



UN-REDD
PROGRAMME



**FINAL EVALUATION OF THE UN-REDD CAMBODIA NATIONAL
PROGRAMME REPORT**

**PREPARED FOR: UN-REDD PROGRAMME, AND THE GOVERNMENT OF
CAMBODIA**

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Disclaimer

This evaluation was carried out while some activities were still in progress, and actual final results may differ therefore such results will be considered out of the scope of this evaluation.

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Acronyms

AWP	Annual Work Plan
COP	Conference of Parts of the UNFCCC
CNP	Cambodia UN-REDD National Programme
ET	Evaluation Team
FA	Forestry Administration
FAO	Food and Agriculture Organization of the United Nations
FCPF	Forest Carbon Partnership Facility
FREL	Forestry Reference Emission Level
GIS	Global Information System
HACT	Harmonized Approach for Cash Transfers
IP	Implementing Partner
IPCC	Intergovernmental Panel on Climate Change
MARV	Monitoring, Assessment, Reporting, and Verification
MoE	Ministry of the Environment
MRV	Monitoring, Reporting, and Verification
NAMA	Nationally Appropriate Mitigation Action
NCCC	National Committee on Climate Change
NGO	Non-Governmental Organization
NRS	National REDD Strategy
NRTF	National REDD Taskforce
PEB	Programme Executive Board
REDD	Reduction of Emissions from Deforestation and forest Degradation
REDD+	Reduction of Emissions from Deforestation and forest Degradation plus conservation, sustainable forest management and enhancement of carbon stocks
REL	Reference Emission Level (also called the REDD+ Baseline or Reference Scenario)
RGC	Royal Government of Cambodia
RTS	REDD+ Taskforce Secretariat
TF	Taskforce
TOC	Theory of Change
TT	Technical Team
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention for Climate Change
UN-REDD	United Nations REDD+ initiative
USD	United States Dollar

Executive Summary

- i. This report presents the findings of the final evaluation of the Cambodia UN-REDD National Programme. The scope of the evaluation is the Cambodia UN-REDD National Programme (CNP) outcomes and outputs delivered from the time of initiation in August 2011, until the time of closure in June 2015. The Royal Government of Cambodia (RGC) received funding from the Forest Carbon Partnership Facility (FCPF) in 2014 to continue the implementation of activities under the outcomes designed for the CNP which are based on the Cambodia REDD+ Roadmap. The evaluation is based on data and information available at the time of evaluation.
- ii. The purpose of the evaluation is to assess: (i) Programme performance in terms of relevance, effectiveness (outputs and outcomes) and efficiency, (ii) sustainability and up-scaling of results, and (iii) actual and potential impacts from the programme. The evaluation has the following objectives:
 - To provide evidence of results to meet accountability requirements.
 - To assess the status of REDD+ readiness in Cambodia, gaps and challenges that need to be addressed to achieve REDD+ readiness and the UN-REDD Programme's possible roles in the future REDD+ process in the country.
 - To promote learning, feedback and knowledge sharing through results and lessons learnt among the participating UN Organizations and other partners. The evaluation identifies lessons of operational and technical relevance for future programme formulation and implementation in the country, especially future UN-REDD Programmes, and/or for the UN-REDD Programme as a whole.
- iii. The primary audience for the evaluation is the Royal Government of Cambodia, the three participating UN Organizations of the UN-REDD Programme (i.e. FAO, UNDP and UNEP), the implementing partners and responsible parties (i.e. Forestry Administration, Fisheries Administration and General Department of Administration for Nature Conservation and Protection (GDANCP), NGOs, and Programme resource partners. The secondary audience is the UN-REDD Policy Board and national REDD+ stakeholders such as development partners, representatives from the REDD+ taskforce, the REDD+ Taskforce Secretariat, the Consultation Group and the Gender Group.
- iv. The evaluation approach follows the Review of Outcomes to Impacts (ROtI) methodology through which UN-REDD National Programme intended impacts are mapped out to the corresponding Theory of Change (TOC) (Annex 6). The basis for the evaluation framework is a series of tailored questions, judgement criteria and indicators against the Organization for Economic Co-operation and Development Assistance Criteria. As no TOC was developed during the Programme design, it is reconstructed for the purpose of the evaluation in order to identify impact or intermediate states.
- v. Collection of information is based on a combination of extensive document review and a series of interviews with staff in the UN agencies, senior government officials and ministries staff, higher learning institutions, and NGOs.

BACKGROUND

- vi. Cambodia has one of the highest levels of forest cover in Southeast Asia, with approximately 10.1 million hectares of forest in 2010 or 57% of Cambodia's land area but also a high rate of land-use change in relation to its population density (approximately 13.4 million people at the 2008 census or 75 people/km²). The deforestation rate is estimated at 0.5% (353 000 hectares) between 2005 and 2010. Agents and drivers of deforestation in Cambodia mainly include large-scale agro-industrial development. To

this point, the implementation of existing laws and policies for forest land and forest resource management has been generally weak.

- vii. Administration of forests is somewhat complex and appears difficult to coordinate because three line agencies are involved i.e. the Forestry Administration, Fisheries Administration, and the GDANCP. Each department has different strengths with potential power play between the agencies. The 2010 National Forest Programme plays the principle role in driving the forest management effort through.
- viii. Forests in Cambodia are a significant source of revenue and the sector has gone through periods of destruction particularly during the 1990s following the introduction of forest concessions. Nearly 7 million hectares were allocated for logging and the country experienced unprecedented forest loss because of weak monitoring and enforcement. To solve the situation, the RGC introduced a logging moratorium in 2002 followed by a new Forestry Law.
- ix. Cambodia initiated efforts to prepare for REDD+ in 2010, with the preparation of a REDD+ Readiness Roadmap. The Roadmap has been implemented with support from the UN-REDD Programme, FCPF, Government of Japan, and various other Development Partners, including USAID, JICA, the European Union, World Conservation Society, PACT, and several other NGOs. The Cambodia REDD+ Roadmap is a national plan that outlines how the RGC wants to move ahead with REDD+ Readiness.
- x. 2015 is a particularly important year for global climate change negotiations with the Paris Climate Change Conference (UNFCCC COP 21) due to be held in December. The aim of COP 21 is to reach a universal, legally binding agreement to combat climate change and mobilization of USD100 billion per year by developed countries to support and enable developing countries to fight climate change and make progress towards sustainable development. Funds will be disbursed through the Green Climate Fund and many countries are in the process of preparing the baseline positions and strategies to meet obligations and decisions from preceding COPs in anticipation of receiving support for low carbon development strategies.
- xi. Developing countries, including Cambodia have preferred to adopt “Nationally Appropriate Mitigation Actions” (NAMAs) therefore will be required to prepare country submissions to the UNFCCC. Imminent submissions include forest reference levels and reference emission levels (FRELs), as well as Intended Nationally Determined Contributions (INDCs). INDCs are a new type of instrument under the UNFCCC through which the Parties intend to submit their commitments for the post-2020 period. The outcomes and outputs of the UN-REDD National Programme therefore hold significant importance towards preparation of submissions to the UNFCCC leading to COP.

DESIGN

- xii. The design of the CNP has benefited from the structured approach taken in developing the Roadmap. The Roadmap is perhaps a point of difference for Cambodia as it enables better coordination of Development Partners and stakeholders. It increases the level of engagement of key government departments and the understanding of national REDD+ objectives.
- xiii. The CNP was designed for completion within two years but with two no-cost extensions, it is now close to four years. This is a gross underestimation of the timeframe required. This is attributable to a combination of institutional capacity constraints, poor sequencing and prioritization of activities. REDD+ is complex and requires high levels of political, policy, and technical capacity across a range of sectors and decision makers in

engaging multiple development partners, stakeholders, defining a vision and mandate, formulating policies and strategies, and implementation.

- xiv. Government institutions with a functional role in making REDD+ readiness happen need good functional capacity but it appears that the deficiencies in these areas were not clearly understood from the beginning. This is one of many reasons why the pace of implementation in Cambodia has been slow and sometimes uncoordinated. There was prolonged processes to establish team positions and slow budget utilization in the first year.
- xv. The interdependencies and sequencing of the activities was not well-understood by the management across the Programme even though advice was being provided at the technical level. The target to submit FRELS to UNFCCC by November 2015 has perhaps been compromised by slow decision-making by the RGC particularly with regards the national forest definition. There is a possibility that this target could be missed because the preparation of the land use and land cover is still in progress – currently at the accuracy assessment stage. While it is not imperative to include FRELS information in the National REDD+ Strategy, it would be beneficial if the strategy is based on robust and quantitative information such as the rationale for particular baseline or FREL to support intended action plans and intervention options.
- xvi. The CNP would have benefited immensely and avoided some of the pitfalls and delays if a thorough capacity needs assessment had been carried out and discussed in the design phase of the Programme. This would have perhaps illuminated the likely impact of any capacity gaps that may exist across institutions. There is strong feedback that the limited functional capacity resulted in delays in making critical decisions such as the definition of forest and other components. This aspect is also identified by the 2014 UN-REDD global evaluation in several countries.

On the basis of the above observations, the design of the CNP is moderately satisfactory

RELEVANCE

- xvii. In the context of Cambodia, the relevance of the CNP is unquestionable. Increasing deforestation and forest degradation necessitates effective regulation, administrative capacity and long-term strategies. The forest sector administration arrangements are complex and need a mechanism for inter-ministerial coordination and capacity building. The CNP provides the platform for national level coordination and engagement of key stakeholders and benefits from the global nature and normative strengths of the three UN agencies involved (FAO, UNDP and UNEP).
- xviii. Outcome 1 has increased the level of engagement and awareness of the necessary institutional framework that will foster sustainable resources management and cross-sector policy formulation. Outcome 2 is instrumental in enabling the development of strategies and action plans that contribute to the vision of low emissions economy.
- xix. However, there are differing views among stakeholders on the ability of the CNP to synchronize with country needs. Some view it as a UN-REDD driven programme rather than a country driven programme.

On the basis of the above observations, the relevance of the CNP is highly satisfactory

EFFECTIVENESS AND EFFICIENCY

- xx. The CNP is generally effective in achieving outputs but the efficiency is limited. Even after nearly 4 years, outputs under Outcome 2, 3, and 4 are still ongoing or in progress and will be completed under FCPF. The key components of the National REDD+ Readiness coordination mechanism are in place and the support continues beyond the UN-REDD funding to FCPF funding. The National REDD+ Taskforce (NRTF), the Secretariat, the PEB (Programme Executive Board), the Consultation Group and REDD+ Technical Teams (TT) are all in place.
- xxi. The implementation of the CNP has been slow. There was an 8 month delay in setting up the NRTF with further delays in recruiting key staff. These delays are due to a combination of factors. The complexity of REDD+ along with low institutional capacity, bureaucracy in both UN agencies and the RGC contributed to delays. The over-engineered management arrangements slowed progress further because it took long periods for decisions to be made from the technical teams, the REDD+ Secretariat, NRTF, and PEB. For a programme of this magnitude, the structure and representation of the PEB, the NRTF and the REDD+ Secretariat is unnecessarily heavy. However, this management set up perhaps reflects the structure of the forestry administration in Cambodia with multiple line agencies being involved thus making coordination difficult and inefficient. The UN Agencies and the RGC are both aware of the complications that arise from the current management setup.
- xxii. It is difficult to determine value for money for each output since there are no benchmarks, but 39% of the Programme budget is allocated to Outcome 1 compared to 1.7% for Outcome 3, 18.5% for Outcome 2 and 41% for Outcome 4. This should not be looked at in isolation as components of other development partners also contribute to these outcomes. For instance the JICA and the Japanese Embassy provide financial and technical support to Outcomes 1, 3 and 4. Questioning the budget allocation could be unjustified as there is no benchmark, but the implementation process and delays have caused some inefficiencies. The financial impact of the delays in project implementation is not clear.
- xxiii. Under Output 2, the development of the National REDD+ strategy is progressing well. Substantial work has been completed on the development of REDD+ safeguards framework, benefits sharing mechanisms, and assessment of REDD+ co-benefits. With regards to REDD+ fund management system, substantial background analysis on options and lessons from other countries were considered and presented on policy briefs. This is adequate for now and can be assumed that the RGC will be able to choose the appropriate option under an incentive-based REDD+ regime.
- xxiv. The development of the monitoring system (Outcome 4) is slow and of concern. Development of the national MRV system is complex and requires the government to make critical decisions on forest definition and future ownership or custodianship of the system with expedience. More importantly, the components of a MRV system including the NFI, are long-term and require predictable financing and it will be essential for the RGC to consider ownership and future funding of these components. In the short-term, outputs of Outcome 4 will be achieved, but the ET notes that the long term sustainability is very limited.

As a result of the above observations, the effectiveness of the CNP is moderately unsatisfactory and the efficiency is unsatisfactory

IMPLEMENTATION

- xxv. The CNP is jointly implemented by the UN-REDD and the RGC in a partnership with FA, GDANCP, and FIA being the responsible line agencies. The National Programme Director and Deputy National Programme Director are responsible for overseeing the programme and accountable on behalf of the government for the Programme Executive Board (PEB). The PEB is responsible for the delivery of the Programme with support from the NRTF and the Secretariat.
- xxvi. The CNP implementation has not necessarily been smooth because of design flaws. A point of reiteration and highlighted in the 2014 Global UN-REDD Programme external evaluation relates to in-country operational modality of the three UN agencies. The point is that while the UN agencies are clear on the objective of “Delivering as One” in practice it appears challenging to apply at the programme level because each agency follows its own system especially in relation to funds disbursements, recruitment and goods and services procurement. The feedback from other UN-REDD national programmes evaluations is that working with three agencies creates administrative burdens and coordination challenges. There is feedback and tendency among stakeholders to point out that one UN agency is easier to work with than others.
- xxvii. Within government institutions the symptomatic issue of lack of staff motivation arising from general poor remuneration found across multiple National programmes is also present in Cambodia. There is no simple solution but the duty of responsibility falls with the national institutions to find meaningful ways to resolve this by taking ownership and committing to long-term sustainability of the REDD+ framework. While trivial, issues of remuneration can negatively affect Programme implementation.

On the basis of the observations on implementation, the evaluation rates the performance as moderately unsatisfactory

CAPACITY DEVELOPMENT, SUSTAINABILITY AND UP-SCALING

- xxviii. It is important to reiterate the link between capacity development, sustainability and country needs. The CNP will be sustainable in the long term if the foundation is set with the appropriate framework to enable Cambodia manage its own REDD+ Programmes in future. National Programmes management boards and technical working groups are, by their nature, temporary and their roles and responsibilities evolve along with development of the national REDD+ process. But as the CNP comes to an end, the groups are important for carrying over the knowledge, therefore transition strategies should be in place.
- xxix. Because of the CNP, there is increased understanding and awareness of REDD+ and its relevance for Cambodia. What the Programme has not done at this point is to be clear about the type of capacity and whose capacity is necessary to set the long-term vision which leads to the intended impact. Thus REDD+ needs to be treated as part of a suite of interventions to address deforestation and forest degradation and to contribute to a low emissions economy.
- xxx. Cambodia is receiving much needed capacity building support from other development partners such as the EU on climate change, Japan on MRV and NFI beyond the life of the CNP. What is really important is the ability of the RGC to mainstream REDD+ across sectors into business as usual. Since the CNP is “Readiness preparation”, it is necessary that a comprehensive capacity needs assessment is carried out to identify gaps as part of a long term sustainability strategy.

- xxxi. Thus while a total of 333 people and 192 CSOs were trained on REDD+ and climate change, real capacity building should be treated as a continuous process involving a combination of methods such as job shadowing, practice and formal courses. This should not only be the role of Development Partners, but the RGC has to create the necessary environment and enable staff.

On the basis of the observations on implementation, the evaluation rates the capacity-building, sustainability and up-scaling as unsatisfactory

DELIVERY OF OUTPUTS

- xxxii. The CNP intended to close operationally on 30 June 2015 but some activities are still not finalized. However, the transition to FCPF funding means that the activities will continue to be implemented. Outputs under all 4 Outcomes have been achieved or will be achieved for those that are continuing under FCPF. For those outputs that have been completed, they are generally of good quality.
- xxxiii. The delivery of outputs is moderately satisfactory but desired impact might be more difficult to determine at this point because of multiple national circumstances that have an influence far beyond the life of the CNP.
- xxxiv. The CNP will close on 30 June 2015 after two no-cost extensions, thus running for a total of 4 years. For each of the 4 outcomes and 18 contributing outputs, the ET has looked at how the CNP has either achieved the outputs on its own or contributed to the outputs and outcomes in the broader context.

On the basis of the observations on implementation, the evaluation rates the delivery of outputs as moderately satisfactory

IMPACT

- xxxv. The CNP will achieve the outcomes but the impact is likely to be limited due to external factors. The CNP was designed to support RGC's REDD+ Readiness Roadmap. It is unlikely that it will have an impact on reducing deforestation and forest degradation, and indeed improvement of livelihoods at the community level unless Cambodia can successfully transition to performance-based REDD+ regime and finance is available.
- xxxvi. As a potential source of finance on the basis of performance on reducing deforestation and forest degradation it promises to have greater impact in principle. The CNP, by its design, is a preparatory phase towards performance-based incentives. In a country such as Cambodia, the competing national development priorities will likely see efforts such as REDD+ given a lower priority unless there is immediate financial benefit. Thus the impact of the CNP is more likely to be confined to achieving intermediate aspects related to REDD+ Readiness rather than a direct impact on communities and their livelihoods and lowering emissions.
- xxxvii. No Theory of Change was constructed during the design of the CNP. This evaluation reconstructs a theory of change in order to determine the pathway towards an impact but then it becomes more or less an academic exercise. Nonetheless, through the CNP, the level of dialogue on the impact of deforestation and forest degradation on livelihoods has increased. The level of engagement across sectors and among stakeholders has increased.

On the basis of the observations on impact, the likelihood for impact is moderately unlikely

CONCLUSIONS

- xxxviii. The forestry sector status and the rate of deforestation in Cambodia make the CNP relevant and necessary. It was appropriately designed to support RGC's REDD+ Readiness Roadmap which is a national plan for how the RGC wants to move ahead with REDD+ Readiness. The development of the Roadmap is a critical point of difference that has enabled the framing of REDD+ in Cambodia in harmonized and coordinated way among Development Partners. The implementation of the CNP has brought greater inter-ministerial collaboration in a somewhat complicated forest administration system.
- xxxix. All four outcomes are relevant even though the CNP design may have some flaws. The institutional setup is in place for the implementation of REDD+ with government line agencies becoming increasingly aware of their roles. It is unlikely that the CNP will have an impact on reducing deforestation and forest degradation, and indeed improvement of livelihoods at the community level unless Cambodia can successfully transition to performance-based REDD+ regime and finance is available.
- xl. The implementation of the CNP did face some challenges but they are mostly of mechanical nature. Better understanding of institutional capacity gaps and the role of politics in the decision-making process would have in part, enabled allocating more realistic timeframes and necessary resources to reduce the delays that eventually resulted in two no-cost extensions. Among UN-REDD agencies, streamlined business processes will help in ensuring financial transactions with the implementing line agencies and reduce the administrative burden.
- xli. The financial and institutional sustainability in the context of REDD+ will require continuous commitment from the RGC but will also largely depend on the ongoing global discourse on future financing of performance based REDD+ regime.

On the overall, the CNP implementation in Cambodia is moderately satisfactory.

Table A-1: Summary of Evaluation of Programme Performance¹

Criterion	Rating	Summary Assessment
Concept and relevance of the NP	S	Satisfactory
Design	MS	The CNP is well aligned to the National REDD+ Roadmap and is consistent with the Global UN-REDD Programme's own vision and strategy. The lack of an explicit Theory of Change is somewhat a drawback so is the lack of an initial comprehensive capacity needs assessment during design.
Relevance	R	The Programme is necessary to address the high and escalating rate of deforestation and forest degradation, as well as the weak capacity, governance and institutional framework.
Results and contribution to stated objectives	MU	Moderately unsatisfactory
Delivery of Outputs	MS	The CNP had two no-cost extensions but mostly attributable to bureaucratic processes within the RGC and UN agencies. This somewhat reduced the effectiveness of the programme. But in general, all the outputs were achieved including awareness raising, establishment of stakeholder consultation group, capacity of Taskforce, Taskforce Secretariat, technical teams, consultation group, and gender group and community networks.
Effectiveness	MU	Despite having established National REDD+ Taskforce the Secretariat, the Consultation Group and REDD+ Technical Teams were major delays making a two year programme to a four year programme.
Efficiency	U	An over-engineered management structure resulted in slow decision-making. The combined delays in both national and international staff recruitment, as well as setting up technical teams has resulted in key activities running behind.
Cross-cutting issues:		
Gender	MU	Gender engagement was included after the inception phase in the results matrix but this is not reflected in the outputs indicators. A review of gender engagement over the first 16 months of the Programme should have been performed in December 2012 and the need for a full gender strategy reviewed again but these analyses were not performed
Capacity Development	MS	Numerous training activities were carried out under the four outcomes and most of the outputs.
Normative Products	S	Generally satisfactory

¹ **Agency coordination and implementation; outcomes; overall programme results:** Highly Satisfactory (HS), Satisfactory (S) Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU).

Sustainability: Likely (L); Moderately Likely (ML); Moderately Unlikely (MU); Unlikely (U).

Relevance: relevant (R) or not relevant (NR).

Impact: Significant (S), Minimal (M), Negligible (N).

Criterion	Rating	Summary Assessment
Sustainability	MU	The institutional setup necessary for effective implementation of CNP in Cambodia is in place and substantial groundwork has been laid to prepare the country for subsequent participation in performance-based payments systems under REDD+.
Up-scaling	MU	Since the CNP Outcomes are limited to mainly national level strategic outputs and limited operational activities at subnational level, up-scaling is limited.
Likelihood of Impact	M	Economic development and large agro-industrial developments are increasing pressure on forest land to the point where the carbon potential of forests and related financing is far less appealing than the potential revenue generated from timber and land capitalisation or commercial agriculture production.
Factors affecting performance		
Programme management and coordination	S	The Programme management and coordination mechanisms were effective.
Human and financial resources administration	MU	Staff resourcing with the UN agencies was adequate to support the delivery of the CNP. International advisors are imbedded in government agencies. But there were delays in setting up the RTS and filling staff positions, these are clearly reasons for progress being significantly behind schedule.
Technical backstopping and supervision	MS	Both UNDP and FAO provided technical backstopping through the regional offices in Bangkok.
Government participation and ownership	MS	The RGC shows its desire for not just participation but ownership of the implementation of the CNP by approving the Roadmap in September 2010. Inter-ministerial coordination is now present. More staff is however required to sustain the outputs from the CNP.
Monitoring, reporting and evaluation	S	Effective reporting was performed through semi-annual and annual progress reports. The MTR was key for speeding up the delivery of the program through more focused efforts.
Overall Programme Performance	MS	Moderately satisfactory

RECOMMENDATIONS

The recommendations are formulated based on the ET's view on what could be done to enhance the readiness process for Cambodia, especially under the current FCPF support scenario. The first set of recommendations address the UN-REDD agencies with regards to programme design. The second set of recommendations inform the UN-REDD agencies and other donors, and the third set is for consideration by the RGC. The fourth set of recommendations on technical aspects need immediate response or at least a mitigation strategy as they represent operational risks. These technical recommendations should be considered by all parties.

