount of funding provided?]

- How much time and expenditure is spent on MRV / RELs/RLs compared with other readiness activities?

< 25% budget	25-49% budget	50-75% budget	>75% budget
< 25% time	25-49% time	50-75% time	>75% time

- Do you think the level and balance of funding allocated to MRV establishment of RELs/RLs has been appropriate? [11a] [Are there areas that are over funded or need more funding, e.g. capacity building, technical infrastructure, ground-based data etc. Is the balance of funding right compared to other areas of REDD+ development, e.g. land reform, safeguards, payments systems etc?]

- Please tick the response that most adequately corresponds with your views on the level of time and funding allocated to MRVS and REL / RL establishment

View or Opinion   **Budget   Time**

The balance of time and financial resources allocated to MRVs and REL / RL establishment compared with other Readiness activities is too low

The balance of time and financial resources allocated to MRVs and REL / RL establishment compared with other Readiness activities is appropriate and justified

The balance of time and resources allocated to MRVs and REL / RL establishment compared with other Readiness activities could be reduced somewhat without prejudicing progress

The balance of time and resources allocated to MRVS and REL / RL establishment compared with other Readiness activities is excessive and MRV expenditure should be cut back and resources allocated elsewhere (if so, please specify)

- Has the human resourcing for NICFI's MRV support activities been appropriate? [11b]
  [Have the right number of people and level of expertise been used? At country level / Within the NICFI Secretariat?]

- How do you assess needs and prioritise allocation of funding in relation to MRV / REL? ? [12b] [Are there areas that could be improved]

- Have NICFI activities been sufficiently co-ordinated with other actors and agencies? [13] [How could co-ordination be improved?]

  Quantitative question: On scale 1 – 4 (1=low, 4 = high) how well have NICFI activities been co-ordinated with other actors and agencies?

[International Informants / Donors]

- Do you think the funding has been used efficiently? [12a] [Are the outputs right for the amount of funding provided?]

- Do you think the level and balance of funding allocated to MRV establishment of RELs/RLs has been appropriate? [11a] [Are there areas that are over funded or need more funding, e.g. capacity building, technical infrastructure, ground-based data etc. Is the balance of funding right compared to other areas of REDD+ development, e.g. land reform, safeguards, payments systems etc?]

- Please tick the response that most adequately corresponds with your views on the level of time and funding allocated to MRVS and REL / RL establishment

View or Opinion	Budget	Time
The balance of time and financial resources allocated to MRVs and REL / RL establishment compared with other Readiness activities is too low		
The balance of time and financial resources allocated to MRVs and REL / RL establishment compared with other Readiness activities is appropriate and justified		
The balance of time and resources allocated to MRVs and REL / RL establishment compared with other Readiness activities could be reduced somewhat without prejudicing progress		
The balance of time and resources allocated to MRVS and REL / RL establishment compared with other Readiness activities is excessive and MRV expenditure should be cut back and resources allocated elsewhere (if so, please specify)		

- Has the human resourcing for NICFI's MRV support activities been appropriate? [11b]
  [Have the right number of people and level of expertise been used? At country level / Within the NICFI Secretariat?]

- How do you assess needs and prioritise allocation of funding in relation to MRV / REL?
  [12b] [Are there areas that could be improved]

- Have NICFI activities been sufficiently co-ordinated with other actors and agencies?
  [13] [How could co-ordination be improved?]

  Quantitative question: On scale 1 – 4 (1=low, 4 = high) how well have NICFI activities been co-ordinated with other actors and agencies?

Question 4 – How sustainable are the MRV systems and RL/RELs being established?

[All interviewees]

a. Are the outcomes from NICFI supported activities likely to continue after funding ends?
   [14a]

   Quantitative question: On scale 1 – 4(1=low, 4 = high) how likely are the outcomes from NICFI supported activities likely to continue after funding ends?

b. Do the NICFI supported systems and outcomes have additional or wider benefits?
   [14b] [E.g. improved forest management; law enforcement; improved transparency; institutional restructuring etc] No regrets focus?

   Quantitative question: On scale 1 – 4 (1=low, 4 = high) how significant are the additional or wider benefits from NICFI supported systems and outcomes?