Summary Recommendations

For the UN-REDD agencies with regards to programme design

1. For the UN-REDD agencies heads and staff at headquarters, regional and country offices. A comprehensive capacity needs assessment is required at the design stage of national programmes to determine what gaps exist within the national institutions prior to programme implementation. This should be followed by the development of a relevant theory of change to address any gaps, risk and assumptions towards the intended outcomes and contribution to impacts

2. For the UN-REDD agencies staff at headquarters, regional and country offices. In designing national programmes, the UN-REDD agencies should ensure appropriate sequencing of programme activities in accordance with the national requirements or interests.

3. For the UN-REDD agencies heads and staff at headquarters, regional and country offices. The UN-REDD agencies should design programmes that have results-based performance indicators rather than output level indicators. This recommendation is a reiteration of what has been recommended under the Global UN-REDD external evaluation.

In the context of Cambodia, the ET agrees with the Global UN-REDD external evaluation that current reporting focuses on output-level results and not on whether learning is taking place; skills are being used; behaviours and approaches are changing; and capacities are being replicated across the supported agencies. There is no systematized or dedicated process in place to monitor what works, what does not, under what circumstances, and why.

4. For the UN-REDD agencies heads and staff at headquarters, regional and country offices. UN-REDD agencies should consider what constitutes a realistic timeframe for implementing national programmes. The two-year time frame is clearly not enough based on experiences from several countries. This recommendation is linked to Recommendation 1 above in that the design should take into consideration the capacity gaps that may affect the programme implementation pace.

For consideration by international donor agencies

5. For all the international donor agencies, including the UN-REDD agencies heads and staff at headquarters, regional and country offices. Development partners should consider working in accordance with a government-led REDD+ Capacity Building Plan with clear targets and an action plan with short and medium term goals. This should link the findings of the broader capacity needs assessment and enable determination of funding requirements.

This approach could encourage better commitment on both sides particularly in areas of accountability. This recommendation is linked to Recommendation 1.

6. For all the international donor agencies, including the UN-REDD agencies heads and staff at headquarters, regional and country offices. In relation to modalities for funds disbursement, considerations should be given for direct cash transfers to national institutions to implement the Programme if positive fiduciary assessments results are obtained. Unless the national institutions are able to practice self-governance and financial accountability, their capacity on financial management will inevitably remain low.

For consideration by the Royal Government of Cambodia

7. For the RGC: consider developing its own National and Sub-National REDD+ Capacity Building Plan so that development partners are able to understand the needs and interest of the government and align to them.

Such a plan might include a needs assessment, targets, action plan, funding needs, and monitoring framework.

8. For the RGC: it is necessary to be expeditious in establishing a clear, transparent and independent framework for REDD+ forest definition and endorsing the analysis of drivers and agents of deforestation in a manner that avoids unnecessary international criticism. A transparent process is necessary and a requirement for verification of emissions reductions. Note that the delay in deciding the country forest definition and completing the analysis of drivers and agents of deforestation has slowed progress towards completing the land use and land cover change analysis and development of FRELS.

9. For the RGC: For REDD+ to be successful and mainstreamed across sectors, it is necessary to create incentives for staff retention and remuneration to ensure institutional sustainability and increase the impact of REDD+ beyond Programme implementation. This may involve creating a supportive environment and manageable workload.

For all parties- Key Technical/Operational Recommendations

10. For all parties, including the UN-REDD agencies heads and staff at regional and country offices. Outcome 1: Since MoE is the UNFCCC focal point for Cambodia, it is highly recommended that its role is clarified under the FCPF implementation to ensure on-going inter-ministerial coordination.

With the transition of the Programme from UN-REDD to FCPF, the Programme management arrangement is being considered for revision and the role of the Ministry of Environment (MoE) is unclear.

11. For all parties, including the UN-REDD agencies heads and staff at regional and Cambodia country office. Outcome 2: The National REDD+ Strategy is in its second draft and intended to be presented at COP 21 in Paris in December 2015. While there is no particular imperative for Cambodia to do so under pressure, nonetheless, it is observed that the timeframe for completing the preparation of the document is short therefore necessary for all parties to prioritise activities in order to meet any critical dates whether self-imposed or under UNFCCC.

12. For all parties, including the UN-REDD agencies heads and staff at regional and Cambodia country office. Outcome 4 is running behind. The RGC expects to submit FRELS to the UNFCCC in November 2015 but also expects the FRELS and a completed land use and land cover analysis; and completed analysis of drivers and agents of deforestation to contribute to the development the National REDD+ Strategy. With these expectations, the work on FRELS is running behind and requires all parties to come to a clear understanding of key priorities. It is important however, to understand that the National REDD+ Strategy can be treated as a living document that can be adjusted and improved over time therefore there should be no pressure to rush into making it a finite document.

PART 1. INTRODUCTION

A. CONTEXT OF THE NATIONAL PROGRAMME

1. Cambodia has one of the highest levels of forest cover in Southeast Asia, with approximately 10.1 million hectares of forest in 2010, or 57% of Cambodia's land area, based on the FAO 2010 Forest Resources Assessment. It is also the 30th largest area of tropical forest in the world, but is the 13th most forested country by percentage of land area. Cambodia also has a relatively high rate of land-use change with Forestry Administration statistics showing that 353 000 hectares of forest were lost between 2005 and 2010, a deforestation rate of 0.5% per year. As a consequence, Cambodia has been classified as a 'high forest cover, high deforestation' country for the purposes of REDD+. The Hansen study showed that Cambodia had the third highest national deforestation rate in the world from 2002 to 2012 (Hansen et al. 2013). Consequently, Cambodia is classified as a 'high forest cover, high deforestation' country for the purposes of REDD+, being a significant contributor and important potential source of emissions reductions through forestry. The World Conservation Monitoring Center in 2010 estimated that 2.96 gigatons of carbon are stored in Cambodia's forest ecosystems.
2. Cambodia has a low population density (approximately 13.4 million people at the 2008 census or 75 people/km²) and high rural proportion of the total population (82.4%; 2008 census). The population is projected to increase at 1.3% per annum between 2015 and 2030 (UN Population Division, World Population Prospects: 2012 Revision), together with a strong rural-urban migration. Over 60% of the population are dependent on agriculture and the country is a net rice exporter. Foreign investment in agriculture has expanded rapidly in recent years, with the primary cash crop being rubber. At the same time, landlessness has risen steeply and was estimated at 20% in the 2004 Cambodia Socio-Economic Survey. Road networks are increasingly bisecting the country and providing greater access to rural areas and higher paying international markets.
3. Agents and drivers of deforestation in Cambodia range from agriculture expansion and rapid pace of economic development, including large-scale agro-industrial development, to variable effectiveness in implementation of existing laws and policies for forest land and forest resource management. The principle forest management strategies of the Royal Government of Cambodia (RGC) are the new National Forest Programme (2010) for the Permanent Forest Estate regulated by the Forestry Administration, Protected Areas managed by the Ministry of Environment, and the flooded forests and mangroves that form part of the fisheries domain managed by the Fisheries Administration.
4. Conflicts and isolation through the 1970s to 1990s affected Cambodia in many aspects including human capital, which is most critical for the country's socioeconomic development efforts. Consequently, Cambodia falls in the least developed and low-income country category. However, the restoration of peace and policy stability over the past decade has brought steady economic growth in Cambodia, averaging between 8 and 10 percent since 1984, leading to substantial reductions in poverty.
5. Forests play an important role in meeting the subsistence and income needs of many households. Recent research indicates that 41% of rural households in Cambodia derive between 20% to 50% of their total livelihood value from forest use, while 15% of households derive more than half of their total livelihoods from forest use and harvesting. At a national level, forests play an important role in the Cambodian economy. Although the sector's direct contribution to the economy has declined following the ban on timber logging concessions in 2001, it continues to provide a range of important goods and services to society as a whole. Continued loss or degradation of forest resources can impact a range of other productive sectors. For example, destruction of flooded forests around the Tonle Sap and their conversion to rice cultivation and clearance of mangroves in the coastal zone has a range of immediate negative impacts on fish populations.

6. Over the years, various efforts have been made to improve forest governance including implementation of new legislation, improved participation, and increased transparency and responsiveness (Sovann and Saret 2010). The key challenges in the sector are the need to ensure sustainable management and equitable use of forests to improve rural livelihoods, and to promote balanced socio-economic development in Cambodia as stated in the FAO Cambodia Forestry Outlook Study (FA 2010). From now until 2020, the two main factors suggested to be the most important in Cambodia's forestry sector are the strong/weak commitment of forest and forest-related policy implementation and active/inactive local community participation (FA 2010).
7. REDD+ could form a significant new source of finance for effective implementation of these forest management strategies, in a way that explicitly recognises local livelihoods and biodiversity conservation co-benefits. This would help Cambodia to achieve its national target of maintaining 60% forest cover, which is one of the main outcomes of the RGC's National Strategic Development Plan 2014-2018 and it is the goal 7.1 of the Cambodia Millennium Development Goals.
8. The Cambodia REDD+ Roadmap approved in September 2010, covers the six main components of REDD+ Readiness: 1. Management of National REDD+ Readiness; 2. Consultation, stakeholder engagement and awareness-raising; 3. Development and selection of REDD+ strategies; 4. Implementation framework (including benefit sharing and safeguards); 5. Development of the Reference Scenario against which performance will be measured; and 6. Development of the Monitoring System for national Monitoring, Reporting and Verification (MRV).
9. The objective of the Cambodia UN-REDD National Programme is to support Cambodia to be ready for REDD+ Implementation, including development of necessary institutions, policies and capacity. This will contribute to the overall goal of ensuring that by the end of 2015 Cambodia has developed a National REDD+ Strategy and Implementation Framework and is ready to contribute to reductions in emissions from deforestation and forest degradation.
10. Cambodia could be viewed as a trailblazer in implementing REDD+ pilot projects. The first REDD+ pilot in the Oddar Meanchey community forests was approved in 2008, and the Seima Protected Forest REDD+ pilot initiated in 2009. These pilot projects are amongst the most advanced in the Greater Mekong Region. It is also important to note that Cambodia is a pilot country for Community-Based REDD+ (CBR+). In 2014, a four-member CBR+ National Steering Committee (NSC) was established, comprising one representative each for FA, MoE, civil society and IPs. The Royal University of Phnom Penh was contracted to develop a CBR+ Country Plan (CP) through three regional and one national multi-stakeholder consultations.
11. It is within this context that the UN-REDD National Programme in Cambodia was designed and approved in August 2011 and the funds transferred as well in August 2011 based on the budget presented in Table A-1.

Table A-1: Programme Budget

UN Agency	Approved Programme Budget ² (USD)	Amount Transferred ³ (USD)
FAO	1 215 000	1 215 000
UNDP	1 450 000	1 450 000
UNEP	140 000	140 000
<i>Grand Total</i>	2 805 000	2,805,000

Source: Final Evaluation Terms of Reference

12. The specific aims of the Cambodia UN-REDD National Programme are represented by the following four outcomes and outputs:

Outcome 1: Effective National Management of the REDD+ Readiness and stakeholder engagement in accordance with the Roadmap principles

- Output 1.1: National REDD+ Readiness Coordination Mechanism established.
- Output 1.2: Support to National REDD+ Readiness process.
- Output 1.3: Stakeholders are engaged in the REDD+ Readiness process.
- Output 1.4: Stakeholders provided with access to information on REDD+ and the National REDD+ Readiness process.

Outcome 2: Development of the National REDD+ Strategy and Implementation Framework

- Output 2.1: Development of individual REDD+ strategies and implementation modalities.
- Output 2.2: Evaluation of REDD+ co-benefits.
- Output 2.3: Revenue and benefit-sharing studies.
- Output 2.4: Establishing REDD+ Fund mechanisms.
- Output 2.5: Policy and legal development for the National REDD+ implementation framework.
- Output 2.6: Safeguards and monitoring of co-benefits.

Outcome 3: Improved capacity to manage REDD+ at subnational levels

- Output 3.1: Development of National REDD+ project guidelines and selection of demonstration sites.
- Output 3.2: Pilot project activities.

² The total budget for the entire duration of the Programme, as specified in the signed Submission Form and National Programme Document. This information is available on the MPTF Office GATEWAY: <http://mptf.undp.org>

³ Amount transferred to the participating UN Organization from the UN-REDD Multi-Partner Trust Fund. This information is available on the MPTF Office GATEWAY: <http://mptf.undp.org>

Outcome 4: Design of a Monitoring System and capacity for implementation

- Output 4.1: Establishment of the National MRV/REL Technical Team and build appropriate national capacity.
- Output 4.2: Develop Cambodia Monitoring system plan.
- Output 4.3: Review of the forest cover assessments to provide REDD+ activity data and design the satellite forest monitoring system.
- Output 4.4: Design of a National Forest Inventory to develop emission and removal factors for REDD+ related activities.
- Output 4.5: Support the development of a REDD+ related GHG Reporting System.
- Output 4.6: Support the development of Cambodia RL/REL framework.

A.1 Transition to FCPF Funding

13. As the CNP implementation under UN-REDD ends in June 2015, the same set of outcomes have been transitioned into the FCPF programme. Out of the total FCPF programme budget of USD 6 745 800, UN-REDD is contributing USD 2 280 000. The FCPF funding can be spent over a longer time frame than the UN REDD funding, which is why most components will be predominantly funded by UN-REDD early in implementation (Years 1 and 2) and by the FCPF funds later on (Years 2 and 3). In the PEB 9 hold in February 2015, it was decided that UN-REDD assets would be handed over to FCPF project in Q3, 2015. FAO will continue providing technical assistance to the RGC under component 4.
14. Note that this is not an evaluation of the REDD+ implementation FCPF. However, the nature of the transition necessitates an assessment of the modalities for transition and how they impact the overall outcomes of the CNP. This transition affects the review of outcomes to impact under the Theory of Change.
15. UNDP is serving as a delivery partner to the FCPF project. The FCPF activities will be jointly implemented by the Forestry Administration (FA from the Ministry of Agriculture, Forestry, and Fisheries), General Department of Administration for Nature Conservation and Protection (GDANCP) from the Ministry of Environment), and Fisheries Administration (FiA from the Ministry of Agriculture, Forestry, and Fisheries), under the overall guidance of the National REDD+ Taskforce.
16. The project will build on an existing institutional structure and human resources under the national REDD+ taskforce. Thus the main components of the project structure will be the same as the ones of the UN-REDD Programme, with the Cambodia REDD+ Taskforce, the Programme Executive Board (PEB), the REDD+ Taskforce Secretariat and Programme Assurance serving as the Project Management Unit.
17. The UN-REDD Programme Executive Board (PEB) will continue to oversee the implementation co-chaired by the director general of FA, as the implementing partner and by UN Resident Coordinator or his/her designate. Other current PEB members under the UN-REDD programme include a FA representative (National Project Director (NPD) of the UN-REDD programme) and a GDANCP representative (Deputy NPD of the UN-REDD programme) and a FiA representative from government agencies. Other but equally important PEB members are representatives from FAO, UNDP, UNEP, Civil Society and Indigenous Peoples representatives, EC, and Embassies of Japan and Norway. Even after the closure of the UN-REDD programme, the PEB is envisaged to continue serving as a governing body for the FCPF activities. Likewise, the membership of the PEB will remain the same unless any changes are proposed.

B. THE EVALUATION

B.1 Purpose of the Evaluation

18. The scope of the evaluation is the Cambodia UN-REDD National Programme and outputs. The programme was delivered from the time of inception in August 2011, until the time of closure in June 2015. The RGC received funding from the Forest Carbon Partnership Facility (FCPF) in 2014 to continue the implementation of activities under the outcomes designed for the UN-REDD National Programme, which are based in the Cambodia REDD+ Roadmap. For the purpose of this evaluation, it is noted that a separate evaluation will be carried out for implementation under the FCPF. The evaluation is based on data and information available at the time of evaluation.
19. The purpose of the evaluation is to assess (i) Programme performance in terms of relevance, effectiveness (outputs and outcomes) and efficiency, (ii) sustainability and up-scaling of results, and (iii) actual and potential impacts from the programme. The evaluation has the following objectives:
 - To provide evidence of results to meet accountability requirements.
 - To assess the status of REDD+ readiness in Cambodia, gaps and challenges that need to be addressed to achieve REDD+ readiness and the UN-REDD Programme's possible roles in the future REDD+ process in the country.
 - To promote learning, feedback and knowledge sharing through results and lessons learned among the participating UN Organizations and other partners. The evaluation will identify lessons of operational and technical relevance for future programme formulation and implementation in the country, especially future UN-REDD Programmes, and/or for the UN-REDD Programme as a whole.
 - Identify key building blocks that have successfully brought about the desired outcomes.
20. The primary audience for the evaluation is the Royal Government of Cambodia, the three participating UN Organizations of the UN-REDD Programme (i.e. FAO, UNDP and UNEP) and the implementing partners and responsible parties (i.e. Forestry Administration, Fisheries Administration and GDANCP of the Ministry of Environment), and programme resource partners. The secondary audience for the evaluation is the UN-REDD Policy Board and national REDD+ stakeholders such as development partners, representatives from the REDD+ taskforce, the REDD+ Taskforce Secretariat, the Consultation Group and the Gender Group. The evaluation will also be made available to the public through the UN-REDD Programme website (www.un-redd.org).

B.2 Methodology of the Evaluation

21. Following the Review of Outcomes to Impacts (ROtI) methodology, the ET sought to understand the UN-REDD National Programme intended impacts and mapping out the corresponding Theory of Change (TOC). The basis for the evaluation framework is a series of tailored questions, judgement criteria and indicators against the Organisation for Economic Co-operation and Development (OECD) Development Assistance Criteria (DAC). These cover the following five thematic areas:
 - **Relevance:** the extent to which the National Programme and its intended outcomes or outputs are consistent with national and local policies and priorities and the needs of the intended beneficiaries. Relevance also considers the extent to which the

initiative is aligned with the UN-REDD Programme Strategy 2011-2015⁴ (or the UN-REDD Programme Framework Document⁵ for Programmes approved before November 2010) and the corporate plans of the three participating UN Organizations. Relevance *vis-à-vis* other REDD+ or REDD+-related programmes implemented in the country should also be examined, in terms of synergies, complementarities and absence of duplication of efforts.

- Effectiveness: measures the extent to which the National Programme’s intended results (outputs and outcomes) have been achieved or the extent to which progress towards outputs and outcomes has been achieved.
- Efficiency: measures how economically resources or inputs (such as funds, expertise and time) are converted to achieving stipulated outcomes and outputs.
- Sustainability: analyses the likelihood of sustainable outcomes at programme termination, with attention to sustainability of financial resources, the socio-political environment, catalytic or replication effects of the project, institutional and governance factors, and environmental risks.
- Impact: measures to what extent the National Programme has contributed to, or is likely to contribute to intermediate states towards impact, such as changes in the governance systems and stakeholder behaviour, and impact on people’s lives and the environment. The evaluation will assess the likelihood of impact by critically reviewing the Programme intervention strategy (Theory of Change) and the presence of the required drivers and assumptions for outcomes to lead to intermediate states and impact.

22. The evaluation framework constituted the main instrument for data collection during the evaluation. However, the framework is treated as a guide because it evolved during delivery of the assignment. The ET analysed the project log frame to determine project design appropriateness and link to outcomes.

23. The evaluation consisted of the following phases:

Table B-1: Summary of Phases and Timeframe for the Evaluation

Activity	Timing
<i>Inception phase:</i>	<i>No Inception</i>
<i>Evaluation mission phase:</i> Interviews	<i>20 April to 30 April 2015</i>
<i>Reporting phase:</i> Analysis Draft Report delivered Review of draft final report Final report delivered	30 April to 20 May 2015 20 May 2015 30 June 2015

⁴ The UN-REDD Programme Strategy 2011-2015 is available on:

http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=4598&Itemid=53

⁵ The UN-REDD Programme Framework Document is available on:

http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=4&Itemid=53

24. The ET interviewed staff in the UN agencies, government officials and ministry staff, higher learning institutions, and NGOs. In addition, the ET evaluated key documents e.g. programme documents, annual work plans, and held consultative meetings with the client throughout the process of the review. Annex 4 contains a list of interviewees.

PART 2. MAIN FINDINGS OF THE EVALUATION

A. CONCEPT AND RELEVANCE

A.1 Design

Table A-1: Ratings for Programme Design

Outcome	Rating
Overall Rating for Design	MS
Outcome 1	S
Outcome 2	MS
Outcome 3	S
Outcome 4	MS

25. UN-REDD Programme design is relevant and well inserted into the National REDD+ Roadmap. There is clear and concise articulation of purpose, collaboration and coordination with other programmes. The CNP benefits immensely from the existence of the Cambodia National REDD+ Roadmap (the Roadmap) from a strategic point of view; it is one of the key building blocks. It also benefited from the fact that the UN agencies, and a large number of stakeholders, were involved in the preparation of the Roadmap. It is clear that the RGC, also benefited from the Roadmap development process to enable and increase the level of engagement of key government departments.
26. In comparison to Tanzania and Vietnam, the structure and modality for delivery of the CNP, particularly in relation to coordination with other bilateral and multilateral support is much more coherent. By necessity, the design concept and the outcomes are consistent with the Global UNREDD Programme's own vision and strategy and seem to be well-received by RGC because of good intersection with the Roadmap.
27. The design of the CNP also benefits from the in-depth analysis of both the UNFCCC COP (Conference of Parties) decisions and the funding modalities for supporting REDD+ Readiness. While it is not explicit in the analysis, the understanding of these modalities possibly contributed to the ability of Cambodia to then seek and attract multiple bilateral support including from the Japanese government (CAM-REDD), and more recently, the FCPF.
28. Cambodia started its engagement in the REDD+ Readiness process very early with the submission and acceptance of the Readiness Plan Idea Note (R-PIN) to the FCPF by early 2009 and simultaneously being granted UN-REDD Programme observer status by October 2009. These are significant milestones, which differentiate Cambodia from other countries. It was able to benefit from coordinated support by UN agencies in the development of the Roadmap. Early achievement of these milestones meant the country was able to benefit from immediate support from UNDP and FAO country offices in developing a National Programme that specifically supported implementation of the Roadmap. Cambodia was already a step ahead with an interim REDD+ Taskforce and engagement of stakeholder groups. Other countries could certainly benefit from this approach.
29. In addition, as illustrated in Figure A-1, a multitude of international support programmes became part of the overall Roadmap framework thus creating the necessary synergies and reducing incongruence. For instance, the support for sustainable forest management and biodiversity programmes will strengthen the overall impact of the CNP. Often programmes of this nature may require an exit strategy, but the current setup and coordinated implementation of these various

programmes provides a mechanism for sustained emphasis and effort to make REDD+ work in Cambodia.

Figure A-1: Summary of REDD+ Programmes in Cambodia

Outcomes vs. Programme funds (USD)	UN-REDD	USAID-Supporting Forests and Biodiversity (Sfb)	CAM-REDD (GOV. OF JAPAN)	FCPF	UNDP/GEF-Sustainable Forest Management Programme	EU- OXFAM, Sustainable Forest Management	Community Forestry-Spanish AECID and FAO	FAO's TCP-NFI National Forest Inventory
Outcome 1: Institutional Arrangements	1 088 561	√√	√	1 157 000				
Outcome 2: Strategies/ Policies	521 509		√	967 000		2 490 000		
Outcome 3: Pilots/Sub-national Development	47 524	√√	√√	989 000	3 321 924		865 377	
Outcome 4: MRV/ REDD+ GHG Emissions Registry/Reporting to GHG inventory	1 160 000		√√	687 000				305 000
TOTAL RELEVANT FUNDS	3 001 350	22 194 914	10-12 000 000	3 800 000	3 321 924	2 490 000	865 377	305 000
<p>Notes: √ indicates the degree of focus under each framework. √ means a moderate focus and √√ means a strong focus. Source: CNP Project Document and other project documents</p>								

30. However, there are observations and feedback from stakeholders on matters relating to the management arrangements, articulation of roles and responsibilities, and broader institutional capacity (human and technical). The issue of management arrangements is discussed in Section C. Based on feedback and assessment of progress, there is a gross underestimation of the timeframe required to complete the implementation. The overall timeframe, sequencing and prioritisation of activities has proved to be less optimal leading to two no-cost extensions. The CNP was designed to be completed within two years but it is now close to four years. There is a combination of reasons for this.
31. REDD+ is complex and difficult to understand and could be the reason why national institutions may take a long time to make decisions, thus resulting in critical delays to the implementation of programme activities. In designing the programme, there is limited evidence that a thorough capacity needs assessment was carried out. The project document reflects well on the broader context and history of Cambodia's forestry sector including an assessment of the policies and regulations, policy failures, extensive consultations of government line agencies, donors, news agencies, NGOs, civil society, indigenous people's organisations, and community groups.
32. However, the ET notes the glaring absence of an extensive capacity needs assessment to thoroughly understand the likely impact of any capacity gaps that may exist across institutions. Capacity assessments generally prioritise skills and knowledge gaps and key interventions identified often solely focus on training or education. However, focusing solely on training or education has limitations, because the training of individuals does not necessarily link to the leadership and systems that the individual concerned is accountable for. This weakens the

asserted theory of change because it implies greater focus on achieving outputs. When a focus is mainly on outputs, there is a limited link to factors leading to desirable outcomes and the long term impact.

33. To reach the goal of ensuring that national and local authorities and the private sector are better able to sustainably use natural resources, the result chain has to ensure their sustained participation. From a TOC perspective, there is a need to be clear about what causes this intermediate state, i.e. ability to have sustained involvement. The nature of the CNP is such that the cause and effect could be stronger if, for instance, there is some form of sustained technical support across the REDD+ readiness process. The Roadmap recognises this issue but the lack of predictable and sustained technical support beyond the CNP and FCPF support reduces the sustainability of the outcomes. Thus the capacity needs assessment becomes an important link to strengthen the result chain.
34. UNDP (2008)⁶ defined five different functional capacities that training should focus on: capacity to engage with stakeholders, capacity to assess a situation and define a vision and mandate, capacity to formulate policies and strategies, capacity to manage, budget and implement, and capacity to evaluate. Functional capacities can be explained as those capacities that are required to make something happen and will be required across any theme, project or programme. All of these five functional capacities are relevant to government institutions with a functional role in making REDD+ readiness happen.
35. During the evaluation field mission, the issue of lack of capacity frequently came up with reference to the lack of knowledge about the complex components of REDD+, and that it is a new concept. Reflections from some government officials indicate that REDD+ is convoluted, and requires multi-sector and stakeholder engagement at multiple levels. This complexity is perhaps reflected by the attempt to establish management arrangements that are somewhat over-engineered, with multiple layers of decision making and signing of documents – thus creating inefficiencies.
36. The other issue is that those tasked with implementation may not necessarily have the capacity to make decisions that have political implications. For instance, under Outcome 4, the lengthy discussions on forest definition and on the analysis of drivers and agents of deforestation are somewhat subject to strong political contestation and are sensitive talking points. It is clear that the historical conflicts in Cambodia gave rise to substantial unsanctioned forest logging that created an attractive source of income, which continues to be at the heart of politics in the country (Neak, 2007; Le Billon, 2002).
37. On the issue of prioritisation of activities, the design seems to overlook the interdependencies of outputs as well as considering external influences. The influence of UNFCCC decisions and outcomes of international negotiations on climate finance are difficult to predict. Such decisions influence and drive shifts in political agendas. The ET notes the substantial pressure on the implementation team to complete the development of the National REDD+ Strategy (NRS). This pressure filters down to the need to complete the development of FRELS, which is reliant on data from land use and land cover change analysis under Outcome 4.
38. This pressure somehow originates from a pledge made in Lima (COP 20) by some donors to complete the NRS before COP 21 in Paris in December 2015. Data or outputs from Outcome 4 are

⁶ UNDP (2007) Capacity Assessment Methodology User's Guide. Capacity Development Group Bureau for Development Policy

UNDP (2008) Capacity Assessment Practice Note.

proving to be critical for a number of important submissions. At COP 19, all Parties were invited to initiate or intensify domestic preparations for their Intended Nationally Determined Contributions (INDC) towards achieving the objective of the Convention as set out in its Article 27. The RGC sees Outcome 4 as contributing the INDC submission, which is due at the end of August 2015.

39. The development of the Roadmap should have triggered the need to prioritise implementing Outcome 4 earlier by initiating the discussions on forest definitions and completing comprehensive analysis of drivers and agents of deforestation and forest degradation. This situation essentially reflects the issue of capacity discussed earlier, i.e. capacity to assess a situation and define a vision and mandate. In the future, other countries may benefit from considering the value of undertaking a comprehensive capacity needs assessment at the design phase of the programme. The ET notes that a few national individuals, who have become subject matter experts, are overwhelmed with competing demands, requests to provide advice, and attend national and international meetings, so therefore have little time for performing many of their duties to the full extent.
40. For the purpose of REDD+, it should be noted that while the definition of forest is based on national circumstances, the rationale must be justifiable. For instance, if the definition of forest is such that it technically excludes some forested areas that may eventually be cleared with potentially large emissions, then the international community will view such actions with scepticism. This may affect the country's ability to attract performance incentives for reduced greenhouse gas emissions.

Global discourse and national circumstances

41. The perceptions of REDD+ today are that it has not delivered the incentives promised. While this might appear a simplistic view, in reality, political energy seems to be stagnating with constant feedback that there is no money from REDD+. National realities are much more difficult to resolve in short timeframes.
42. A general global observation is that in numerous countries, matters of land tenure, forest governance, financial governance, and identifying agents and drivers of deforestation remain sensitive and challenging – therefore remain an inherent risk within UNREDD National Programmes (Vietnam, Tanzania, Zambia etc.) –Cambodia included. Ambitions and complexity of the UN-REDD Programmes challenge the status quo seeking transformational changes in the institutions and politics, requiring integration of all stakeholders in the decision-making related to resource use. These changes take time, yet programmes are designed for rather short timeframes.
43. While readiness implementation guidance has gradually increased, converting the national efforts and even subnational efforts such as voluntary market projects into cash is also proving difficult. As stated in the global evaluation, REDD+ is challenged by the fact that “the commodity is hard to quantify, the sellers are not well defined, the big buyers do not exist and the rules of the game are not established”.
44. Nonetheless REDD+ is credited with increasing the level of awareness and commitment of government and private sector actors around the importance of forests. To its credit, the ever-expanding agricultural domain is recognised as a fundamental driver of deforestation in most

7 The stabilisation of greenhouse gas concentrations in the atmosphere at a level that would prevent dangerous anthropogenic interference with the climate system.

REDD+ countries and gaining a foothold in the political-economic decision-making processes that affect large-scale land use change.

45. The effectiveness of the CNP depends largely on the design architecture, level of national ownership and coordination, and its ability to integrate into pre-existing national programmes and other bilateral support mechanisms. This seems to have occurred fairly well. The ET acknowledges that policy projects are not simple to implement because there is the need to understand and identify the correct process to influence stakeholders at various levels. This takes a great deal of collaboration, cultural integration, understanding organisational culture and solid counterpart arrangements (the notion of equal counterparts). Both parties have to see value and the parties are required to have a shared vision.
46. Outcome 1 has enabled greater awareness and involvement of national stakeholders. While the ET is critical of the over-engineering of the management arrangements, in principle it reflects willingness to be inclusive although it might not work in practice. This links to the discussion in Section A.1 (Design) in which the conclusion is that for REDD+ to be successful in Cambodia, there is need for clear understanding and build capacity in the five different functional areas (capacity to engage stakeholders, capacity to assess a situation and define a vision and mandate, capacity to formulate policies and strategies, capacity to manage, budget and implement, and capacity to evaluate).

A.2 Relevance

Table A-2: Summary of Relevance Ratings

Outcome	Rating
Overall Rating for Relevance	R
Outcome 1	R
Outcome 2	R
Outcome 3	R
Outcome 4	R

47. The CNP is relevant and necessary to address the high and escalating rate of deforestation and forest degradation, as well as the weak capacity, governance and institutional framework. However, it of course needs to be viewed as one of many interventions that form a broader response to Cambodia's national climate change and development strategies. The UN-REDD National Programme is designed to support all six sections of the Roadmap by ensuring that all the necessary Readiness building blocks start to be developed. Each of the four outcomes clearly link to the Roadmap.

At the outcome level, the relevance of the UN-REDD Programme is unquestionable, as summarised in

48. Table A-3. Increasing deforestation and forest degradation necessitates effective regulation, administrative capacity and long-term strategies. During the field mission of this evaluation, a recurring theme is that national institutions are severely limited in effective management of natural resources due to low administrative and technical capacity, as well as low incentives.

Table A-3: Relevance assessment-

Outcome	Core relevance
Outcome 1: Effective National Management of the REDD+ Readiness and	To address increasing deforestation, the CNP is needed to set up the necessary institutions,

stakeholder engagement in accordance with the Roadmap principles	capacity building and awareness and engagement of stakeholders on the value of reducing deforestation.
Outcome 2: Development of the National REDD+ Strategy and Implementation Framework	The rate of deforestation and impact on livelihoods needs a long term strategy, which defines a vision, goals, and actions and provides guidance at national and subnational level.
Outcome 3: Improved capacity to manage REDD+ at subnational levels	Essential institutional coordination thereby enabling identification of collaboration opportunities, institutional gaps, and capacity needs.
Outcome 4: Design of a Monitoring System and capacity for implementation	It is necessary to set baselines, define key parameters, measure progress and performance

49. Cambodia has gone through various stages that are disruptive to forest conservation and sustainable management. Pressure to raise revenue in the 1990s led to introduction of extensive logging concessions (Forest Concessions) covering 7 million hectares between 1994 and 1997. Without strong monitoring and enforcement capacity, forest destruction reached unprecedented proportions, mainly due to over-harvesting and illegal logging. As one of many solutions to follow, the RGC introduced a logging moratorium in 2002 followed by a new Forestry Law in attempts to reverse the trend. Concession holders were required to prepare strategic forest concession management plans for review and approval of environmental and social impact assessments and re-negotiation of the existing agreements. While most of the production forestry concession agreements were ultimately cancelled by 2006, all remaining logging concessions, which have been reduced to 3.4 million hectares of the Permanent Forest Reserve, remain at a halt⁸
50. The challenge for the RGC is that reversing a situation of this nature requires broader solutions. While REDD+ is not the silver bullet, it provides the opportunity for broad strategic options by looking at institutional arrangements, stakeholder engagement and policies and regulations strengthening.
51. To address forest loss, the RGC has a wide range of measures and regulations. For instance, the Rectangular Strategy for Growth, Employment, Equity and Efficiency Phase III 2013-18 is the RGC's over-arching socio-economic development policy agenda. It includes ensuring environmental sustainability, especially through sustainable management and use of natural resources, and forestry reform. There is also the National Strategic Development Plan 2014-2018 which is intended to serve as the tool or roadmap for the implementation of the Rectangular Strategy Phase III.
52. The CNP Outcome 1 that aims to establish and support appropriate management arrangements and stakeholder consultation is relevant because of the somewhat fragmented nature of the forestry sector administration in Cambodia. Forests in Cambodia fall under the general jurisdiction of two government ministries but three different administrations. Forestry Administration and Fisheries Administration under the Ministry of Agriculture, Forestry and

⁸ Mid-term review

Fisheries (MAFF), are responsible for forests and flooded forest and mangrove areas respectively. Ministry of Environment is responsible for Protected Areas. Thus various laws relating to forests (Fisheries Law 2006, Forestry Law 2002, Land Law 2001, Protected Areas Law 2008, Environmental Protection and Natural Resources Management Law 1996, 1993 Royal Decree on Creation and Determination of Nature Reserves, 2009 Sub-decree #83 on Registration of Land of Indigenous Communities, etc.) are also administered by different ministries. This is complex and is likely to lead to substantial coordination challenges.

53. These institutional arrangements make Outcomes 1 and 2 more relevant because there is need to strengthen the weaknesses in governance, law enforcement, land tenure, mechanisms for benefit-sharing, and poverty alleviation efforts.
54. The challenge of addressing climate change is a global one affecting not just governments, but livelihoods of individuals. Discussions with some stakeholders reveal dichotomous perspectives where some stakeholders go as far as describing REDD+ as too difficult to deal with, but unable to be ignored. This reaffirms the findings of the global evaluation of UN-REDD that there is broad acknowledgement by a wide range of observers such as Civil Society Organizations (CSOs), government representatives, and Programme staff on the relevance of climate change mitigation but questioning of both the reliability and validity of the process used to define country needs. This relates to the issue of understanding country contexts discussed in the Design Section of this report.
55. The UNFCCC⁹ states that REDD+ activities should be country-driven, be undertaken in accordance with national development priorities, objectives, circumstances, capabilities, and should respect national sovereignty. It should be noted that the long-term success of and for countries to be REDD+ ready, there is often the need to make adjustments to national policies, mainstream REDD+ principles in business and operational plans and in fact try to influence political agendas.
56. As for Outcome 3, the REDD+ Readiness process will benefit from practical experiences from pilot activities that provide lessons for upscaling and contribution to policy formulation on improving the capacity to manage REDD+ at the subnational level. The RGC placed itself as an early adopter of concepts to establish pilot programmes. In 2008 and 2009, Cambodia made significant steps by approving the Oddar Meanchey pilot project as a pathway to establishing guiding principles for REDD+ projects to ensure that carbon revenues are used to:
 - a. improve forest management;
 - b. provide maximum benefits to local communities which participate in the project activities; and
 - c. support the development of new REDD+ projects in Cambodia.
57. A more general observation though is that it is not clear whether Cambodia's small number of pilot projects will provide in-country specific lessons. Other countries such as Tanzania have a much larger number of pilot projects – seven in Tanzania covering different regions. However, the ET notes that the two REDD+ pilot projects have been operating for several years and generating valuable lessons and options community engagement, participation and benefit sharing.
58. Outcome 4 is also relevant because a monitoring system and capacity for implementation is needed not just for REDD+, but for broader sector management strategies. As the global discussions towards performance-based payments continue to gather momentum, recipient countries are required to prepare for compliance with regards to establishing baselines, monitoring and reporting systems. UNFCCC COP 19 adopted five decisions on methodological guidance as part of the Warsaw Framework for REDD+ and these include:

⁹ UNFCCC Conference of the Parties, Decision 1/CP.16. Appendix 1. Par. 1

- d. Decision 11/CP.19, entitled “Modalities for national forest monitoring systems”
 - e. Decision 12/CP.19, entitled “The timing and the frequency of presentations of the summary of information on how all the safeguards referred to in decision 1/CP.16, appendix I, are being addressed and respected”
 - f. Decision 13/CP.19, entitled “Guidelines and procedures for the technical assessment of submissions from Parties on proposed forest reference emission levels and/or forest reference levels”
 - g. Decision 14/CP.19, entitled “Modalities for measuring, reporting and verifying”
 - h. Decision 15/CP.19, entitled “Addressing the drivers of deforestation and forest degradation”
59. However, the relevance of Outcome 4 can easily be diminished if the methodological approaches are flawed or questionable. As discussed in the Design section (A.1), relevance is improved only if the right (technical, defensible and robust) decisions are made on aspects such as forest definition, baseline periods, monitoring intervals, and on how and what capacity commitment is required to run and maintain established systems.
60. The global UN-REDD Programme Strategy covers the period 2011-2015, and has a mission “to support countries efforts to reduce emissions from deforestation and forest degradation through national REDD+ strategies that transform their forest sectors so as to contribute to human well-being and meet climate change mitigation and adaptation aspirations”. This mission supports the vision of seeing the significant reduction in forest and land-based emissions. At the outcome level, the CNP is relevant and takes advantage of normative processes and its core work areas i.e. governance, MRV, stakeholder engagement, benefits frameworks, accountability and sector transformation.

B. RESULTS AND CONTRIBUTION TO STATED OBJECTIVES

B.1 Delivery of Outputs

61. The delivery of outputs is generally satisfactory but desired impact might be more difficult to achieve, because it is designed as a short term programme for Readiness preparation.
62. The CNP will close on 30 June 2015 after two no-cost extensions, thus running for a total of 4 years. It seems that most countries implementing UN-REDD National Programmes have had to request extensions, as observed in Vietnam, Tanzania, Democratic Republic of Congo, and Zambia. A recurring theme is that there is limited understanding of national context and a tendency to use a “one-size-fits-all” approach in designing the programmes. The ET believes that it is worth considering making the implementation period commensurate with country circumstances.
63. For each of the 4 outcomes, the ET has looked at how the CNP has either achieved the outputs on its own or contributed to the outputs and outcomes in the broader context. The ET’s ratings of these outcomes and outputs are based on assessment of annual reporting and work plans, document review and extensive evaluation interviews. These ratings are indicated in Table B-1. A more detailed analysis of the progress on delivery can be assessed on Annex 5.
64. Many achievements were made by the CNP during the programme especially in 2013 and 2014. Many programme activities and events such as study tours, trainings, workshops, meetings and consultations at national and sub-national levels were organised by the REDD+ Taskforce Secretariat, technical teams and the consultation group. REDD+ awareness material was produced and shared with stakeholders. Capacity of Taskforce, Taskforce Secretariat, technical teams, consultation group, and gender group and community networks has been strengthened.
65. Working papers on REDD+ safeguards, REDD+ fund options and benefit sharing, REDD+ cost and benefit analysis, grievance mechanism, NFI (National Forestry Inventory), and REL have been

produced and are contributing to the development of the REDD+ framework and the National REDD+ Strategy. The national REDD+ Strategy is in its second draft and expected to be completed in time for presentation at the UNFCCC COP 21 in Paris in December 2015.

Table B-1: Rating of Outcomes and Outputs

OUTPUT	Description of Target	Evaluators Rating	Status Comment
OUTCOME 1: Effective National Management of the REDD+ Readiness and stakeholder engagement			
Output 1.1	National REDD+ Readiness Coordination Mechanism established	S	Achieved
Output 1.2	Support to National REDD+ Readiness process	S	Achieved but ongoing
Output 1.3	Stakeholders are engaged in the REDD+ Readiness process	MS	Achieved but ongoing
Output 1.4	Stakeholders provided with access to information on REDD+ and the National REDD+ Readiness process	MS	Partially achieved (since not all activities are complete, it means stakeholders do not yet have full access to information). But the process appears well established
OUTCOME 2: Development of the National REDD+ Strategy and Implementation Framework			
Output 2.1	Development of individual REDD+ strategies and implementation modalities	MS	Not Achieved but in progress (2 nd Draft produced)
Output 2.2	Evaluation of REDD+ co-benefits	MU	Not achieved, in progress
Output 2.3/2.4	Establishing REDD+ Fund mechanisms and Revenue and benefit-sharing studies	MU	2.3 and 2.4 were combined. Not achieved
Output 2.4			2.3 and 2.4 were combined
Output 2.5	Policy and legal development for the National REDD+ implementation framework		This output was dropped as a result of a decision at PEB 4, but one significant result was achieved before it was dropped, namely an assessment of options for establishment of a REDD+ grievance mechanism.
Output 2.6	Safeguards and monitoring of co-benefits	MS	Partially achieved
OUTCOME 3: Improved capacity to manage REDD+ at subnational levels			
Output 3.1	Development of National REDD+ project guidelines and selection of demonstration sites	MS	Partially achieved and ongoing
Output 3.2	Pilot project activities	MU	Partially achieved and ongoing
OUTCOME 4: Design of a Monitoring System and capacity for implementation			
Output 4.1	Establishment of the National MRV/ REL Technical Team and build appropriate national capacity	S	Achieved
Output 4.2	Develop Cambodia Monitoring System Plan	MU	In progress and expected towards the end of 2015
Output 4.3	Review of the forest cover assessments to provide REDD+ activity data and design the satellite forest monitoring system	MU	In progress

OUTPUT	Description of Target	Evaluators Rating	Status Comment
Output 4.4	Design of a National Forest Inventory to develop emission and removal factors for REDD+ related activities	MS	In progress
Output 4.5	Support the development of a REDD+ related GHG Reporting System	MS	In progress
Output 4.6	Support the development of Cambodia RL/REL framework	U	In progress but behind schedule
Notes: Highly Satisfactory (HS), Satisfactory (S) Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU), Ongoing			

B.2 Effectiveness

Table B-2: Rating for Effectiveness

Outcome	Rating
Overall Rating for Effectiveness	MU
Outcome 1	MU
Outcome 2	MS
Outcome 3	MU
Outcome 4	MU

Outcome 1 Achievements

66. As required, the CNP established the required structure to run the programme i.e. the Programme Executive Board composed of senior representatives from government ministries and UN agencies. The task of establishing the national coordination mechanism has been achieved. The National REDD+ Taskforce (NRTF), the Secretariat and Consultation Group and REDD+ Technical Teams are all in place.
67. However, the process and progress was slow at the beginning with significant delays on setting up the NRTF, which was established almost 8 months late. This delay is attributed to a lengthy process of deciding the composition and representation of the group. The process could have been more effective with a much less complicated and over-engineered programme management structure.
68. The NRTF has worked well to establish the Taskforce Secretariat, four Technical Teams, a work calendar and direct the preparation of the Cambodia REDD+ Communication Strategy. The NRTF understands its role and functions including pushing forward and coordinating the development of the National REDD+ Strategy, FREL/FRL, Safeguards Information System (SIS) and National Forest Monitoring System (NFMS). There is a sense that government institutions and officials are well engaged in the implementation of programme activities and also learning-by-doing.
69. A wide range of activities have been undertaken, including capacity building through knowledge exchange and participation in regional dialogue events for selected officials, facilitation of sub-national consultations meetings on the development of safeguards, benefit sharing, fund mechanisms, and National REDD+ Strategy. According to project staff, a survey conducted on the Programme reveals that, averaged across nine stakeholder groups¹⁰, at least 67% of members of stakeholder groups represented on the Consultation Group confirm that their views on policy decisions are effectively communicated and considered by the Taskforce. (Note that no evidence was cited of the results of the survey).