Final Question

a. Is there anything else that you would like to comment on in relation to MRV and reference levels, or the NICFI support in this area – particularly any other lessons or recommendations for NICFI?

Thank you very much for your participation.

Activity 5 CBFF /   DRC

o   Scope:

- The CBFF COMIFAC regional project as a whole (includes all countries involved)
- Other CBFF MRV related projects in DRC
- UNREDD and FCPF MRV activities in DRC
- GEO project activities in DRC
- Any relevant Civil Society Fund projects on MRV in DRC

o   Evaluation object summary

For each project or funding modality please create a separate version of the table below and provide information on objectives, timescale, key activities, key outputs so far, costs

Modality/project
Purpose and
objectives
Timescale
Funding
Key activities
Key outputs so far
Notes

○ <u>Baseline and comparison with 2013 situation</u>

Key requirement	Indicator	Baseline 2009 (From Herold 2009)	Status in 2013
		See Herold 2009 for the baseline scores (Appendix A, p27).[50]	See Table 2 of the supplementary templates for the categories to use
GHG inventory — Understanding of international UNFCCC negotiations and REDD process	Engagement in UNFCCC REDD process		
Forest monitoring capacities — Forest area change monitoring capacity	Forest area change time series & Remote sensing capabilities		
Carbon stock assessment	Forest inventory capacities (growing stock and/or biomass)		
	Reporting on carbon for different pools		

Questions	Judgement Criteria	Indicators	Data sources	Notes	Level of assessment	Composite brief this information will contribute to

<mark>**RELEVANCE** The extent to which the NICFI MRV work track is consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies. Whether the NICFI MRV work track has remained appropriate given evolving policy</mark>

conditions (domestic, international)						
1. Is the NICFI REDD+ MRV – REL/RL work track relevant to the UNFCCC negotiations and the evolving global REDD+ debate ?	1a.Relevance to UNFCCC priorities	Coherence with, and response to, signals from the UNFCCC / SBSTA work track Timeliness of activities / responses	UNFCCC / SBSTA texts/ documents NICFI decision documents Programme documents NICFI Interviews Stakeholder Interviews	Please look for evidence that UNFCCC decisions were explicitly discussed/considered in NICFI COMIFAC// country decision-making processes	Inputs, outputs, outcomes	International contributions
Evidence • … • … • …						
1. Continued Is the NICFI REDD+ MRV –REL/RL relevant to the UNFCCC negotiations and the evolving global REDD+ debate?	1b.Consistency with the evolving global REDD+ debate	Choice of partners Flexibility and adaptability Focus of activities Targets priority countries	NICFI decision documentation Programme documentation Informant interviews NICFI interviews	Please look for evidence that evolving REDD+ issues and priorities (e.g. shift towards landscape approaches) were explicitly discussed/considered in NICFI / country decision-making processes	Inputs, outputs	International contributions, country briefs
Evidence • … • … • …						

2. Is the NICFI MRV work track well aligned with Norwegian priorities and guidelines?	2b.Alignment with Norway's position on emerging MRV and REL / RL scope and modalities	MRV systems developed are national in scope (or sub-national as an interim measure) Integrated with national inventories Compliance with international requirements Stepwise approach Strength of focus on capacity building Strength of focus on institutional strengthening	Programme documentation Informant interviews Norway's UNFCCC submissions	Please look for evidence that these aspects are included in country MRV / REL/RL development	Outputs	NICFI governance, Country briefs
Evidence • … • … • …						
3. Is the NICFI REDD+ MRV work track consistent with partner priorities and needs? (multilateral institutions, country partners)	3a.Alignment of the work track with partners' priorities and needs	Process for identifying partner needs Work track reflects partner needs Extent and quality of contact with partners Evidence of participatory/ collaborative design Work track design takes account of partner's policies and objectives Alignment with existing systems and institutions Extent to which partners regard MRVs development as a priority compared with other elements of REDD+	Programme documentation Informant interviews NICFI interviews		Inputs, Outputs	UN-REDD and all country studies

			readiness Perceptions on the difficulty involved in setting up an MRV system			

Evidence

- …
- …
- …

3. Continued Is the NICFI REDD+ MRV work track consistent with partner priorities and needs? (multilateral institutions, country partners)	3b.Consistency with partners' priorities as REDD+ evolves	Choice of partners Flexibility and adaptability Focus of activities	NICFI decision documentation Programme documentation Informant interviews NICFI interviews	Please look for evidence that activities have been adapted as the national REDD+ agenda has evolved / developed	Inputs, outputs	Country briefs

Evidence

- …
- …
- …

Questions	Judgement Criteria	Indicators	Data sources	Notes	Level of assessment	Composite brief this information will contribute to

Questions	Judgement Criteria	Indicators	Data sources	Notes	Level of assessment	Composite brief
4.Has the NICFI MRV work track contributed to UNFCCC level delineation and agreement on the scope and modalities of MRV and RELS / RLs for REDD+?	4a. Consensus building activities /direct inputs to the UNFCCC	Number and timing of reports commissioned and produced Number and timing of submissions to SBSTA Perceived contribution of outputs to the international debate Recognition and awareness of work track amongst UNFCCC negotiators Reference to MRV work tracks in UNFCCC submissions and meetings Evidence of work tracks influencing SBSTA/UNFCCC decisions Uptake in UNFCCC / SBSTA texts Partner country contributions to the UNFCCC debate on MRV and RELs / RLs	Reports (REDD+ OAR; RELS, RLs etc.) and other outputs Norway's submissions to SBSTA Partners' submissions to SBSTA Informant interviews NICFI interviews		Inputs, Outputs, Outcomes	

Evidence

- …
- …
- …

4.Continued *Has the NICFI MRV work track contributed to UNFCCC level delineation and agreement on the scope and modalities of MRV and RELS / RLs for REDD+?*	4b.Piloting of systems	Lessons from work track communicated to UNFCCC negotiators Use of lessons / knowledge in submissions (Norway's and other countries) Awareness of pilots systems amongst UNFCCC negotiators Perceived value/influence of pilot systems amongst UNFCCC negotiators	Project / Initiative documentation Norway's submissions to SBSTA Partners' submissions to SBSTA Informant interviews NICFI interviews	Please look for evidence in project / programme documentation of activities geared to informing about MRV / REL / RL efforts at the UNFCCC level. E.g. side events at the COP	Inputs, Outputs, Outcomes	International contributions, country briefs

Evidence

- …
- …
- …

5. Has the NICFI MRV work track contributed to progress in the development of national level MRV and the establishment of RELS / RLS?	5a. Institutional framework	Identification of institutional needs Clarity and functionality of institutional structures Degree of stakeholder participation in system design and operation Size and efficacy of institutional framework including inter-agency collaboration Institutions are delivering outputs Extent of engagement of relevant agencies Degree of overlap / duplication Institutions useful for forest management and other	Programme documentation Informant interviews		Inputs, Outputs, Outcomes	Country briefs

		purposes independent of REDD+				

Evidence

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5. Continued *Has the NICFI MRV work track contributed to progress in the development of national level MRV and the establishment of RELS / RLS*	5b. Degree of capacity improvement	Technical support needs identified Technological needs identified Strategy for addressing capacity needs Number of personnel trained Strategy for developing and maintaining a pool of expertise Quality and appropriateness of training provided Enhanced reporting capacity Reduced need for outsourcing	Programme documentation Informant interviews		Inputs, Outputs, Outcomes	

Evidence

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5. Continued *Has the NICFI MRV work track contributed to progress in the development of national level MRV and the establishment of RELS / RLS*	5c. Establishment of / improvements to system components for MRV	MRV planning Short term and long term goals for developing and improving the system Enhanced technology/infrastructure for MRV Enhanced remote sensing	Baseline documentation Programme documentation R-PPs Informant	Please see supplementary templates for 5c	Inputs, Outputs, Outcomes	Country briefs

		capabilities/access to RS data Enhanced carbon stock assessment Leakage assessment Uncertainty assessment Compliance with IPCC guidance/guidelines	interviews National inventory submissions/communications to UNFCCC		

Evidence

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5. Continued *Has the NICFI MRV work track contributed to progress in the development of national level MRV and the establishment of RELS / RLS*	5d.Establishment of REDD+ RELS / RLs	Understanding of RELS / RLs Planning for establishment of RELs / RLSELS / RLs, or initial products, developed Reviews of historic drivers / Assessment of current drivers	Programme documentation Readiness Preparation Plans Informant interviews Country UNFCCC submissions	Inputs, Outputs, Outcomes	Country briefs