Outcome 2 Achievements

70. The development of individual REDD+ strategies and implementation modalities is a relatively complex process. Preliminary analytical work on cost-benefit of REDD+, benefit distribution systems, and safeguards was undertaken. Therefore the CNP has added significant value to the REDD+ readiness process by bringing important issues such as safeguards and benefit distribution to the forefront.

¹⁰ The nine stakeholder groups are: Academia, Private Sector, International NGOs, National NGOs, CSOs, IPs, Community Forests, Community Fisheries, Community Protected Areas

71. The studies on how to prioritise sustainable forest management issues are important as part of the evidence-based policy formulation. Similarly, the technical assessment outlines the key principles and elements that contribute to the design of an effective benefit-sharing system and also provides a good basis for designing equitable systems. According to UN-REDD, benefit sharing mechanisms should be considered in terms of the vertical axis benefit-sharing from national to local, and across communities, households and other local stakeholders. The main aim is to improve and sustain good forest management through maximising equity among actors responsible for the reduction of deforestation and forest degradation. Hence the national consultation process is not only essential, but must subsequently translate into reality in terms of the three main basic modalities for delivering international REDD+ financing at a country level.
72. These CNP implementation modalities are loosely linked to the phases of REDD+ implementation articulated in the Cancun Agreements in 2010, which involve a transition from preparation and planning, to implementation of policies and measures to reduce deforestation and forest degradation and finally to results-based payments for verified emission reductions.
73. A number of reports have been produced, including one on setting up a national REDD+ Fund management mechanism and another one on safeguards in order to provide some broader understanding of scenarios and options for the RGC. This is commendable and necessary. Feedback from government officials is that these reports are long and difficult to understand such that only a handful of people will read them, but it is unlikely that key decision makers will find time to read the reports, especially since they are only produced in English. It is therefore prudent that such reports are summarised and provided in a format that key decision-makers can easily understand in Khmer language.

Outcome 3 Achievements

74. Pilot projects are an essential component of REDD+ Readiness because they provide practical operational lessons and contribute to broader policy formulation. The option to select existing pilot sites (Oddar Meanchey, and Seima in Moundulkiri Province) is strategic given the short CNP timeframe. It offers better opportunities for adding value to processes already underway. It also enables the additive effect of enhancing components and models that promise scalability and to be transferable.
75. A comprehensive suite of technical reports produced under Outcome 3 are accessible through the Cambodia REDD+ website (<http://www.cambodia-redd.org>). In addition, 5 policy briefs have also been produced under this outcome. These are important outputs for informing the stakeholders about the technical aspects of the REDD+ Readiness process.
76. However, at the delivery level, it could be difficult to measure impact related to the contribution of the project because of supporting on-going pilots, and this needs to be recognised or acknowledged. It is also possible that any failures or risks are inherited yet not accounted for in the programme risks analysis.

Outcome 4 Achievements

77. As discussed in the Design section, Outcome 4 has important deliverables that are in the critical path of major international submissions. Cambodia is committed to submit FREL by November and INDCs ~~submission report~~ by September 2015. Quantitative land use and land cover data and associated analysis of drivers of deforestation and forest degradation under Outcome 4 are necessary for both. The ET is critically concerned that the time remaining is too short to complete all the activities in the work plan illustrated in Table B-3.

Table B-3: Work Plan for FREL/FRL Development

Workplan FREL/FRL development															
Item	Q1			Q2			Q3			Q4			Notes		
	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec			
1. Preparation first draft FREL/FRL (framework)															
Background Document Initial Forest Reference Level (FRL) for Cambodia															
Meeting to discuss timeline															
Preparation FREL/FRL framework document (Inlc. Points for consideration/discussion)															Legend:
Sub-national trail data + emission calculation															
Sub-regional workshop Siem Reap															W = Workshop
2. Finalization of the draft FREL/FRL															
Completion Driver Assessment study +validation workshop															M = Meeting
National Circumstances review and report preparation															Targeted support UN-REDD UNJ / JICA
Activity data production (Land Use Change)															
Activity data compilation (wood consumption, fire, etc)															
Emission factor development (flooded forest)															
GHG Inventory completion 2006,2010,2014 for FREL/FRL															Consider earlier training?
Finalisation first draft FREL/FRL															
3. consultation with stakeholders (revision)															
Consultations on the first draft FREL/FRL with REDD+ Taskforce															
Consultation of the first draft with expert review panel															
Revision of the first draft and production of the second draft															
Consultation on the second draft with the REDD+ Taskforce, senior officers and NCCC															
4. Adoption of the FREL/FRL															
4.2. Endorsement of the FREL/FRL from the Prime Minister (tbc if necessary)															
5. Submission of the FREL/FRL to the UNFCCC															

78. As noted in the Design section, the ET believes this work should have been given higher priority from the beginning. Understandably, the complexity of REDD+ can make activity sequencing challenging and difficult to understand. At this point of the CNP implementation, it is highly unlikely that the FREL work will be completed on time because of delays by the RGC to decide on the national forest definition. As already noted, for instance, the RGC needed to make some key decisions and early clarification of:

- *Forest definition* – the first step in the process of determining the FREL is to decide on a nationally appropriate forest definition. The forest definition determines the area of forest and, therefore, also the change in forest area. As such, the choice of forest definition can have a significant impact on the quantification of the FREL. An additional and important element to consider is the consistency of the resulting forest definition with other pre-existing international definitions, for instance, the Marrakesh Accord, FAO etc.
- *Spatial boundaries* – the scale at which FREL are developed is important, and so is the identification of exclusion zones (for example, contested zones, areas demarcated for infrastructure development, cities, etc.)
- *Temporal boundaries and temporal trend analysis* – the historical reference covered by FRELs and the baseline approaches, i.e. historical average method, or time function method (modelling) – where deforestation is expressed as a function of driver variables, is still to be determined.
- *Carbon pools* – the carbon pools included will largely depend on the data available and sources of emissions, but will at the very least include above and below ground

forest carbon stocks – we note that Cambodia has elected to report on above-ground biomass only.

- *Drivers of Deforestation and Degradation, the agents and underlying causes and their likely future development* – Gaining an understanding of “who” is deforesting the forest (the “agent”) and what drives land-use decisions (“drivers” and “underlying causes”) is necessary for two main reasons: (i) estimating the quantity and location of future deforestation; and (ii) designing effective measures to address deforestation, including leakage prevention measures. Various studies provide different views on this but there is need to collate these studies to make them useful for policy formulation, and more importantly ensuring the analysis is not subject to political contestations.

79. To this point, a functional MRV system is not yet established but there is significant collateral data, information, and lessons useful to design one. The MRV system can also be the basis for implementing scaled-up jurisdictional and national programmes.

80. The finalisation of the land use and land cover and deforestation analysis is an important opportunity to move to the next logical step of establishing FRELs and an integrated MRV system. The approach for compiling RELs and MRV will need to anticipate the rules that are likely to be adopted by the Subsidiary Body for Scientific and Technological Advice (SBSTA) to the UNFCCC, alongside the methodological work of the Intergovernmental Panel on Climate Change (IPCC). Key guidance that are currently available for consideration include:

- Decision 12/CP.17, part II: Modalities for forest reference emission levels and forest reference levels¹¹
- Rules for the determination of RELs for Annex I countries for the use of forest management under Article 3.4 of the Kyoto Protocol in the 2nd commitment period
- Annex I of document FCCC/SBSTA/2012/2: “Elements for a possible draft decision on modalities for national forest monitoring systems and measuring, reporting and verifying”
- UN-REDD National Forest Monitoring Systems: Monitoring and Measurement, Reporting and Verification (M&MRV)
- IPCC Good Practice Guidance (GPG)

¹¹ Specifically, decision 12/CP.17, part II: “Modalities for forest reference emission levels and forest reference levels”

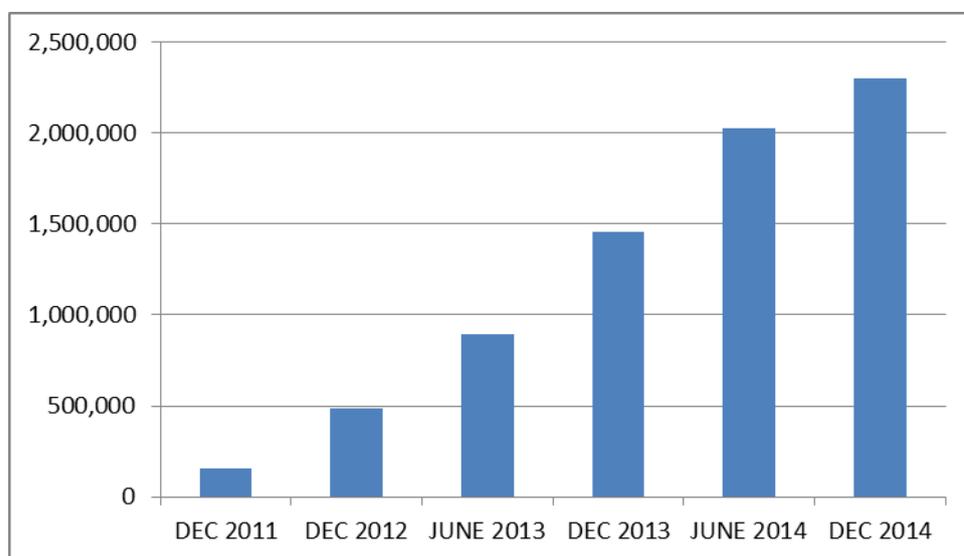
B.3 Efficiency

Table B-4: Rating for Efficiency

Outcome	Rating
Overall rating for efficiency	U
Outcome 1	U
Outcome 2	MU
Outcome 3	MU
Outcome 4	U

81. The assessment of efficiency is always difficult to benchmark because of varying national circumstances between countries. Figure B-2 below illustrates the budget by outcome and disbursement rate to December 2014. There is no global benchmark or guidance as to what or how much is needed to implement each of the components of REDD+ Readiness. It is also difficult to determine what constitutes value for money for each outcome.
82. However, the combined financial support from all development partners on particular thematic areas often gives an indication and proxy for making inferences. In addition to the CNP, Cambodia receives support for climate change response from various development partners such as the EU, Japan, ADB, and USAID, to name a few. The EU is providing institutional support for climate change finance, decentralisation, and joint capacity building for better governance in line ministries. The combined effort of these complimentary programmes is likely to be a better proxy for defining the efficiency of the implementation of REDD+ in the country. But that type of analysis is beyond the scope of this evaluation.

Figure B-1: Consolidate Funds Disbursement (USD)



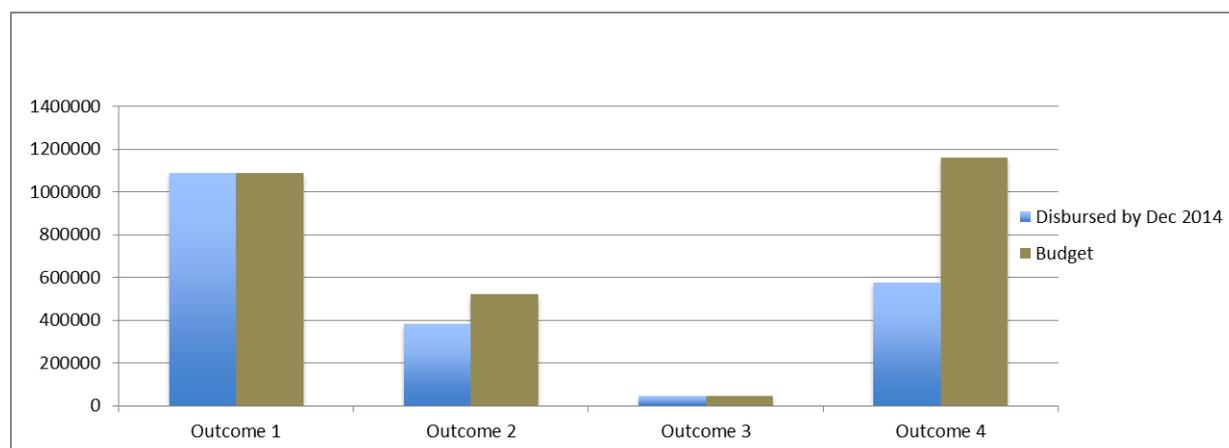
Source: CNP Annual and Semi-Annual Reports

83. However, at the simplest level, there is variable effort spent on different outputs. For instance, it appears that substantial effort and close to 40% of the CNP budget was spent on Outcome 1 (Figure B-2) and spread over more than a year. Noting the delays and two no-cost extensions, and the issue of slow decision-making, there are potential inefficiencies in the implementation of the CNP. The combined delays in staff recruitment of both national and international staff, as well as

setting up technical teams in the third year of the Programme meant funds utilisation was very slow in the beginning, as illustrated in Figure B-1 .

84. On the other hand, at this late stage of the CNP, there is recognition that some outputs are clearly running behind and should have been better prioritised. Thus the level of efficiency is somehow low.
85. The implementation team is composed of national and international staff. A selection of national staff are well qualified and knowledgeable in REDD+, forestry, and climate change in general. Feedback from government staff is that there is a work overload and that REDD+ is very demanding and there is not enough time to do everything.
86. There are areas where implementation could have more efficient. There is general criticism that the recruitment and procurement processes within UN agencies tend to take a long time, sometimes up to six months or more, especially for senior technical staff. For instance, the Programme document was signed on 9 August, 2011, and an Inception Workshop was held on 17 November, 2011. However, the Technical Specialist and MRV Technical Expert only joined the programme in January 2013. Off course it is noted that there were other circumstances, such as delays in establishing the REDD+ Taskforce Secretariat, but internal processes within UN agencies contributed to the delays.

Figure B-2: Funds Distribution by Outcome (USD)



Source: 2014 CNP Annual Report

87. In relation to the procurement of staff, major concerns were raised with respect to the modalities for procurement, and this applies to procurement processes with both UN agencies and Implementing Partners. In general, services and asset procurement were characterised by protracted documentation processes.
88. The agreed financial and technical management mechanism was implemented based on discussions with the RGC. The three participating UN Agencies in the UN-REDD Programme agreed to implement the Programme in a way that *“is consistent with the “One UN” approach advocated by UN members”* (UN Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries , UN-REDD, Framework Document, 20 June 2008; page 6).
89. The One-UN approach envisages greater harmonisation among UN Agencies working within countries and programmes. For example, as part of this commitment, the three UN agencies agreed to apply a Harmonised Approach for Cash Transfers (HACT) for the UN-REDD Programme. The ET agrees with the internal mid-term review that this agreement is proving to be difficult to follow, especially for FAO and UNEP. The Taskforce Secretariat opened a bank account which per instructions from UNDP is *“to be used only for receiving UNDP advances...”* and additional bank

accounts (for FAO and UNEP) are required. This increases the administrative burden on both parties.

90. As a general observation, other UN-REDD country evaluations (Vietnam, Tanzania) have pointed out that the different operating frameworks in FAO, UNDP and UNEP are not just confusing but sometimes self-serving, with little consideration for country needs. This type of comment arises from the fact that each agency has its own operating objectives at the country level with different process for decision-making. Stakeholders prefer to see better coordination, and in fact deal with a single agency if possible – at least for the purpose of UN-REDD national programmes.
91. In order to implement HACT, but use the same legal instrument with Implementing Partners, FAO uses its legal instrument in the form of a Letter of Agreement (LoA) with Implementing Partners. This enables FAO to make fund transfers although most activities are directly implemented by FAO and no funds need to be transferred.
92. UNEP uses a Small-Scale Funding Agreement (SSFA), which applies to amounts below USD200 000. Cash advances are not possible and fund transfers are based on outputs. Since August 2012, UNEP discussed the SSFA with the Taskforce Secretariat. While the process was very slow, a bank account was eventually opened to receive funds from UNEP and the SSFA was signed at the end of July 2013.

B.4 Cross cutting issues: Gender, Capacity Development, Normative Products

Table B-5: Summary Ratings for Cross-cutting issues

Cross cutting issues	Rating
Overall rating for Cross-cutting issues	U
Gender	MU
Capacity development	MS
Normative Products	S

Gender

93. The UNFCCC Cancun Agreements require developing country Parties to integrate gender considerations in the design and implementation of REDD+ national strategies and programmes. The view is that gender mainstreaming can help improve the efficiency, efficacy and long-term sustainability of the Programme (Women’s Inclusion in REDD+ in Cambodia, 2013). At the same time, gender mainstreaming is one of the five principles of the United Nations.
94. The gender aspect was not fully considered in the preliminary CNP design. No gender perspective was detailed in the project document. However, the Inception report states “the need to develop ambitious but realistic targets for participation of women within REDD+.”
95. For the CNP, gender engagement was included after the inception phase in the results matrix in the form of objectives for participation within governance bodies (at least 20% female), and for engagement through different training, awareness raising and consultation events (at least 30% female), but this is not reflected in the indicators. The NRTF approved the formation of a gender group in 2014, on the third year of the Programme, to ensure gender considerations were mainstreamed in the readiness process. The Women’s Affairs Ministry is an active member of the gender group.
96. Training on gender and REDD+ concepts were provided to the Gender Group, Technical Teams, Taskforce and Consultation Group. A gender checklist has been produced to ensure gender aspects are integrated in the National REDD+ Strategy.

97. With regard to Programme staffing, there is no quota set for women representatives or groups in the NRTF and technical working groups. At the stakeholder engagement level, the percentage of women participating in the decision-making remains low. During the last two years of the programme there has only been one woman member of the steering committee. It is noted with concern that out of the total 333 people trained on REDD+ and climate change under the CNP, only 17 per cent were women.
98. Some of the stakeholders interviewed by the ET are of the view that gender mainstreaming under REDD+ is not well understood. There is still need for hands-on training with concrete tools and examples on how to mainstream gender for REDD+ and include gender-sensitive indicators. The ET notes Cambodia's 2013 submission¹² of a proposal on how to enhance the goals of gender balance in line with paragraph eleven of the decision 23/CP.18, which reads "promoting gender balance and improving the participation of women in UNFCCC negotiations and in the representation of parties in bodies established pursuant to the Convention or the Kyoto Protocol".
99. In 2011, Cambodia moved to address gender in climate change by establishing a Gender and Climate Change Committee in the Ministry of Women's Affairs, seeking to complement the efforts by Cambodia Climate Change Alliance in the Ministry of Environment (CCCA/MOE) from a gender perspective.

Capacity development

100. Training activities were carried out under the four outcomes and most of the outputs. The CNP seeks to strengthen technical (e.g., MRV) and process oriented (e.g., stakeholder engagement, safeguards) competencies among the Taskforce, Secretariat, Government line agencies, Technical Teams, Consultation Group and Gender Group, CSOs (NGOs, IPs, community representatives) and community members. The activities performed include national and subnational capacity-building demonstrations, workshops, one-on-one coaching, just-in-time technical inputs, working groups, study tours (to Vietnam, Germany, Brazil), South-South learning, and the production and distribution of relevant knowledge products (e.g. policy briefs, guidelines).
101. Looking at the figures, a total of 333 people and 192 CSOs were trained on REDD+ and climate change. 35 MRV training workshops took place and 7 information notes were produced, plus many informative workshops and meetings. As indicated, an overall comprehensive capacity assessment was never performed during the design phase of the CNP. Under Outcome 4, a capacity-needs assessment was planned for MRV/REL during 2014, but it was not carried or at least not yet.
102. The capacity of relevant stakeholders is stronger to some extent because of the above-mentioned events. Nonetheless, it is important to note that workshop-based training does not provide government officials with enough time to learn and understand basic issues about REDD+, unless there are on-going follow-up workshops and seminars for instance. The MRV trainings seem to be an exception since they performed several follow-up workshops.
103. The capacity development approach used is not necessarily sustainable because the training of individuals does not necessarily link to the leadership and systems that the individual concerned

¹²

https://unfccc.int/files/documentation/submissions_from_parties/application/pdf/cop_gender_cambodia_28102013.pdf

is accountable for. As defined by UNDP (2008)¹³, capacity building should focus on functional capacities to engage with stakeholders, to assess a situation and define a vision and mandate, to formulate policies and strategies, to manage, budget and implement, and to evaluate.

104. It is possible that the RGC could engage national tertiary institutions in its capacity building strategy. Tertiary institutions present a broader opportunity for increasing the pool of skilled nationals. Perhaps considerations could be made to support curriculum development relevant to climate change in general and including REDD+.

Normative products

105. In accordance with the UN-REDD Framework Document, one of the two objectives of the UN-REDD Global Programme is to support the development of normative solutions and standardised approaches to REDD+. The Cambodia programme facilitated the creation of four technical teams (TTs) on safeguards, benefit-sharing, MRV, and demonstrations by the beginning of 2014, 2.5 years after the initiation of the implementation. These TTs are comprised of members from different government institutions.
106. Working papers for the REDD+ readiness process including safeguards, fund options and benefit sharing, cost and benefit analysis, grievance mechanism, a National Forest Inventory (NFI), and REL have been produced. The FA produced a policy brief on how to manage forest areas under the jurisdiction of the FA and the GDANCP and the Ministry of Environment developed a first draft of the National Protected Areas Strategic Management Plan on a landscape basis with the technical support of the NRTF. An NFI field manual and other key technical documents for the MRV effort were developed. A Community-Based REDD+ Plan was developed for guiding the implementation of this modality.
107. The UN Agencies used the UN-REDD Programme’s Guidelines for Stakeholder Engagement. A total of 516 participants from provincial authority, Technical departments, Indigenous People, Communities, and INGOs participated in these consultations.

B.5 Sustainability and Up-scaling

Table B-6: Ratings for Sustainability

Sustainability and Up-scaling	Rating
Overall rating for sustainability and up-scaling	MU
Financial sustainability	MU
Institutional sustainability	MS
Operational sustainability	MU
Up-scaling	MU

Financial Sustainability

108. The financial sustainability of the CNP is depended upon global negotiations. Protracted international negotiations mean that there are no clear long-term financing options for REDD+ in developing countries. 2015 is a particularly important year for global climate change negotiations

¹³ UNDP (2007) Capacity Assessment Methodology User’s Guide. Capacity Development Group Bureau for Development Policy

UNDP (2008) Capacity Assessment Practice Note.

with the UN summit to adopt the post-2015 development agenda and the Paris Climate Change Conference (UNFCCC COP 21). The aim of COP 21 is to reach, for the first time, a universal, legally binding agreement that will enable combating climate change and work towards resilient, low-carbon societies and economies. Another key objective of the COP 21 is the mobilisation of \$100 billion per year by developed countries to support and enable developing countries to combat climate change whilst promoting fair and sustainable development.

109. Funds will be disbursed through the Green Climate Fund and many countries are in the process of preparing the baseline positions and strategies to meet obligations and decisions from preceding COPs, in anticipation of receiving support for low carbon development strategies. Emerging and developing countries have preferred to adopt “Nationally Appropriate Mitigation Actions” (NAMA). Key actions include completing development of forest reference levels and reference emission levels, preparing Intended Nationally Determined Contributions (INDC). INDC are a new type of instrument under the UNFCCC through which the Parties intend to submit their commitments for the post-2020 period.
110. The slow nature of these negotiations means that there are still no reliable financing opportunities for countries; hence the financial sustainability is unclear. However, the activities implemented by the CNP bear more value beyond REDD+ and should be considered as part of the national economic development agenda.
111. In the short term, the financial sustainability of the readiness efforts in Cambodia is provided by the FCPF support up to December 2016. The FCPF Programme will continue implementing the activities of the REDD+ readiness process and other aspects of the National Roadmap. The interface between the CNP and the FCPF provides continuity during the readiness phase.

Institutional Sustainability

112. It is noted that the issue of sustainability of the CNP was frequently discussed with general agreement that the REDD+ Preparation Phase in Cambodia would need additional time and resources. It is anticipated that institutional sustainability will be strengthened further if the National REDD+ Strategy includes decisive options to institutionalise existing mechanisms for REDD+ under business as usual. There is evidence of commitment of senior and mid-level professionals in the FA, GDANCP, and FiA, which is indicative of the priority given to REDD+ in Cambodia.
113. The institutional setup necessary for effective implementation of CNP in Cambodia is in place and substantial groundwork has been laid to prepare the country for subsequent participation in performance-based payments systems under REDD+. However, being REDD+ ready requires commitment on many fronts. For instance, implementing institutions need regular and predictable financial support from central government to be able to retain REDD+ programme support staff and sustain outputs from the CNP, FCPF, and any other programme.
114. While national forestry and environmental policies are generally in place and continue to evolve, institutional and cross-sector coherence and implementation of these policies still needs strengthening through better monitoring, reporting and enforcement of accountability at central government level to identify where potential failures might occur. Since drivers of deforestation and forest degradation originate in agriculture, energy sector, and other economic drivers, the institutional collaboration and coordination needs enforcement through annual planning process and business plans.
115. It is important to reiterate the link between capacity development, sustainability and country needs. The CNP will be sustainable in the long term if the foundation is set with the appropriate framework. National Programme management boards and technical working groups are, by their nature, temporary and their roles and responsibilities evolve along with development of the

national REDD+ process. But as the CNP comes to an end, the groups are important for carrying over the knowledge; therefore, transition strategies should be in place.

116. Because of the CNP, there is increased understanding and awareness of REDD+ and its relevance for Cambodia. What the programme has not done at this point is to be clear about the type of capacity and whose capacity is necessary to set the long-term vision that leads to the intended impact. Thus, REDD+ needs to be treated as part of a suite of interventions to address deforestation and forest degradation and to contribute to a low emission economy.
117. Cambodia is receiving much needed capacity building support from other development partners, such as the EU, on climate change, Japan on MRV, and NFI beyond the life of the CNP. What is really important is the ability of the RGC to mainstream REDD+ across sectors into business as usual. Since the CNP is “readiness preparation”, it is necessary that a comprehensive capacity needs assessment is carried out to identify gaps as part of a long term sustainability strategy.
118. Thus while a total of 333 people and 192 CSOs were trained on REDD+ and climate change, real capacity building should be treated as a continuous process involving a combination of methods such as job shadowing, practice and formal courses. This should not only be the role of development partners, but the RGC has to enable mainstreaming of REDD+ in the political arena.

Opportunities for Up-scaling

119. Since the CNP Outcomes are limited to mainly national level strategic outputs and limited operational activities at subnational level, upscaling is limited. Rather, the issue is more likely to be about mainstreaming REDD+ to sub-national levels and implementing safeguards, benefit distribution mechanisms and monitoring systems.
120. Understandably, Oddar Meanchey and Seima demonstration projects have been in place for many years and there are lessons to be learnt from them. The policy briefs and technical papers produced are useful for informing national policies.

B.6 Likelihood of Impact

121. As a potential source of finance on the basis of performance reducing deforestation and forest degradation, REDD+ and national programmes promise to have greater impact in principle. However, in Cambodia, economic development and large agro-industrial developments are increasing pressure on forest land to the point where the carbon potential of forests and related financing is far less appealing than the potential revenue generated from timber and land capitalisation for commercial agriculture production. The single focus on the forestry sector rather than creating links to the agriculture sector potentially weakens the impact of the CNP since agents and drivers of deforestation originate from both sectors.
122. REDD+ interventions will lead to socio-economic changes that may affect peoples' lives, either positively or negatively, but the overall impact may well depend on the economic viability of REDD+ interventions. The CNP, by its design, is a preparatory phase towards performance-based incentives. However, the incentive schemes are still unclear, therefore governments are likely to take a “wait and see” position in terms of further efforts, beyond say a UN-REDD national programme. This is an indication that the CNP is more likely to achieve an intermediate state rather than long-term impacts, such as helping poor farmers and communities improve their livelihoods, while lowering emissions.
123. Since no theory of change was constructed during the design of the CNP, it is reconstructed for this evaluation to determine the pathway towards an impact, but then it becomes more or less an academic exercise. Nonetheless, through the CNP, the level of dialogue on the impact of deforestation and forest degradation on livelihoods has increased. The level of engagement across sectors and among stakeholders has also increased.

C. FACTORS AFFECTING PERFORMANCE

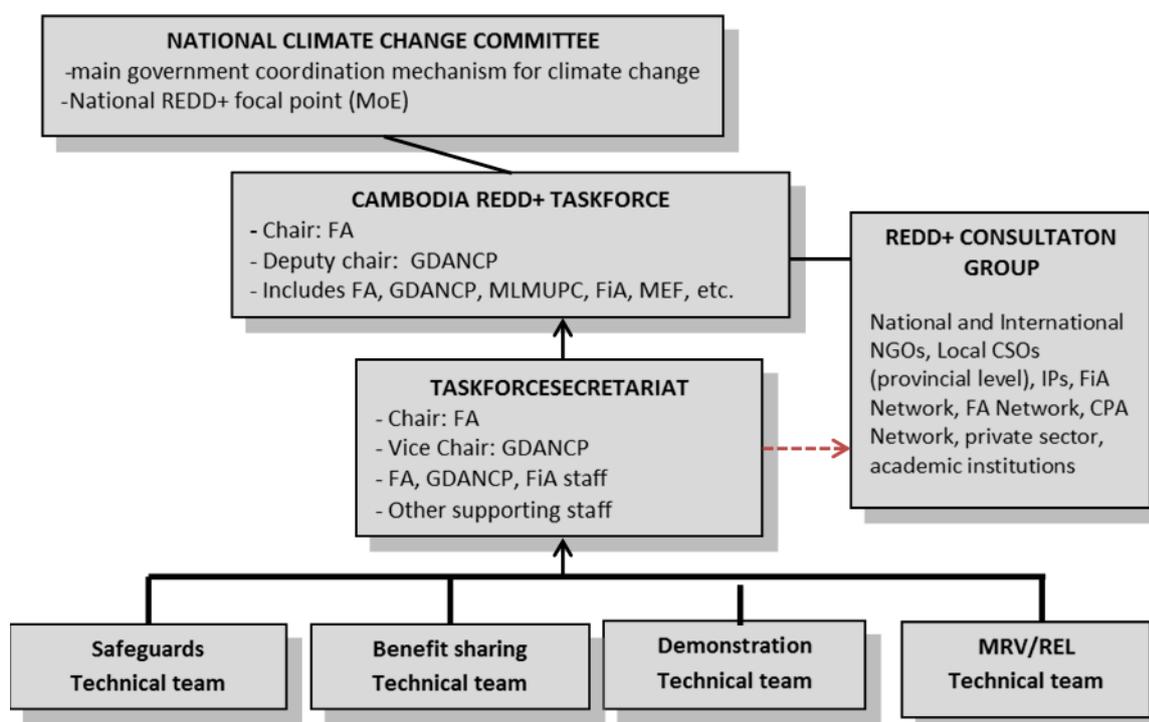
Table C-1: Ratings for Programme Management and Coordination

Programme Management and Coordination	Rating
Overall Quality of Project implementation	S
Agency coordination	S
Project Supervision	S

C.1 Programme Management and Coordination

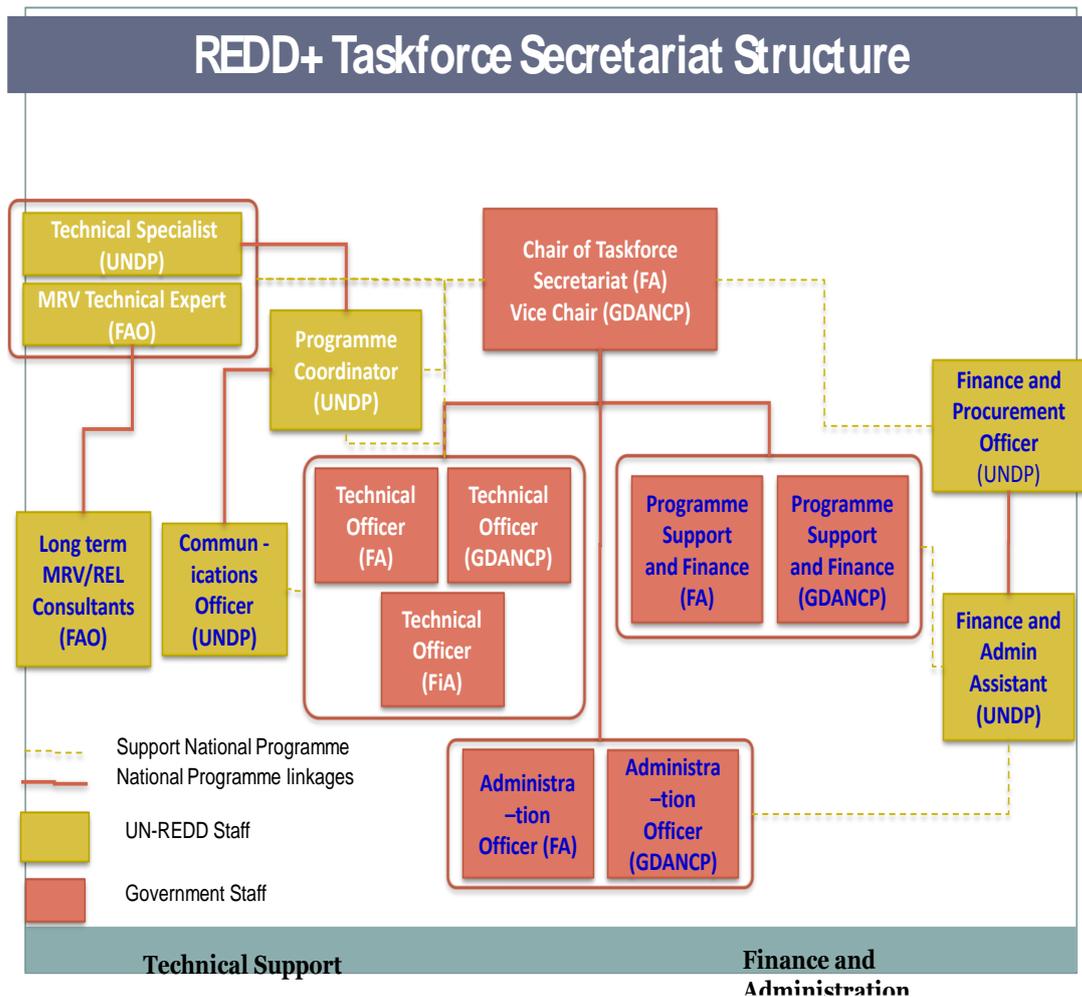
124. Looking at the implementation arrangements, the Programme implementation is being facilitated by the REDD+ Taskforce Secretariat (Figure C-2) and the REDD+ Taskforce established by the RGC. Figure C-1 illustrates the CNP management structure. The lead implementing parties of the Programme are the Forestry Administration (FA) of the Ministry of Agriculture, Forestry and Fisheries, and the General Department for Administration of Nature Conservation and Protection (GDANCP) of the Ministry of Environment. Other implementing partners include the Fisheries Administration (FiA) of the Ministry of Agriculture, Forestry and Fisheries. FA has appointed a National Programme Director (NPD) and GDANCP the Deputy National Programme Director (DNPd). The NPD and DNPd are responsible for overseeing the programme and accountable on behalf of the government for the Programme Executive Board (PEB).

Figure C-1: CNP Management Structure



Source: CNP Programme Document

Figure C-2: REDD+ Taskforce Secretariat Structure



Source: CNP Inception Report

125. PEB meetings are convened every four months. The PEB provides overall guidance and is responsible for the implementation of the Programme, the approval of the Annual Work Plans (AWP), budgets and overall monitoring and evaluation of progress made. The PEB is chaired by the Director General of the Forestry Administration (DG FA), and co-chaired by the UN Resident Coordinator (UN RC).

UN Agencies

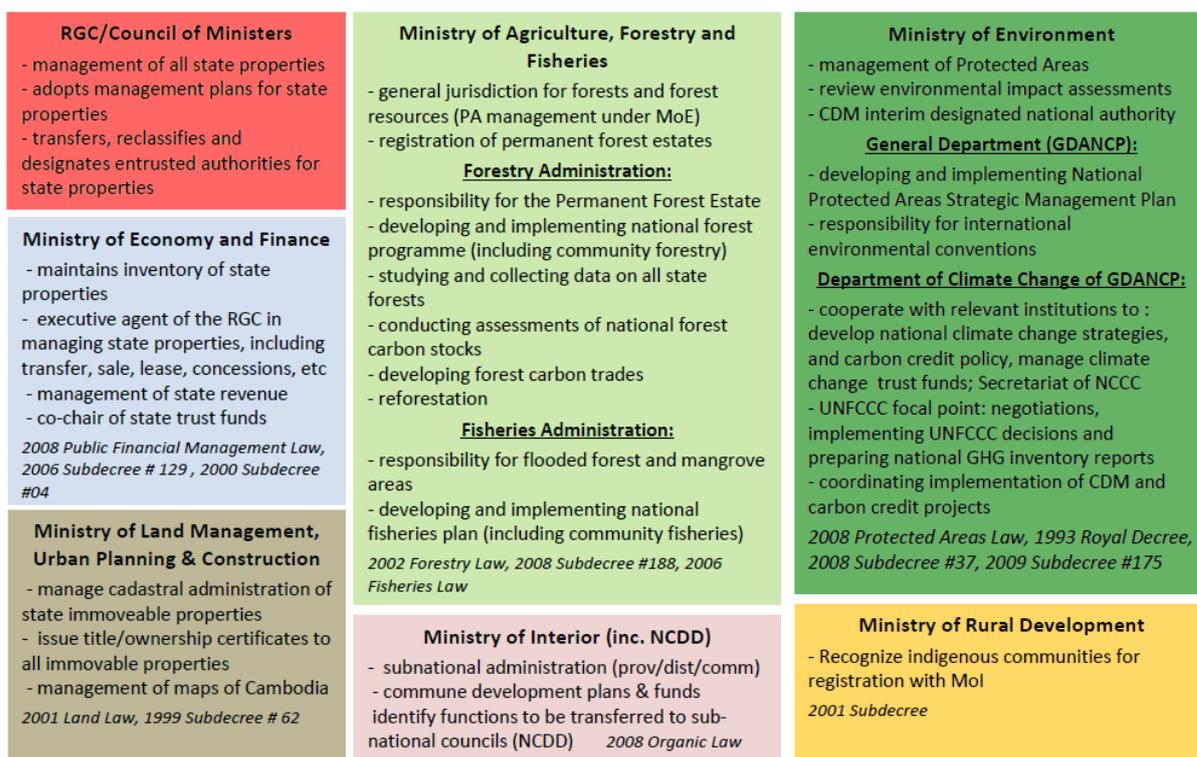
126. Before the CNP, the UN Agencies already had well established programmes in Cambodia, as well as a good working relationship with government. Specifically, the UNDAF set out the levels of results expected from UN cooperation in Cambodia for the period 2011-2015. At the UNDAF Outcome level, the contribution is articulated in terms of specific development results that support national priorities, as articulated in the Rectangular Strategy and NSDP. UNDP had the Sustainable Forest Management Project (SFM Project) while FAO had been involved in REDD Small Grants, Community forestry, and regional programmes. This experience in Cambodia enabled easier coordination and collaboration with the RGC.

127. The implementation issues outlined in this report are largely a result of design flaws that have been faced by many REDD+ countries. Implementation of National Programmes continues to be a learning lesson for UN-REDD due to varying country circumstances. However, at some point, the existing normative approaches will have to take an adaptive approach, taking into account lessons from the recent global external evaluation and specific country evaluations.
128. Some specific aspects that affected performance included the sometimes slow process to recruit staff, coordination between the country office and the regional office, and financial disbursement modalities already described in Section B.5. Country offices for both UNDP and FAO, to some degree, relied on technical advice from the regional office in Bangkok. In the case of FAO, there was reliance on both the regional office and headquarters in Rome. While this process enhances to use of technical expertise in the UN-REDD team in FAO and provides broad use of normative products, if it is not well coordinated it can create delays in decision making.

National Institutions

129. The preparation of the REDD+ Roadmap is instrumental in enabling articulation of the institutional responsibility for REDD+ in Cambodia (Figure C-3) and has been instrumental in creating a single vision for REDD+ in Cambodia. To some degree it enabled better coordination of development partners. The division of responsibility for forest management remains complex, but the fact that the PEB, the NRTF, and the Secretariat has representation from all three line agencies is an illustration of efforts towards nationally coherent coordination.
130. The development of the National REDD+ Strategy presents an opportunity to refine the coordination mechanism to remove some of the bottlenecks identified in this report as well as the mid-term review – especially inter-agency communication and collaboration. Beyond this REDD+ Readiness phase, the operational responsibilities of different institutions in the RGC are likely to increase therefore a scope for institutional adjustment and realignment could be useful.

Figure C-3: National Responsibilities for REDD+ Readiness in Cambodia



C.2 Human and Financial Resources Administration

Table C-2: Ratings for Human and Financial Resources

Quality of Human and Financial Resource Administration	Rating
Overall Quality of Human and Financial Resource Administration	MU
Human Resources	MU
Project Supervision	MS

131. Staff resourcing with the UN agencies was adequate to support the delivery the CNP. International advisors are imbedded in government agencies. UNDP appointed international and national staff who are based in the FA to coordinate the activities on behalf of the UN agencies. In addition, FAO also appointed an international forestry expert for MRV. There were delays in setting up the RTS and filling staff positions; these are clearly reasons for progress being significantly behind schedule.
132. The capacity issue raised in this evaluation is proving to be further problematic because government staff involved in implementation of the UN-REDD Programme are also advisors to ministers and other senior government officials. This means that they are constantly traveling nationally and internationally and unable to fully attend to their duties. This problem seems to be compounded by the lack of a culture of delegation of authority to review reports and sign-off documents.

C.3 Technical Backstopping and Supervision

Table C-3: Ratings for Technical Backstopping

	Rating
Overall Quality Technical Backstopping	MS

133. Both UNDP and FAO provided technical backstopping through the regional offices in Bangkok. FAO provided technical back stopping from its headquarters in Rome. The ET views the backstopping as adequate and notes the continued efforts by UN agencies to increase country level support.

C.4 Government Participation and Ownership

Table C-4: Summary of Ratings of Government Participation

Government Participation and Ownership	Rating
Overall rating for government participation and ownership	MS
Government participation	S
Ownership	MS

134. The RGC shows its desire for not just participation but ownership of the implementation of the CNP in several ways. Firstly the RGC engaged in REDD+ very early by approving the Roadmap in September 2010. The Cambodia REDD+ Roadmap is a national plan for how the RGC wants to move ahead with REDD+ Readiness. Secondly, following initial stakeholder consultations in late

2009 and early 2010, the government agencies created the inter-ministry REDD+ Taskforce in January 2010, with an interim mandate to develop the Cambodia REDD+ Roadmap.

135. The CNP is hosted in FA including international technical advisors. Despite the complex forestry sector management arrangements in Cambodia, the willingness of the RGC to create a coordination mechanism between two ministry and three line agencies also demonstrates acceptance of ownership of the CNP. Senior government officials acknowledge the challenges of implementing the CNP, but reiterate its importance to Cambodia. However, there are some aspects of the CNP implementation that could be stronger. For instance the decision making process remains somewhat slow. This has affected the delivery of some outputs and a slip in timelines.