Evidence

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6. Are the MRV systems and RELS / RLs being developed robust enough to operate a performance-based mechanism?	6a.Quality of the systems being developed	Appropriate scale for assessment of all REDD+ activities in the REDD+ strategy Creation of plans for system development that are	Project/programme design documentation R-PPs	Please look for evidence that systems are being developed in line with the IPCC GPG and	Inputs, Outputs,	Country briefs

		implementable and fundable Alignment with IPCC GPG Plans / systems are suitably transparent for performance based payments Transparency, publication of results that are suitable for review	Informant interviews	that transparency, publication of results etc., are incorporated in planning / design		

Evidence

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7. Are the bilateral approaches (noting their distinct approaches and rationale) effective as pilot models? (Guyana - MRV system, REL establishment from scratch; Brazil- results based payments; Tanzania mixed REDD+ projects and GEO)	7b. Model development	Transparent and participatory process in the development of the model Creation of the necessary components for an MRV system The system is compliant with international guidance Establishment of RELs / RLs Establishment of results based payments	Baseline documentation Programme documentation Informant interviews		Inputs, outputs, outcomes	Country briefs

Evidence

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7.Continued Are the bilateral approaches (noting their distinct approaches and rationale) effective as pilot	7c. Transferabilit y (suitable exemplar or special	Use of lessons or adoption of model by other countries Perceived transferability of methods / systems trialled	Programme documentation Informant	If models / lessons from models used in other countries are drawn from	Outcomes, Impact	Country briefs

models? (Guyana - MRV system, REL establishment from scratch; Brazil- results based payments; Tanzania mixed REDD+ projects and GEO)	case?)	Perceived relevance of methods / systems developed to other countries	interviews	in the development of country plans, please note this, stating which country and how lessons were used		

Evidence

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8. Has the technical support provided been of high quality?	8a.Technical support	Accessibility Appropriate Tailored	Programme documentation Informant interviews	Please note any technical support activities that have been undertaken, their focus and outputs	Inputs	Country studies, UN-REDD

Evidence

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8. Continued *Has the technical support provided been of high*	8b.Technical support modality [51]	Perceived relative value	Programme documentation	Please note the modalities of technical	Inputs	UN-REDD and all country studies

quality			Informant interviews	support provision on MRV, e.g. FAO through UN-REDD, outsourced consultancy etc.		

Evidence

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9.Have lessons been collected and effectively communicated?	9a.Communication	Processes for collection and communication of lessons Communication materials/presentations Awareness of model by intended audience Degree of stakeholder buy-in	Programme documentation Informant interviews	Please look for evidence of plans and processes for identification and communication of lessons both nationally and internationally. Please document any outputs	Inputs, outputs, outcomes	UN-REDD and all country studies

Evidence

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Questions	Judgement Criteria	Indicators	Data sources	Notes	Level of assessment	Composite brief this information will contribute to
EFFICIENCY How economically resources/inputs (funds, expertise, time, *etc.*) are converted to results						
10. Are the decision making, governance, and administration processes of the NICFI MRV work track efficient?	10a.Decision making processes of NICFI and its partners	Processes are logical (clear linkages between inputs, outputs, and intended outcomes) Decisions are evidence based Decision making process at appropriate speed	Programme documentation NICFI interviews		Inputs	UN-REDD and country studies
Evidence • … • … • …						
10. Continued *Are the decision making, governance, and administration processes of the NICFI MRV work track efficient?*	10c.Administration	Timeliness of disbursements Clarity of the budgetary reporting Clarity of documentation and reporting Timeliness and quality of monitoring and reporting	Programme documentation Informant interviews NICFI interviews		Inputs, Outputs	UN-REDD and all country studies
Evidence • … • … • …						
11.Is the NICFI MRV	11a. Financial	Documented rationale for	Programme	Please collect	Inputs	UN-REDD and