C.5 Monitoring, Reporting and Evaluation

Table C-5: Ratings for Monitoring, Reporting and Evaluation

Quality Monitoring, Reporting and Evaluation	Rating
Overall Quality Monitoring, Reporting and Evaluation	S
Monitoring	S
Reporting	S
Evaluation	S

136. The Programme Executive Board (PEB), at its 4th meeting on 28 March 2013, requested the REDD+ Taskforce Secretariat to arrange for a mid-term review of the Programme in order to assess progress towards the indicators specified in the results framework in the National Programme Document, and to propose recommendations for measures to improve performance in the final 18 months of implementation.
137. Funds used by the participating UN agencies are subject to internal and external audits as articulated in their applicable Financial Regulations and Rules. In addition, the Technical Secretariat will consult with the participating UN agencies on any additional specific audits or reviews that may be required, subject to the respective Financial Regulations and Rules of the Participating UN Organizations.
138. Participating UN agencies provide a summary of their internal audit key findings and recommendations for consolidation by the MDTF Office (Multi-Partner Trust Fund Office) Office and submission to the Policy Board and National REDD Committee as applicable. The use of funds allocated to Implementing Partners is reported back to the relevant UN agency charged with responsibilities for those funds using relevant reporting mechanisms. The Participating UN Organizations are required to provide narrative reports on results achieved, lessons learned and the contributions made to the National Programme.
139. The execution of activities was in line with agreed protocols and it is noted that due process was followed to procure required services. Procurement used an open tendering process in which both parties agreed on the outcome as stated in the Annual Reports under Achievement of the Annual Targets.
140. The RGC, and the UN agencies, jointly conducted scheduling and annual planning, and held review meetings for all activities covered in the results framework, monitoring and evaluation plan and work plans covered by the CNP. This included an assessment of the risks and assumptions to determine whether they are still holding.

141. The monitoring tools got strengthened after the MTR, including a results-based performance indicator on capacity that reads "a survey conducted near the end of the programme reveals that at least 50% of professional staff of FA, GDANCP, and FiA consider that their agencies have adequate capacities to plan and implement REDD+ actions". The survey and interviews have not been carried out yet.

PART 3. CONCLUSIONS, RECOMMENDATIONS AND LESSONS LEARNT

A. Conclusions

142. The forestry sector status and the rate of deforestation in Cambodia makes the CNP relevant and necessary. It was appropriately designed to support RGC's REDD+ Readiness Roadmap, which is a national plan for how the RGC wants to move ahead with REDD+ Readiness. The development of the Roadmap is the critical point of difference that has enabled the framing of REDD+ in Cambodia in a harmonised and coordinated way among development partners. The implementation of the CNP has brought about greater inter-ministerial collaboration in a somewhat complicated forest administration system.
143. All four outcomes are relevant even though the CNP design may have some flaws. The institutional setup is in place for the implementation of REDD+ with government line agencies becoming increasingly aware of their roles in the context of REDD+. It is unlikely that the CNP will have an impact on reducing deforestation and forest degradation, and indeed improvement of livelihoods at the community level, unless Cambodia can successfully transition to a performance-based REDD+ regime and finance is available.
144. The implementation of the CNP did face some challenges, but they are mostly mechanical of nature. It generally took too long for decisions to be made, due to either absence of relevant officials or simply the decision chain being long. Feedback from various stakeholders suggests that government officials are busy or regularly out of office. This is something that the RGC could resolve through simple measures such as assigning and delegating responsibility for aspects such as document reviews to line managers and technical staff.
145. In terms of management arrangements, the ET believes the membership of the NRTF could have been varied by including, for instance, CSOs and Private Sector, Indigenous people and provincial representatives to make the process more open and transparent. It is possible that this would also reduce the need for additional consultation with the REDD+ Consultation Group. Additionally, considering that the REDD+ Taskforce has a Chair and Deputy Chair from the line agencies, perhaps the Secretariat does not need to have duplicate roles of Chair and Deputy Chair. It is acknowledged that this is in the interest of inclusiveness, but having a deputy chair in the Secretariat really serves no additional value or purpose, but increases the bureaucracy as decisions have to be made by consensus.
146. It is important to have good understanding of institutional capacity and the role of politics in the decision-making process during the initial planning stages. It could increase the pace of implementation and reduce the delays that eventually resulted in two no-cost extensions for the CNP. Among UN agencies, streamlined business processes will help in ensuring financial transactions with the implementing line agencies, reducing the administrative burden.
147. The financial and institutional sustainability in the context of REDD+ will require continuous commitment from the RGC but will also largely depend on the ongoing global discourse on future financing of performance based REDD+ regime.

Overall, the CNP implementation in Cambodia is moderately satisfactory.

B. RECOMMENDATIONS

For consideration by the UN agencies with regards to Programme design

148. The UN Agencies should consider undertaking a comprehensive capacity needs assessment in order to determine what gaps exist within the national institutions prior to programme design and implementation. The assessment should be done at the beginning of the programme or at least during the inception phase for it to be informative. The outcome of the capacity needs assessment should then inform the design of the activities including strategies for long-term sustainability.
149. In designing national Programmes, the UN Agencies should take time to assess the interdependencies between outcomes and activities and design the sequence of activities in accordance with the national requirements or interests. This will avoid a situation where the key time-consuming outcomes are postponed, having as a consequence the general slow-down of the programme, the non-optimal use of resources and a chain of programme extensions.
150. This recommendation is a reiteration of what has been recommended under the Global UN-REDD external evaluation. The UN Agencies should design programmes that have results-based performance indicators rather than output level indicators. It is correct that current reporting focuses on output-level results and not on whether learning is taking place; skills are being used; behaviors and approaches are changing; and capacities are being replicated across the supported agencies. There is no systematised or dedicated process in place to monitor what works, what does not, under what circumstances, and why.
151. UN Agencies should consider what constitutes a realistic timeframe for implementing national programmes. The two year time-frame is clearly not enough based on the observations of the CNP and those of other countries. This recommendation is linked to Recommendation 1 above, in that the design should take into consideration the capacity gaps that may affect the Programme implementation pace.
152. In relation to modalities for funds disbursement, considerations should be given for direct cash transfer to national institutions to implement the Programme if positive fiduciary assessment results are obtained. Unless the national institutions are able to practice self-governance and financial accountability, their capacity will inevitably remain low.

For consideration by international donor agencies

153. This recommendation is directed at all development partners in general and is linked to Recommendation 1. Development partners should consider working in accordance with a government-led REDD+ Capacity Building Plan with clear targets, an action plan with short and medium term goals. This should link the findings of the broader capacity needs assessment and enable determination of funding requirements and monitoring framework based on a comprehensive capacity needs assessment. This approach could encourage better commitment on both sides particularly in areas of accountability.

For consideration by the RGC

154. The RGC should consider developing its own National and Sub-National REDD+ Capacity Building Plan so that development partners are able to understand the needs and interests of the government and align with them. This plan should be well-articulated (components: needs assessment, targets, action plan, funding needs, monitoring framework) and elaborate on the procedure to follow by a development partner in supporting it. This National and Sub-National

REDD+ Capacity Building Plan will be more effective, comprehensive and sustainable than the current business-as-usual. This recommendation is linked to Recommendations 1 and 6 above.

155. REDD+ implementation requires policy-coherence and accountability from governments, and more so in the anticipated performance-based REDD+ scheme. It is recommended that the RGC establishes a clear transparent and independent framework for defining parameters, such as forest definition and analysis of drivers and agents of deforestation, in a manner that avoids unnecessary international criticism. This will allow verifiability of emissions reductions otherwise the Cambodia would find it difficult to received financial incentives for emissions reductions.
156. The RGC is encouraged to consider creating a framework for staff retention and remuneration to ensure institutional sustainability and increase the impact of REDD+ beyond Programme implementation. This may involve creating a supportive environment and manageable workload.

Key Technical/Operational Recommendations

The recommendations below are of operational nature and are in need of more immediate response or at least a mitigation strategy as they represent operational risks.

157. Outcome 1: With the transition of the Programme from UN-REDD to FCPF, the programme management arrangement is being considered for revision and the role of the Ministry of Environment (MoE) is unclear. Since MoE is the UNFCCC focal point for Cambodia, it is highly recommended that its role is clarified under the FCPF implementation to ensure ongoing inter-ministerial coordination.
158. Outcome 2: The National REDD+ Strategy is in its second draft and intended to be presented at COP 21 in Paris in December 2015. While there is no particular imperative for Cambodia to do so under pressure, it is highly recommended that the timeframe for completing the preparation of the document is short and key priorities should be identified. It should also be noted that a National REDD+ Strategy can be treated as a guiding document that can be improved as better information becomes available therefore there should be no pressure to rush into making it a finite document.
159. Outcome 4: Outcome 4 is running behind. The RGC expects to submit FRELs to the UNFCCC in November 2015 but also expects the FRELs and a completed land use and land cover analysis; and completed analysis of drivers and agents of deforestation to contribute to the development the National REDD+ Strategy. With these expectations, the work on FRELs is running behind and requires all parties to come to a clear understanding of key priorities. As noted above, the National REDD+ Strategy can be treated as a living document that can be adjusted and improved over time.

C. LESSONS LEARNT

160. Note that the lessons learnt are anecdotal, based on a limited stakeholder assessment exercise which is part of this evaluation and should not be treated as a full lessons learnt result.

A. Having a Country-driven Roadmap increases coordination and cooperation between donors and national governments

161. The approach taken by Cambodia in first preparing a National REDD+ Roadmap is an important feature for enabling better coordination of REDD+ programmes in a country. The Roadmap sets out a clear vision and direction for the countries REDD+ framework resulting in coherent and fruitful cooperation with development partners. Other countries could benefit from taking a similar approach.

B. Programme designs need to be based on broad and robust country needs and stakeholder analysis

162. As noted in Recommendation 1, understanding national context and country needs is imperative for national programme designs to be robust. Before implementing a National Programme it is worth considering undertaking a comprehensive capacity needs assessment as part of implementation or during the design. This will avoid misalignment of priorities between country needs and programme objectives. Failure to do so is likely to lead to a substantially flawed design and subsequent failure to achieve the desired impact. Establishing a shared vision is an important step for collaborative programme implementation and this can be done through consultation. Consultation should go beyond seeking endorsement of concepts – instead, it should be related to stakeholder’s own perspective and needs.

C. Programme management should be simplified or commensurate with the magnitude of a programme

163. The management arrangements of the CNP are over-engineered resulting in slow implementation because of long time taken to make key decisions. While the coordination mechanism is comprehensive and inclusive, the structure of the CNP exhibits significant levels of inefficiency characterised by indecision. For the size of the CNP programme the management structure should have been streamlined to enable faster decision making.

ANNEXES TO THE EVALUATION REPORT

Annex 1. Evaluation Terms of Reference

UN-REDD
PROGRAMME



**UN-REDD
Cambodia
National
Programme
Final Evaluation
Terms of Reference**

UN-REDD Programme

March 2015

a. Background and Context

The UN-REDD Programme is the United Nations collaborative initiative on Reducing Emissions from Deforestation and forest Degradation (REDD) in developing countries. The Programme was launched in 2008 and builds on the convening role and technical expertise of the Food and Agriculture Organization of the United Nations (FAO), the United Nations Development Programme (UNDP) and the United Nations Environment Programme (UNEP), referred to as the participating UN organizations. The UN-REDD Programme supports nationally-led REDD+ processes and promotes the informed and meaningful involvement of all stakeholders, including Indigenous Peoples and other forest-dependent communities, in national and international REDD+ implementation.

The UN-REDD Programme supports national REDD+ readiness efforts in two ways: (i) direct support to the design and implementation of UN-REDD National Programmes; and (ii) complementary support to national REDD+ action through common approaches, analyses, methodologies, tools, data and best practices developed through the UN-REDD Global Programme.

a. Cambodia UN-REDD National Programme

Table 1: Programme information

Programme title:	Cambodia UN-REDD National Programme		
Programme Objective:	To support Cambodia to be ready for REDD+ Implementation, including development of necessary institutions, policies and capacity		
Approval date:	8 August 2011	Fund transfer date:	11 August 2011
Completion date:	31 August 2013	Non cost extension date:	30 June 2015

Objective, Expected Outcomes and Outputs

The objective of the Cambodia UN-REDD National Programme is to support Cambodia to be ready for REDD+ Implementation, including development of necessary institutions, policies and capacity. This will contribute to the overall goal of ensuring that by then of 2015 Cambodia has developed a National REDD+ Strategy and Implementation Framework and is ready to contribute to reductions in emissions from deforestation and forest degradation. The specific aims of the Cambodia UN-REDD National Programme are represented by the following four outcomes and the outputs aligned with and supporting those outcomes:

Outcome 1: Effective National Management of the REDD+ Readiness and stakeholder engagement in accordance with the Roadmap principles. Outcome 1 will be achieved through implementation of the National Programme Component 1: National REDD+ Readiness Management arrangements and stakeholder consultation. This component will establish and support appropriate management arrangements and stakeholder consultation for National REDD+ Readiness which have been agreed through the Roadmap process.

Output 1.1: National REDD+ Readiness Coordination Mechanism established.

- Output 1.2: Support to National REDD+ Readiness process.
- Output 1.3: Stakeholders are engaged in the REDD+ Readiness process.
- Output 1.4: Stakeholders provided with access to information on REDD+ and the National REDD+ Readiness process.

Outcome 2: Development of the National REDD+ Strategy and Implementation Framework.

Outcome 2 will be achieved through implementation of the National Programme Component 2: National capacity-building towards development of the REDD+ strategy and implementation framework. This component will provide support to the Cambodia REDD+ Taskforce and line agencies to evaluate candidate REDD+ strategies proposed during the Roadmap phase, analyse further additional strategies, research key elements of the REDD+ implementation framework including trust funds and benefit-sharing, and develop plans for the necessary policy and legal reform to implement REDD+.

Output 2.1: Development of individual REDD+ strategies and implementation modalities.

Output 2.2: Evaluation of REDD+ co-benefits.

Output 2.3: Revenue and benefit-sharing studies.

Output 2.4: Establishing REDD+ Fund mechanisms.

Output 2.5: Policy and legal development for the National REDD+ implementation framework.

Output 2.6: Safeguards and monitoring of co-benefits.

Outcome 3: Improved capacity to manage REDD+ at subnational levels. Outcome 3 will be achieved through implementation of the National Programme Component 3: Subnational REDD+ capacity-building and demonstration. This component will implement demonstration activities contained within sections 2, 3, 4, 5 and 6 of the REDD+ Roadmap. The first over-riding priority is to support the completion of the existing REDD+ pilot projects: success of these projects will demonstrate the importance of development of a national REDD+ system. UNDP Cambodia has already assigned USD550 000 to support these pilot projects from TRAC resources based on a call for proposals in 2009. These funds will be disbursed in line with priorities set by the Cambodia REDD+ Taskforce through the Cambodia UN-REDD National Programme.

Output 3.1: Development of National REDD+ project guidelines and selection of demonstration sites.

Output 3.2: Pilot project activities.

Outcome 4: Design of a Monitoring System and capacity for implementation. Outcome 4 will be achieved through implementation of the National Programme Component 4: Support to development of the Monitoring system. This component will design the Monitoring system described in Section 6 of the REDD+ Roadmap, and provide assistance to the Government agencies to collect and collate the necessary baseline data on forest cover and emissions factors for the reference scenario.

Output 4.1: Establishment of the National MRV/REL Technical Team and build appropriate national capacity.

Output 4.2: Develop Cambodia Monitoring system plan.

Output 4.3: Review of the forest cover assessments to provide REDD+ activity data and design the satellite forest monitoring system.

Output 4.4: Design of a National Forest Inventory to develop emission and removal factors for REDD+ related activities.

Output 4.5: Support the development of a REDD+ related GHG Reporting System.

Output 4.6: Support the development of Cambodia RL/REL framework.

Executing Arrangements

The Cambodia National Programme has been designed to support the Cambodia Readiness Plan Proposal for REDD+. In line with the principles of national ownership and national management of implementation the Programme has supported implementation through the Cambodia REDD+ taskforce and REDD+ Taskforce secretariat established by the government. The lead implementing parties of the programme are the Forestry Administration (FA) of the Ministry of Agriculture, Forestry and Fisheries, and the General Department for Administration of Nature Conservation and Protection (GDANCP) of the Ministry of Environment. Other implementing partners include other line agency members of the REDD+ taskforce, including the Fisheries Administration (FiA) of the Ministry of Agriculture, Forestry and Fisheries. FA has appointed a National Programme Director (NPD) and GDANCP the Deputy National Programme Director (DNPD). The NPD and DNPD are responsible for overseeing the programme and accountability on behalf of the Royal Government of Cambodia (RGC) for the Programme Executive Board (PEB).

PEB meetings are convened every four months. The PEB provides overall guidance and is responsible for the implementation of the programme, the approval of the Annual Work Plans (AWP), budgets and overall monitoring and evaluation of progress made. The PEB was initially chaired by the chair of the REDD+ Taskforce and co-chaired by the UN Resident Coordinator (UN RC). Following a recommendation by a mid-term evaluation the PEB has been chaired by the Director General of the Forestry Administration (DG FA), and co-chaired by the UN RC.

Cost and Financing

The total amount transferred to the Cambodia UN-REDD National Programme is USD2 941 350 as shown in Table 2. According to the programme's latest annual report, in addition to the UN-REDD Programme funding, additional co-financing (cash) for UN-REDD supported activities was provided by: UNDP-TRAC USD 500 000 and FAO-TCP USD300 000.

Table 2: Programme Financing (US\$)

Participating UN Organization	Amount allocated	Amount Transferred from the UN-REDD Multi-Partner Trust Fund
FAO	1,215,000	1,215,000
UNDP	1,450,000	1,450,000
UNEP	140,000	140,000
Total:	2,805,000	2,745,000

Programme Implementation Status

In Cambodia, the UN-REDD Programme has to be seen in the context of the overall REDD+ process in the country. The UN-REDD National Programme has been implemented in close cooperation with other REDD-related initiatives, in particular the Cambodia programme on REDD+ (CAM-REDD) with the support from the Japan International Cooperation Agency (JICA), the Forest Carbon Partnership Facility (FCPF) and direct financial support from the Embassy of Japan. The support by the UN-REDD programme will undergo a transition and handover of the Programme support to the FCPF project. Both the UN-REDD Framework document and FCPF

framework document were developed at the time of the development of the Cambodia REDD+ roadmap, and share similar outputs and the results framework.

The UN-REDD national programme has contributed to the development of various REDD+ readiness components and supported Cambodia to progress against associated decisions at the UNFCCC (Warsaw Framework for REDD+); namely 1) a National REDD+ Strategy or Action Plans; 2) a National Forest Reference Emission Level/National Forest Reference Level; 3); a National Forest Monitoring System and 4) Safeguards and Safeguards Information Systems.

Key outputs to date of the UN-REDD National Programme include:

Development of the institutional framework for REDD+ has made satisfactory progress. The taskforce, secretariat, technical teams and consultation group have been established and strengthened through consultative meetings, training programmes and workshops.

An initial draft of the National REDD+ strategy has been developed and distributed for comments. An outline and components for consideration of FREL/FRL and NFMS have been developed or are in the phase of generating data.

Proposal for a national approach to REDD+ safeguards is prepared. Technical studies for safeguards information system, benefit sharing and REDD+ fund, cost-benefit analysis, and a grievance redress mechanism have been conducted.

The UN-REDD National Programme initiated strategic work on the drivers of Deforestation and Forest Degradation.

Capacity-building exercises on Measurement, Reporting and Verification for REDD+ were undertaken, including training on remote-sensing, geographic information systems and allometric equations and GHG reporting.

National Forest Inventory designed and Emission Factors developed on the basis of existing data.

Additional information on the implementation of the Cambodia UN-REDD National Programme can be found in the Annual and Semi-Annual Programme Reports. Further updates on implementation in 2015 will be provided at the beginning of the evaluation. The Final Report of the Mid-Term Evaluation of the Cambodia UN-REDD National Programme, the UN-REDD global evaluation, and UNDP and FAO respective audits undertaken in 2014 are other important documents for assessing the status of the national programme and for understanding the changes that were made to programme objectives and governance.

b. Objectives and Scope

The scope of the evaluation is the Cambodia UN-REDD National Programme. The evaluation will be based on data available at the time of evaluation and discuss outputs delivered by the programme from the time of inception, August 2011, until the time of closure in June 2015. It will also assess the likelihood of future outcomes and impacts that may not have been achieved by the end of June 2015.

The evaluation of the UN-REDD National Programme is being undertaken to assess (i) Programme performance in terms of relevance, effectiveness (outputs and outcomes) and efficiency, (ii) sustainability and up-scaling of results, and (iii) actual and potential impacts from the programme. The evaluation has the following objectives:

To provide evidence of results to meet accountability requirements.

To assess the status of REDD+ readiness in Cambodia, gaps and challenges that need to be addressed to achieve REDD+ readiness and the UN-REDD Programme's possible roles in the future REDD+ process in the country.

To promote learning, feedback and knowledge sharing through results and lessons learned among the participating UN Organizations and other partners. The evaluation will identify lessons of operational and technical relevance for future programme formulation and implementation in the country, especially future UN-REDD Programmes, and/or for the UN-REDD Programme as a whole.

The primary audience for the evaluation will be the Royal Government of Cambodia, the three participating UN Organizations of the UN-REDD Programme (i.e. FAO, UNDP and UNEP) and the implementing partners and responsible parties (i.e. Forestry Administration, Fisheries Administration and GDANCP of the Ministry of Environment), and programme resource partners. The secondary audience for the evaluation will be the UN-REDD Policy Board and national REDD+ stakeholders such as development partners, representatives from the REDD+ taskforce, the REDD+ Taskforce Secretariat, the Consultation Group and the Gender Group. The evaluation will also be made available to the public through the UN-REDD Programme website (www.un-redd.org).

c. Evaluation Criteria

To focus the evaluation objectives, by defining the standards against which the initiative will be assessed, the following five evaluation criteria will be applied:

Relevance, concerns the extent to which the National Programme and its intended outcomes or outputs are consistent with national and local policies and priorities and the needs of the intended beneficiaries. Relevance also considers the extent to which the initiative is aligned with the UN-REDD Programme Strategy 2011-2015¹⁴ (or the UN-REDD Programme Framework Document¹⁵ for Programmes approved before November 2010) and the corporate plans of the three participating UN Organizations (FAO, UNDP and UNEP). Relevance vis-a-vis other REDD+ or REDD+-related programmes implemented in the country should also be examined, in terms of synergies, complementarities and absence of duplication of efforts.