work track appropriately resourced?	resources	budget Cost of work track Funding needs Funding gaps	documentation Informant interviews NICFI interviews	information on the costs and funding of MRV and REL / RL activities		country studies
Evidence • … • … • …						
11.Continued *Is the NICFI MRV work track appropriately resourced?*	11b.Human resources	Rationale for human resource allocation between MRV, REL/RL and other readiness activities Adequate time allocated People with the right expertise available and used	Programme documentation Informant interviews NICFI interviews	Please collect any available information on the human resources and time allocated to MRV and REL / RL activities	Inputs	UN-REDD and all country studies
Evidence • … • … • …						
12.Is the funding used efficiently?	12a.Programme costs	Transaction costs Proportion of funding reaching recipient countries Budget line costs seem appropriate	Programme documentation Informant interviews		Inputs	UN-REDD and all country studies
Evidence • … • … • …						

12.Continued *Is the funding used efficiently?*	12b.Targets greatest priorities	Needs assessment / prioritisation process	Programme documentation Informant interviews		Inputs	UN-REDD and all country studies
Evidence • … • … • …						
13.Is there efficient harmonisation, co-operation, co-ordination?	13.bExtent of cooperation, coordination, harmonisation	Within NICFI Between NICFI and its partners Within and among partners Between NICFI MRV work track / its programmes and other programmes of Norway Between NICFI MRV work track / its programmes and /other donor activities	Programme documentation Informant interviews NICFI interviews	Please look for evidence of cooperation, coordination and harmonisation between programmes	Inputs	UN-REDD country studies
Evidence • … • … • …						

Questions	Judgement Criteria	Indicators	Data sources	Notes	Level of assessment	Composite brief this information will contribute to
SUSTAINABILITY The continuation of benefits from a development intervention after major development assistance has been completed. The probability of continued long-term benefits. The resilience to risk of the net benefit flows over time						
14.Are the outputs and outcomes from the MRV work track likely to continue in the absence of NICFI support?	14a.Likelihood of outputs and outcomes continuing	Provision for maintaining a continued trained personnel Prevalence of brain-drain MRV systems developed on 'no regrets' basis to provide intrinsic value whatever happens in REDD+ negotiations Balance of MRV establishment costs with potential for generating results based payments Is the level of complexity of MRV systems being developed generally perceived to be appropriate	Programme documentation Informant interviews	Please look for plans for ensuring the sustainability of the systems developed. Please also look for estimates of the costs of maintaining the MRV system once running. Also, please collect information on the estimated emissions reductions that could be achieved by the country (these will be compared at a range of carbon prices with the cost of maintaining the system)	Outputs, Outcomes	UN-REDD country briefs

Evidence

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- …

14.Continued *Are the outputs and outcomes from the MRV work track likely to continue in the absence of NICFI support?*	14b.Added value	Evidence that MRV system will be used for additional purposes e.g. for monitoring of FIP progress; provide lessons for the development of MRV of other NAMAs etc Support forest resource management Support general GHG accounting Spill-over effects from MRV transparency Institutional reform Policy reform Evidence of forest resource managers utilising MRV outputs Forest management promoted/increased as a result of MRV work track	Programme documentation Informant interviews	Outputs, Outcomes	UN-REDD country briefs

Evidence

- …
- …
- …

o <u>References and documentation used</u>

Please ensure that you provide a complete list of references and documentation used. Please use the format of the examples below:

Guyana R-PP (2010). *Guyana Readiness Preparation Proposal (R-PP) to the World Bank* Forest Carbon Partnership Facility. Available at: http://www.forestcarbonpartnership.org/fcp/node/69

Herold M. and Bholanath P. (2009). *Preparing Guyana's REDD+ participation: Developing capacities for monitoring, reporting and verification* Report and summary of a workshop and consultation held 27. – 29. October 2009 in Georgetown, Guyana. Available at: http://www.forestry.gov.gy/Downloads/Guyana_MRV_workshop_report_Nov09.pdf

IPCC (2007). *Summary for Policymakers*. In: Climate Change 2007: Mitigation. Contribution of Working Group III to the Fourth Assessment Report of the Intergovernmental Panel on Climate Change [B. Metz, O.R. Davidson, P.R. Bosch, R. Dave, L.A. Meyer (eds)], Cambridge University Press, Cambridge, United Kingdom and New York, NY, USA. Available at: http://www.ipcc.ch/publications_and_data/ar4/wg3/en/contents.html

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