Effectiveness, measures the extent to which the National Programme's intended results (outputs and outcomes) have been achieved or the extent to which progress towards outputs and outcomes has been made. To explain why certain outputs and outcomes have been achieved better or more than others, the evaluation will review:

Efficiency, measures how economically resources or inputs (such as funds, expertise and time) are used to achieving stipulated outcomes and outputs.

Sustainability, analyse the likelihood of sustainable outcomes at programme termination, with attention to sustainability of financial resources, the socio-political environment, catalytic or replication effects of the project, institutional and governance factors, and environmental risks.

¹⁴ The UN-REDD Programme Strategy 2011-2015 is available on:

http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=4598&Itemid=53

¹⁵ The UN-REDD Programme Framework Document is available on:

http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=4&Itemid=53

Impact, measures to what extent the National Programme has contributed to, or is likely to contribute to intermediate status towards impact, such as changes in the governance systems and stakeholder behaviour, and to impact on people's lives and the environment. The evaluation will assess the likelihood of impact by critically reviewing the programmes intervention strategy (Theory of Change) and the presence of the required drivers and assumptions for outcomes to lead to intermediate states and impact.

Factors and processes affecting the attainment of project results – which looks at examination of preparation and readiness of the project, country ownership, stakeholder involvement, financial planning, performance of national and local implementing agencies and designated supervision agency, coordination mechanism with other relevant donors projects/programmes, and reasons for any bottlenecks and delays in delivery of project outputs, outcomes and the attainment of sustainability.

d. Evaluation Questions

The following list includes standard questions and issues that the UN-REDD National Programme evaluation should address. It is based on the internationally accepted evaluation criteria mentioned above, i.e. relevance, efficiency, effectiveness, impact and sustainability, as well as an additional category of questions regarding factors affecting programme performance. The evaluation will assess the Cambodia UN-REDD National Programme as follows:

Concept and Relevance of the NP

Design

National Programmes are built on assumptions on how and why they are supposed to achieve the agreed objectives through the selected strategy; this set of assumptions constitutes the programme theory or 'Theory of Change' and can be explicit (e.g. in a logical framework matrix) or implicit in a programme document.

This section will include a diagram and short description of the programme Theory of Change, including its results chains from outputs to impact, drivers and assumptions¹⁶ and will analyse critically:

- The appropriateness of stated development goals and outcomes (immediate objectives);
- The evolution of outputs and outcomes since programme formulation;
- The causal relationship between outputs, outcomes (immediate objectives) and impact (development objectives);
- The extent to which drivers for change have been recognized and supported by the programme;
- The relevance and appropriateness of indicators; and
- The comprehensiveness of drivers and assumptions identified by the programme.

The section will also critically assess:

- The Adequacy of the time and efforts invested in the design process;

¹⁶ **Drivers** and **assumptions** are external factors to the program that influence change along the causal pathways of the Theory of Change. They influence whether a change at a certain results level (e.g. an immediate outcome of the Programme) can lead to a change at a higher results level (e.g. an intermediate state towards impact). **Drivers** are external factors over which the Programme has a certain level of control, e.g. through a certain output that the Programme delivers or through influence on a stakeholder who is expected to provide the driver. **Assumptions** are entirely outside the control of the Programme.

- Realism of time-frame for implementation;
- The adequacy of the methodology of implementation to achieve intended results;
- The clarity and logic of the programme's results framework;
- Did the programme prepare and follow a clear REDD+ readiness roadmap, with appropriate sequencing of activities and outputs?
- The quality of the stakeholders' and beneficiaries identification; and
- The appropriateness of selection criteria for pilot areas.

Relevance

The relevance of the National Programme's objectives and strategy to:

- Country needs;
- National development priorities as expressed in national policies and plans as well as in sector development frameworks;
- The UNDAF between the Government of Cambodia and the UN Organizations;
- The Cambodia REDD+ Roadmap;
- The UN-REDD Programme Framework Document¹⁷;
- Other REDD+ related programmes in the country; such as the JICA supported CAM-REDD programme, and Forest Carbon Partnership Facility (FCPF); and
- How well were existing policies, programmes, mechanisms and experiences taken into consideration so that REDD+ readiness could be built as much as possible on improving those rather than on the creation of new, parallel ones?

Results and contribution to stated objectives

Delivery of Outputs

The extent to which the expected outputs have been produced, their quality and timeliness, and any gaps and delays incurred in output delivery and their causes and consequences.

Ideally, the evaluation team should directly assess all outputs, but this is not always feasible due to time and resource constraints. Thus, the detailed analysis should be done on a representative sample of outputs that were assessed directly, while a complete list of outputs and their delivery rate and quality, prepared by the programme team, should be included as annex.

Effectiveness

- Extent to which the expected outcomes (specific/immediate objectives) have been achieved.
- Main factors influencing their achievement (with reference as needed to more detailed analysis under the "Factors affecting performance").
- Contributions of the various stakeholders to their achievement.
- What is the status of REDD+ readiness in the country, looking at the typical REDD+ readiness components, and to which extent the programme contributed to each?

Efficiency

- Cost and timeliness of key outputs delivered compared to national and regional benchmarks
- Administrative costs (including costs for supervision and coordination between participating UN agencies) compared to operational costs
- Any time and cost-saving measures taken by the programme

¹⁷ The UN-REDD Programme Framework Document is available on:

http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=4&Itemid=53

- Any significant delays or cost-overruns incurred, reason why and appropriateness of any remedial measures taken

Cross-cutting issues

- Assessment of gender mainstreaming in the National Programme. This will cover:
 - Analysis of how gender issues were reflected in Programme objectives, design, identification of beneficiaries and implementation;
 - Analysis of how gender relations and equality are likely to be affected by the initiative;
 - Extent to which gender issues were taken into account in Programme management.
 - Assessment of likely distribution of benefits and costs between stakeholders.
- The extent and quality of programme work in capacity development of beneficiaries; including the perspectives for institutional uptake and mainstreaming of the newly acquired capacities, or diffusion beyond the beneficiaries or the programme. To what extent were capacity building efforts based on a strong needs assessment, identifying both what people should know and know to do, and what the gaps are?
- Use made by the National Programme of the UN-REDD Programme's normative products, guidelines and safeguards, e.g. the UN-REDD Programme Guidelines on Free, Prior and Informed Consent (FPIC) and Guidelines on Stakeholder Engagement in REDD+ Readiness, and the extent to which they have contributed towards national safeguards¹⁸.
- Actual and potential contribution of the National Programme to the normative work of the three participating UN Organizations, e.g. contribution towards the "Delivering as One" initiative and lessons learned incorporated into broader organizational strategies.

Sustainability and up-scaling

- Major factors influencing the achievement or non-achievement of sustainability of the programme;
- Adequacy of the exit strategy of the programme;
- The prospects for sustaining and up-scaling the National Programme's results by the beneficiaries after the termination of the initiative. The assessment of sustainability will include, as appropriate:
 - Institutional, technical, economic, social, political and environmental sustainability of proposed technologies, innovations and/or processes;
 - What are the prospects for follow-up and scaling-up REDD+ in Cambodia, providing suggestions for potential UN-REDD Programme engagement (if pertinent)?
 - Are pilot interventions replicable under other conditions without project financing and can offer lessons for designing a national approach for REDD+?

Likelihood of Impact

- Extent to which the initiative has attained, or is expected to attain, its social and environmental objectives; this will also include the identification of actual and potential positive and negative impacts produced by the initiative, directly or indirectly, intended or unintended
- Presence of the required drivers and assumptions for outcomes to lead to intermediate states and impact.

Factors affecting performance

Programme Management and Coordination

¹⁸ None of the guidelines referred to were available during most of the period of programme implementation.

- Role and effectiveness of institutional set-up;
- Quality of operations management, both within the programme and by the participating UN Organizations;
- Strategic decision-making by programme management;
- Realism of annual work-plans;
- Effectiveness of changes in management structure after the mid-term review;
- Was there an adequate central leadership, either by a government agency or one of the UN partner agencies?
- Quality of programme coordination:
 - Between the three participating UN Organizations;
 - Between the Government and the three participating UN Organizations;
 - Within and between Government ministries;
 - Between the National Programme and other bilateral and multilateral REDD+ initiatives.

Human and Financial Resources Administration

- Human Resources
 - The adequacy in terms of number and competencies of staff managing and supervising NP activities in partner agencies including government;
 - Personnel turn-over rates and the balance between continuity and new staff in the NP and with partner agencies including government;
 - The ability of managers to plan, coordinate and delegate work, communicate effectively, motivate and reward staff;
 - Factors influencing the morale and job satisfaction of staff.
- Financial resources administration
 - Adequacy of allocation of funds towards, and expenditure rates by, each component, type of intervention and partners;
 - The quality, transparency and effectiveness of the systems and processes used for financial management;
 - Coherence and soundness of budget revisions in matching implementation needs and programme objectives;
 - Efficiency of fund administration arrangements.
- Other administrative processes facilitating or inhibiting fluid execution of NP activities.

Technical Backstopping and Supervision

- Extent, timeliness and quality of technical backstopping from involved units in the participating UN Organizations, at all levels (headquarters, regional, sub-regional and country offices).
- Timeliness, quality and quantity of inputs and support by the Government and other in-country partners.
- Effectiveness of supervision and steering arrangements and processes of the overall programme but also within the different partner agencies involved. Did project supervision improve after the mid-term review? Was the Steering Committee operational?

National Stakeholder participation and ownership

- Government commitment and support to the Programme, in particular:
 - Financial and human resources made available for Programme operations;
 - Uptake of outputs and outcomes through policy or investment for up-scaling.
- To what extent are all sectors driving deforestation or forest degradation involved in policy processes (and not only the focal ministry or department)?

- How strong was local (grass-roots level) stakeholder involvement in project design, implementation and M&E? Is there sufficient certainty that awareness raising and discussions at the local level can be followed up in the short term with concrete action and benefits at the local level?
- Is there an appropriate understanding of the difference between UN-REDD and REDD+ at national and sub-national levels? Was there an appropriate balance between UN-REDD branding and ensuring national ownership of REDD+ policies and processes?

Monitoring, reporting and evaluation

- The quality, comprehensiveness and regularity of reporting on outputs, outcomes and impact drivers and assumptions towards the Government, UN partner agencies and donors. What verification mechanisms are in place to ensure the reliability and accuracy of reporting?
- The effectiveness of monitoring and internal review systems, including clear definition of roles and responsibilities for data collection, analysis and sharing and adequate resources for monitoring.
- How is monitoring information used for programme management, supervision and steering. What mechanisms are in place to ensure that monitoring results are used to enhance programme performance?
- The appropriateness of performance indicators to measure progress towards the achievement of outputs, outcomes and drivers to impact;
- Quality of the Mid-term Review and extent to which recommendations have been used by the programme.
- In how far have lessons learned from the programme been extracted, communicated and informed the design of a possible follow-up?

e. Evaluation Methodology

The UN-REDD National Programme final evaluation will adhere to the UNEG Norms & Standards¹⁹. It will be conducted by two independent consultants under the overall responsibility and management of the three participating UN Organizations' Evaluation Departments through their participation in the Evaluation Management Group, in consultation with relevant headquarter, regional and country staff of the participating UN Organizations.

Evaluation findings and judgements should be based on sound evidence and analysis, clearly documented in the evaluation report. Information will be triangulated (i.e. verified from different sources) to the extent possible, and when verification is not possible, the single source will be mentioned²⁰. Analysis leading to evaluative judgements should always be clearly spelled out. The limitations of the methodological framework should also be spelled out in the evaluation reports.

The evaluation will rate the different evaluation criteria as detailed in Annex 6.

In attempting to attribute any outcomes and impacts to the programme, the evaluators should consider the difference between what has happened with and what would have happened without the programme. This implies that there should be consideration of the baseline conditions and trends in relation to the intended programme outcomes and impacts. This also means that there should be plausible evidence to attribute such outcomes and impacts to the actions of the project. Sometimes, adequate information on baseline conditions and trends is

¹⁹UNEG Norms & Standards: <http://uneval.org/normsandstandards>

²⁰ Individuals should not be mentioned by name if anonymity needs to be preserved. In such cases sources can be expressed in generic term (Government, NGO, donor etc.).

lacking. In such cases this should be clearly highlighted by the evaluators, along with any simplifying assumptions that were taken to enable the evaluators to make informed judgements about Programme performance.

As this is a final evaluation, particular attention should be given to learning from the experience. Therefore, the “why?” question should be at the front of the consultants’ minds throughout the evaluation exercise. This means that the consultants need to go beyond the assessment of “what” the programme performance was, and make a serious effort to provide a deeper understanding of “why” the performance turned out the way it did, i.e. of processes affecting attainment of programme results. This should provide the basis for the lessons that can be drawn from the programme. In fact, the usefulness of the evaluation will be determined to a large extent by the capacity of the consultants to explain “why things happened” as they happened and are likely to evolve in this or that direction, which goes well beyond the mere assessment of “where things stand” today. The consultants could also provide recommendations for the way forward.

f. Evaluation Tools

The Cambodia UN-REDD National Programme final evaluation will make use of the following tools:

- a) A desk review of Programme documents including, but not limited to:
 - Relevant background documentation, including the UN-REDD Programme Framework Document²¹;
 - Relevant reports, such as National Programme Annual, Semi-Annual and quarterly Reports, Year in Review publication, external evaluations by donors, partners etc.;
 - Project design documents, such as the National Programme Document, annual work plans and budgets, revisions to the logical framework and financing;
 - Documentation related to National Programme outputs and relevant materials published on the Programme website;
 - The final report of the Mid-Term Review of the Cambodia UN-REDD National Programme;
 - The final report Global Evaluation UN-REDD Programme in June 2014; case study Cambodia;
 - The final report UN-REDD Programme and Financial Management and Administration Audit: FAO Representation in Cambodia, by FAO Office of the Inspector general in July 2014; UN-REDD programme chapter. (internal audit)
 - The final report Evaluation of the Cambodia UN-REDD National Programme by UNDP - Office, Audits and Investigations (OAI) in November 2014. (internal audit)
 - Other relevant documents, such as possible new national policy documents, sector plans and available evaluations bearing relevance for UN-REDD.
- b) Semi-structured interviews²² with key informants, stakeholders and participants, including:
 - Government counterparts;
 - Government stakeholders including all ministries participating from coordinating bodies or steering committees;
 - Civil Society Organizations;
 - Indigenous Peoples Organizations;

²¹ The UN-REDD Programme Framework Document is available on: http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=4&Itemid=53

²² Face-to-face or through any other appropriate means of communications

- Country , regional and headquarter personnel from the three participating UN Organizations involved in the National Programme, e.g. the REDD+ Taskforce Secretariat, Resident Coordination and Regional Technical Advisers;
 - Representatives from other bi-lateral or multi-lateral initiatives co-financing the NP if applicable.
- c) The Theory of Change and subsequent application of the Review of Outcomes to Impacts (ROtI) approach on progress towards impact²³.

A list of key stakeholders and other individuals who should be consulted is included in Annex 5.

g. Consultation process

While fully independent in its judgements, the Evaluation Team will adopt a consultative and transparent approach with internal and external stakeholders. Throughout the process the evaluation team will maintain close liaison with: the Evaluation Management Group (Consisting of representatives of the evaluation departments of the three participating UN Organizations and the UN-REDD Secretariat), the REDD+ Taskforce Secretariat, UN headquarters, regional and country-level staff members, and other key stakeholders. Although the mission is free to discuss with the authorities concerned anything relevant to its assignment, it is not authorized to make any commitments on behalf of the Government, the donor or the participating UN Organizations.

The draft evaluation report will be circulated among the three participating UN Organizations, including the Evaluation Management Group, and other key stakeholders for comment before finalisation; suggestions will be incorporated as deemed appropriate by the evaluation team.

h. The Evaluation Team

The Evaluation Team should consist of two evaluators, including one team leader. The team should comprise the best available mix of skills that are required to assess the Cambodia UN-REDD National Programme. Knowledge of the country in question, good technical understanding of the REDD+ field, as well as competence and skills in evaluation will be required. To the extent possible the team will be balanced in terms of geographical and gender representation to ensure diversity and complementarity of perspectives.

The team members will have had no previous involvement in the formulation, implementation or backstopping of the Programme, and have no future engagement with the UN-REDD Programme or the operational units, in Cambodia or within the participating UN Organizations, involved in UN-REDD. All members of the team will sign the Evaluation Consultant Code of Conduct²⁴ Agreement Form (Annex 3).

The team is responsible for conducting the evaluation as set out in these TOR and applying the approach and methods proposed in the inception report they will prepare. All team members, including the Team Leader, will participate in briefing and debriefing meetings, discussions, field visits, and will contribute to the evaluation with written inputs.

²³ GEF Evaluation Office, (OPS4) Progress towards Impacts: The ROtI Handbook: Towards enhancing the impacts of environmental projects – Methodological paper 2.

²⁴ UNEG Code of Conduct for Evaluation in the UN system: www.unevaluation.org/unevaluationcodeofconduct

i. Evaluation Deliverables

Inception Report

Before going into data collection the Evaluation Team shall prepare an *inception report* containing a thorough review of the project design quality and the evaluation framework. The *inception report* should detail the evaluators' understanding of what is being evaluated and why, showing how the evaluation questions can be answered by way of: proposed methods and sources of data, as well as data collection procedures. The *inception report* will also present a draft, desk review-based Theory of Change of the National Programme, identifying outcomes, intermediate states towards impact, drivers and assumptions for evaluation. The *inception report* should also include a proposed schedule of tasks, activities and deliverables, as well as a desk-based Theory of Change of the programme²⁵. The evaluation framework should summarize the information available from programme documentation against each of the main evaluation parameters. Any gaps in information should be identified and methods for additional data collection, verification and analysis should be specified. The evaluation framework will present in further detail the evaluation questions under each criterion with their respective indicators and data sources. This will allow the three participating UN Organizations to verify that there is a shared understanding about the evaluation and clarify any misunderstandings at the outset. A list of important documents and web pages that the evaluators should read at the outset of the evaluation and before finalizing the evaluation design and the inception report is included in Annex 4. The Inception Report will be shared with the three participating UN Organizations and other relevant stakeholders and reviewed by the Evaluation Management Group.

Evaluation Reporting

At the end of the field mission, the consultants will prepare a *preliminary findings report* (mission Aide memoire) and present their first findings to stakeholders in Phnom Penh at a debriefing session. The *preliminary findings report* should be no longer than 5,000 words and it should be shared with stakeholders invited to the debriefing session at least 48 hours in advance.

The reviewers shall prepare a *draft evaluation report* within three weeks after the field mission. The Team Leader bears responsibility for submitting the draft report to the UN-REDD Secretariat within three weeks from the conclusion of the mission, and the Secretariat will immediately transmit the draft report to the evaluation departments of the three participating UN Organizations. The evaluation departments will verify that the draft report meets their evaluation quality standards and may request a revision of the draft report by the consultants before it is shared with a wider audience. The draft evaluation report will then be circulated among the three participating UN Organizations, including the Evaluation Management Group, and other key stakeholders for comments. Comments will be incorporated as deemed appropriate by the Evaluation Team. The consultants will prepare a *response to comments* in the form of a table listing all comments partially or entirely rejected by the evaluation team with an explanation why, which will be shared with stakeholders to ensure transparency. Confidential comments on the report will not be shared.

The *final evaluation report* will illustrate the evidence found that responds to the evaluation issues, questions and criteria listed in the TOR. The length of the final evaluation report should be 15-18,000 words, excluding executive summary and annexes. Supporting data and analysis should be annexed to the report when considered important to complement the main report.

²⁵ GEF Evaluation Office, (OPS4) Progress towards Impacts: The ROTI Handbook: Towards enhancing the impacts of environmental projects – Methodological paper 2.

The recommendations will be addressed to the different stakeholders and prioritized: they will be evidence-based, relevant, focused, clearly formulated and actionable. Lessons learned will be based on programme experience and will specify the scope of their applicability beyond the programme.

The Evaluation Team shall propose the outline of the report to the Evaluation Management Group and lead UN agency office in country, based on the template provided in Annex 2 of this Terms of Reference. The report shall be prepared in English, and translated into French and Spanish.

The Evaluation Team is fully responsible for its independent report which may not necessarily reflect the views of the Government or the three participating UN Organizations. An evaluation report is not subject to technical clearance by the evaluation departments of the three participating UN Organizations, but has to meet the quality standards for evaluation of the three Organizations. The final report will be published on the UN-REDD Programme web site (www.un-redd.org).

The Evaluation Team will be invited to present the findings, recommendations and lessons learned from the evaluation to a relevant event bringing (UN-) REDD stakeholders together in Cambodia, to promote the dissemination and ownership of evaluation results. The inception report should suggest at which appropriate event(s) this could be done. The Team may, after completion of the evaluation process, also be invited by one or more participating UN Organization to present the evaluation at regional office or headquarters level.

j. Evaluation timetable and budget

Table 3 outlines the tentative timetable and responsibility of the evaluation process. The timetable will be adjusted according to the availability of the selected consultants.

Table 3: UN-REDD National Programme Evaluation Timeline

Date:	Activity	Responsibility
March-April 2015	Recruit consultants	National Programme Evaluation budget holder in consultation with the Evaluation Management Group (Evaluation departments of the three participating UN Organizations and the UN-REDD Secretariat)
16-17 April	Evaluation team preparation for mission	Evaluation team. UN agencies responsible for providing background documents
19 April 2015	TL travel to Cambodia	Logistical support provided by the participating UN Organizations' National Programme staff
20 April to 1 May 2015	Team mission in Cambodia, including field visit (if necessary) (10-11 working days)	Evaluation Team (consultants) UN agencies to provide support on arranging meetings with stakeholders and agency staff, and logistics. Also, a debriefing presentation to stakeholders will be held at the end

		of the Evaluation Mission. At this meeting the preliminary, draft findings and recommendations will be presented.
20 April 2015	Inception Workshop	UN Organizations' National Programme staff and Evaluation Team (consultants) Logistical support provided by the participating UN Organizations' National Programme staff including invitation of stakeholders
1 May 2015	Mission debrief	UN Organizations' National Programme staff and Evaluation Team (consultants) Logistical support provided by the participating UN Organizations' National Programme staff including invitation of stakeholders
2 May 2015	TL departs Cambodia	Logistical support provided by the participating UN Organizations' National Programme staff
4 to 15 May 2015	Preparation of draft evaluation report and submission to Evaluation Management Group. (11 May 2015)	The draft evaluation report will be submitted to the Evaluation Management Group at the latest 3 weeks after the mission has been completed.
18-22 May 2015	Review draft evaluation report by the evaluation departments of the participating UN Organizations (one week)	The Evaluation Management Group (Evaluation departments of the three participating UN Organizations) reviews the draft from the point of view of its evaluation quality and make comments to the Evaluation Team in that respect. If need be, the evaluation team will revise the draft report. The latter will then be circulated to other stakeholders for comments.
25 May to 27 May 2015	Draft report is revised according to Evaluation Management Group comments	Evaluation Team Leader
28 May to 11 June 2015	Review draft evaluation report by	The National Programme staff should ensure the draft evaluation

	the participating UN Organisations, Government Counterpart, UN Country Offices and other stakeholders (two weeks)	report is shared with the Government Counterpart and other relevant key stakeholders for information and their comments.
12 to 18 June 2015	Final Report (one week)	Evaluation Team (consultants) Logistical support provided by the participating UN Organizations' National Programme staff Dissemination of the report to be done by lead UN agency in country.
18 June - 16 July	Management response from the Participating UN Organizations (one month) and Government Counterpart (one month)	Participating UN Organizations Government Counterpart

Annex 1: Evaluation consultancies Terms of Reference

The Evaluation Team should consist of two evaluators, including one team leader. The Team Leader must have sound evaluation experience. The team should comprise the best available mix of skills that are required to assess the Cambodia UN-REDD National Programme, and ideally include in-depth knowledge of the country, good technical understanding of REDD+, as well as competence and skills in evaluation. To the extent possible the team will be balanced in terms of geographical and gender representation to ensure diversity and complementarity of perspectives.

The team members shall have had no previous direct involvement in the formulation, implementation or backstopping of the National Programme, and have no future engagement with the UN-REDD programme or the operational units, in Cambodia or within the participating UN Organizations, involved in UN-REDD Programme. All members of the team will sign the Evaluation Consultant Code of Conduct²⁶ Agreement Form (Annex 3).

The Evaluation Team is responsible for conducting the evaluation as described in the overall TOR of the evaluation, and applying the approach and methods they will propose in the inception report. All team members, including the Team Leader, will participate in briefing and debriefing meetings, discussions, field visits, and will contribute to the evaluation with written inputs and oral presentations. The team shall collaborate on a single document for each of the three main deliverables (inception report, preliminary findings report, and main report), while the Team Leader is responsible for coordinating the inputs and ensuring all deadlines are met.

Competencies:

- Independent from the UN-REDD Programme and the participating UN Organizations, FAO, UNEP and UNDP.
- The evaluation team should comprise the best available mix of skills that are required to assess the National Programme, including:
 - Good technical understanding of REDD+;
 - Preferably in-depth knowledge of Cambodia.
- Demonstrate experience from evaluations of similar types of programmes, using a Theory of Change approach to evaluation.
- Excellent writing and editing skills.
- Attention to detail and respect for timelines.

Qualifications:

- Advanced university degree in relevant field.
- Minimum 11 (team leader)/7 (team leader assistant) years of professional experience is required, longer professional experience is an advantage, including proven experience from developing countries.
- Fluency in English language, both written and spoken is a requirement. Knowledge of local language would be a distinct advantage.

²⁶ UNEG Code of Conduct for Evaluation in the UN system: www.unevaluation.org/uneqcodeofconduct

Deliverables:

- Prepare an inception report (if deemed necessary);
- Prepare a preliminary findings report and present it at the end of the mission to programme stakeholders;
- Produce a consolidated draft report that meets the quality requirements of the evaluation departments of the three participating UN agencies. The team leader is responsible for consolidating the report;
- Prepare a response to comments received from stakeholders on the draft report;
- Produce a consolidated final report. The team leader is responsible for consolidating the report.
- Prepare a PowerPoint presentation of findings and recommendations of the evaluation to be presented in Phnom Penh, Cambodia to key stakeholders.

Schedule of Payment:

Deliverables	Percentage payment to Consultant One (Team leader):	Percentage payment to Consultant Two:
Submission and approval of the draft evaluation report	50%	50%
Submission and approval of the final evaluation report	50%	50%

Annex 2: Annotated UN-REDD National Programme evaluation report outline

The Evaluation Team can somewhat adjust the structure of the report outline below, as long as the key contents are maintained in the report and the flow of information and analysis is coherent and clear. The length of the UN-REDD National Programme final evaluation report should not exceed words, excluding executive summary and annexes.

The document will use paragraph numbering for easy cross-referencing in the text.

Acknowledgements

Table of Contents

Acronyms (Maximum 1 page and only for acronyms used more than 3 times in the report. When an abbreviation is used for the first time in the text, it should be explained in full.)

Executive Summary

The Executive Summary should:

- Maximum 1,800 words;
- Provide key information on the evaluation process and methodology;
- Illustrate key findings and conclusions;
- List all recommendations: this will facilitate the drafting of the Management Response to the evaluation.

Part 1. Introduction

A. Context of the National Programme

This section will include a description of the developmental context relevant to the National Programme including major challenges in the area of the intervention, political and legislative issues, etc. It will also describe the process by which the programme was identified and developed and cite other related and bilateral interventions if relevant.

It will further describe the National Programme (title, starting and closing dates, expected outcomes and outputs, initial and current total budget, implementation arrangements etc.).

B. The Evaluation

B.1 Purpose of the Evaluation

This section will include:

- The purpose of the evaluation, as stated in the Terms of Reference;
- Dates of implementation of the evaluation.

It will also mention that Annex I of the evaluation report is the evaluation Terms of Reference.

B.2 Methodology of the evaluation

This section will comprise a description of the methodology and tools used and evaluation criteria that were applied by the evaluation. This should also note any limitations incurred in applying the methodology by the evaluation team.

Part 2. Main findings of the evaluation

A. Concept and relevance of the NP

A.1 Design

A.2 Relevance

B. Results and contribution to stated objectives

B.1 Delivery of Outputs

B.2 Effectiveness

B.3 Efficiency

B.4 Cross-cutting issues: Gender, Capacity Development, Normative Products

B.5 Sustainability and up-scaling

B.6 Likelihood of Impact

C. Factors affecting performance

C.1 Programme Management and Coordination

C.2 Human and Financial Resources Administration

C.3 Technical Backstopping and Supervision

C.4 Government participation and ownership

C.5 Monitoring, reporting and evaluation

Part 3. Conclusions, recommendations and lessons learned

A. Conclusions need to be substantiated by findings consistent with data collected and methodology, and represent insights into identification and/or solutions of important problems or issues. They may address specific evaluation questions raised in the Terms of Reference and should provide a clear basis for the recommendations which follow.

The Conclusions will synthesise the main findings from the preceding sections: main achievements, major weaknesses and gaps in implementation, factors affecting strengths and weaknesses, prospects for follow-up, any emerging issues. It will consolidate the assessment of various aspects to judge the extent to which the programme has attained, or is expected to attain, its intermediate/specific objectives. Considerations about relevance, costs, implementation strategy and quantity and quality of outputs and outcomes should be brought to bear on the aggregate final assessment.

B. Recommendations should be firmly based on evidence and analysis presented under the conclusions, be relevant and realistic, and with priorities for action made clear. They can tackle strategic, thematic or operational issues. Recommendations concerned with on-going activities should be presented separately from those relating to follow-up once the National Programme is terminated.

Each recommendation should be clearly addressed to the appropriate party(ies), i.e. the Government and the participating UN Organizations at different levels (headquarter, regional, and national). Responsibilities and the time frame for their implementation should be stated, to the extent possible. Although it is not possible to identify a 'correct' number of recommendations in an evaluation report, the evaluation team should consider that each recommendation must receive a response.

C. Lessons Learned. The evaluation will identify lessons and good practices on substantive, methodological or procedural issues, which could be relevant to the design, implementation and

evaluation of similar projects or programmes, especially future UN-REDD activities and programmes in Cambodia and the rest of the world. Such lessons/practices must have been innovative, demonstrated success, had an impact, and be replicable.

Annexes to the evaluation report

I. Evaluation Terms of Reference

II. List of documents reviewed

III. List of persons interviewed during the evaluation process

The team will decide whether to report the full name and/or the function of the people who were interviewed in this list.

IV. Programme outputs matrix

This table will present the degree of achievement and comment on the quality of all intended programme activities per component (training events, meetings, reports/publications...). It should be prepared with assistance from the programme staff, in a format decided by the evaluation team, when details cannot be provided in the main text if these are too cumbersome.

V. Brief profile of evaluation team members

Annex 4: Basic documents to be consulted

The following list of basic documents should, as a minimum, be consulted by the evaluators at the outset of the evaluation and before finalizing the evaluation design and the inception report:

- UN-REDD Programme Strategy:
http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=4598&Itemid=53
- Cambodia Final UN-REDD National Joint Programme
- Final report of the Mid-Term Review of the Cambodia UN-REDD National Programme
- Annual and quarterly work plans
- Minutes of the meetings of the Programme Executive Board Meetings
- Minutes of the REDD+ Taskforce, Consultation Group, and Gender Group meetings
- UN-REDD Roadmap
- UN-REDD Inception Report
- Annual Reports 2011 to 2014

Annex 5: Key stakeholders and partners

The following list of key stakeholders and other individuals should be consulted:

Name	Title / Organisation	Contact information
Participating UN Organizations		
Ms. Claire Van der Vaeren	UN Resident Coordinator, Co-chair of the UN-REDD Programme PEB Co-chair	Claire.van.der.vaeren@one.un.org
Ms. Setsuko Yamazaki	Country Director, UNDP PEB Member	Setsuko.Yamazaki@undp.org
Mr Etienne Carème	FAO Representative a.i.	etienne.careme@fao.org
Mr. Napoleon Navarro	Deputy Country Director, UNDP (Programme)	Napoleon.Navarro@undp.org
Mr. Sovanny Chhum	UNDP Programme Analyst, Energy and Environment UNDP focal point from 2011 to 2013	Chhum.sovanny@undp.org
Ms. Moeko Saito-Jensen	UNDP Programme Analyst, Energy and Environment, UNDP focal point from 2013 to 2015	moeko.saito-jensen@undp.org
Mr. Anupam Bhatia	Technical Specialist, FCPF project, UNDP from 2014	Anupam.bhatia@undp.org
Mr. Peter Iversen	Former Technical Specialist, UN-REDD from 2013 to 2014	peteraai@yahoo.dk
Mr. Mathieu Van Rijn	FAO MRV Expert Cambodia	Mathieu.VanRijn@fao.org
Mr. Kimhy Lun	UN-REDD National Coordinator, UNDP	kimhy.lun@undp.org
Mr. Sovanna Nhem	FCPF National Project Adviser, UNDP	sovanna.nhem@undp.org
Mr. Timothy Boyle	Regional Adviser, UNDP	Timothy.boyle@undp.org
Mr. Joel Scriven	Regional Adviser, UNDP	Joel.scriven@undp.org
Ms. Kin Yii Yong	Regional Stakeholder Engagement Specialist	Kin.yii.yong@undp.org
Mr. Thomas Enters	Regional Adviser, UNEP PEB Member	Thomas.Enters@unep.org
Cambodian Government		
H.E. Chheng Kimsun	Director General, Forestry Administration, Co-chair of the UN-REDD programme PEB Co-Chair	Chheng.kimsun@yahoo.com
H.E Chea Sam Ang	Deputy Director General, Forestry Administration,	samangfa@gmail.com

	National Programme Director UN-REDD Programme Cambodia PEB Member	
H.E. Chuop Paris	Deputy Director General Green Growth Council, Ministry of Environment, National REDD+ Focal point PEB Member	paris.chuop@lcc.com.kh / paris.ncgg@gmail.com
Mr. Kim Nong	Deputy Director General, GDANCP, Ministry of Environment, Deputy National Programme Director UN- REDD Programme Cambodia PEB Member	moepmcr@gmail.com
Mr. Ouk Vibol	Fisheries Administration, Taskforce and PEB member	ouk.vibol@online.com.kh
Mr. Sum Thy	Secretary of the NCCC Ministry of Environment PEB Member	cceap@online.com.kh
Mr. Khorn Saret	Head of REDD+ taskforce secretariat	dfc200007@hotmail.com
Mr. Vathana Khun	Former Head of the REDD+ Taskforce secretariat (until 2015)	Vathana.khun@gmail.com
Mr. Keo Omaliss	Former delegate of the Cambodia REDD+ programme (responsible for developing REDD+ roadmap)	omaliss@gmail.com
Mr. Leng Chivin	Forestry Administration; (NFMS, GIS)	lengchivin@gmail.com
Mr. Chhun Delux	Forestry Administration; (Safeguards, Drivers of Deforestation and Degradation, REDD+ strategy)	chhundelux83@gmail.com
Mr. Lao Sethaphal	Team Leader, Safeguards Technical Team, Forestry Administration	laosethaphal@gmail.com 077 827 063
Mr. Uy Kamal	Ministry of Environment; (GHG Inventory, National Circumstances)	kamaluy@hotmail.com
Mr. Long Rathanakoma	Forestry Administration; (Communication and Awareness raising)	dfc.koma@gmail.com

Mr. Heng Hong	Ministry of Environment; (Safeguards, cost/benefit analysis)	henghong73@yahoo.com
Mr. So Thea	Forestry Administration; (NFI, FCPF programme)	sotheafa@gmail.com
Mr. Sok Pisith	Ministry of Women's Affairs (Gender Group)	Psok24@gmail.com
Non-Governmental Organizations		
Mr. Tek Vannara	CSO Representative NGO Forum PEB Member	Vannara@ngoforum.org.kh
Ms. Hou Kalyan	Country Director, RECOFTC Cambodia	kalyan@recoftc.org
Mr. Ross Sinclair	Country Director, Wildlife Conservation Society	rsinclair@wcs.org
Ms. Sarah Sitts	Country Director, PACT Cambodia	
Mr. Va Moeurn	Country Director, Mlup Baitong	012 782 536
Mr. Rith Buroeun	Local Organization Action for Development based in Kampong Thom	Rithbunroeun_afd@yahoo.com 012 928 553
Mr. Nok Ven	Indigenous People representative PEB Member	012 737 625 098 756 168 096 999 9266 Nokven.ipunciya@gmail.com
Mr. Chheut Chhorn	Indigenous People representative, Battambang Province	017 546 592
Ms. Teng Rithiny	Programme Coordinator, NGO Forum for Cambodia	012 928 585
Donor/Bilateral projects		
Mr. Naoki Mitori	First Secretary Embassy of Japan PEB Member	Naoki.mitori@mofa.go.jp
Ms. Elodie Maria-Sube	European Union Delegation PEB Member	Elodie.Maria-Sube@eeas.europa.eu
Mr. Kjetil Paulsen	Representative of the Government of Norway PEB Member	Kjetil.paulsen@mfa.no
Mr. Hiroshi Nakata	Adviser, CAM-REDD Office of the technical assistance to Director General of FA (JICA + CAM-REDD)	hiroshi.nakata.mainaccount@gmail.com
Ms. Naomi Matsue	Co-benefit specialist, Office of the technical assistance to Director	Matsue.naomi@gmail.com

	General of FA (JICA + CAM-REDD)	
Mr. Brad Arsenault	Environment Officer USAID Cambodia	barsenault@usaid.gov Office: +855-023-728-300 x8328 Mobile: +855-012-209-302
Research Institutes		
Mr. Pheakkdey Nguon	Royal University of Phnom Penh, Lecturer	Pheakkdey.nguon@gmail.com
Mr. Seak Sophat	Royal University of Phnom Penh, Chair Consultation Group	seak.sopha@rupp.edu.kh
Mr. Kim Soben	Royal University of Agriculture	kimsoben@gmail.com

Annex 6: Rating Programme Performance

The evaluation will provide individual ratings for the evaluation criteria described in section 2.C of these TOR.

All criteria will be rated on a six-point scale as follows: Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU). Sustainability is rated from Highly Likely (HL) down to Highly Unlikely (HU).

An aggregated rating (on a six-point scale) will be provided for Concept and relevance, Results and Contribution to stated objectives, and Overall Project Performance. These ratings are not the average of the ratings of sub-criteria but should be based on sound weighting of the sub-criteria by the Evaluation Team. All ratings should use letters (not numbers).

In the conclusions section of the report, ratings will be presented together in a table, with a brief justification cross-referenced to the findings in the main body of the report.

Criterion	Rating	Summary assessment
Concept and relevance of the NP		
Design		
Relevance		
Results and contribution to stated objectives		
Delivery of Outputs		
Effectiveness		
Efficiency		
Cross-cutting issues:		
Gender		
Capacity Development		
Normative Products		
Sustainability		
Up-scaling		
Likelihood of Impact		
Factors affecting performance		
Programme Management and Coordination		
Human and Financial Resources Administration		
Technical Backstopping and Supervision		
Government participation and ownership		
Monitoring, reporting and evaluation		
Overall Programme Performance		

Annex 2. List of documents reviewed-

1. UN-REDD Cambodia National Programme: Project Document, 2011
2. UN-REDD Cambodia National Programme - Inception Report, September 2012
3. UN-REDD Cambodia National Programme: 2011 Semi-Annual Report
4. UN-REDD Cambodia National Programme: 2012 Semi-Annual Report
5. UN-REDD Cambodia National Programme: 2012 Annual Report
6. UN-REDD Cambodia National Programme: 2013 Semi-Annual Report
7. UN-REDD Cambodia National Programme: 2013 Annual Report
8. UN-REDD Cambodia National Programme: 2014 Semi-Annual Report
9. UN-REDD Cambodia National Programme: 2014 Annual Report
24. UN-REDD Programme: External Evaluation. July 2014. Frechette A., de Bresser M., Hofstede R.
25. UNFCC: Foundation Document. 1992
26. UN Population Division: World Population Prospects 2012
27. FCPF Cambodia Programme: Programme Document, 2013
28. FCPF Cambodia Programme: Annual Report 2014
29. FCPF Cambodia Programme: Inception Report, March 2014
30. FCPF Cambodia Programme: Progress Dashboard, 2014
31. FAO: Global forest resources assessment 2010. 2010a. <http://www.fao.org/forestry/fra2010>
32. FAO: Assessment of land use, forest policy and governance in Cambodia. 2010b. Broadhead J., Izquierdo R.
33. FAO: Cambodia Forestry Outlook Study by the Forestry Administration. 2010. Working Paper No. Asia-Pacific Forestry Sector Outlook Study II / WP/ 2010/ 32
34. Le Billon, O. 2002. Logging in muddy waters: The politics of forest exploitation in Cambodia. *Critical Asian Studies* 34, pp. 563-586.
35. Milne, S. and Mahanty S. Conservation and Development in Cambodia. Exploring Frontiers of Change in Nature, State and Society. 2015.
36. Neak, C. 2007. Cambodia State in Society: Making the Forest Sector (1993-2004). A case Study of Logging in Kompong Thom.
37. RGC. 2014. National Strategic Development Plan 2014-2018.
38. WOCAN, UNREDD, USAID. 2013. Women's Inclusion in REDD+ in Cambodia Lessons from Good Practices in Forest, Agriculture and Other Natural Resources Management Sectors. Joint Regional Initiative for Women's Inclusion in REDD+.
39. General Population Census of Cambodia. 2008. National Institute of Statistics, Ministry of Planning.
40. IPCC (2006) Guidelines for National GHG Inventories. Volume 4 AFOLU. Available at: <http://www.ipcc-nggip.iges.or.jp/public/2006gl/vol4.html>
41. IPCC (2003) Good Practice Guidance for Land Use Land use Change and Forestry. Available at: http://www.ipcc-nggip.iges.or.jp/public/gpglulucf/gpglulucf_contents.html

Annex 3. List of persons interviewed during the evaluation process

Name	Title / Organisation	Contact information
Participating UN Organizations		
Ms. Claire Van der Vaeren	UN Resident Coordinator, Co-chair of the UN-REDD Programme PEB Co-chair	Claire.van.der.vaeren@one.un.org
Mr. Etienne Carème	FAO Representative a.i.	etienne.careme@fao.org
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Mr. Timothy Boyle	Regional Adviser, UNDP	Timothy.boyle@undp.org
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Mr. Thomas Enters	Regional Adviser, UNEP PEB Member	Thomas.Enters@unep.org
Cambodian Government		
H.E. Chheng Kimsun	Director General, Forestry Administration, Co-chair of the UN-REDD programme PEB Co-Chair	Chheng.kimsun@yahoo.com
H.E Chea Sam Ang	Deputy Director General, Forestry Administration, National Programme Director UN-REDD Programme Cambodia PEB Member	samangfa@gmail.com
H.E. Chuop Paris	Deputy Director General Green Growth Council, Ministry of Environment, National REDD+ Focal point PEB Member	paris.chuop@lcc.com.kh / paris.ncgg@gmail.com

Mr. Kim Nong	Deputy Director General, GDANCP, Ministry of Environment, Deputy National Programme Director UN- REDD Programme Cambodia PEB Member	moepmcr@gmail.com
Mr. Ouk Vibol	Fisheries Administration, Taskforce and PEB member	ouk.vibol@online.com.kh
Mr. Sum Thy	Secretary of the NCCC Ministry of Environment PEB Member	cceap@online.com.kh
Mr. Khorn Saret	Head of REDD+ taskforce secretariat	dfc200007@hotmail.com
Mr. Vathana Khun	Former Head of the REDD+ Taskforce secretariat (until 2015)	Vathana.khun@gmail.com
Mr. Keo Omaliss	Former delegate of the Cambodia REDD+ programme (responsible for developing REDD+ roadmap)	omaliss@gmail.com
Mr. Leng Chivin	Forestry Administration; (NFMS, GIS)	lengchivin@gmail.com
Mr. Chhun Delux	Forestry Administration; (Safeguards, Drivers of Deforestation and Degradation, REDD+ strategy)	chhundelux83@gmail.com
Mr. Lao Sethaphal	Team Leader, Safeguards Technical Team, Forestry Administration	laosethaphal@gmail.com 077 827 063
Mr. Uy Kamal	Ministry of Environment; (GHG Inventory, National Circumstances)	kamaluy@hotmail.com
Mr. Long Rathanakoma	Forestry Administration; (Communication and Awareness raising)	dfc.koma@gmail.com
Mr. Heng Hong	Ministry of Environment; (Safeguards, cost/benefit analysis)	henghong73@yahoo.com
Mr. So Thea	Forestry Administration; (NFI, FCPF programme)	sotheafa@gmail.com
Mr. Sok Pisith	Ministry of Women's Affairs (Gender Group)	Psok24@gmail.com
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Mr. Tek Vannara	CSO Representative NGO Forum PEB Member	Vannara@ngoforum.org.kh

Ms. Hou Kalyan	Country Director, RECOFTC Cambodia	kalyan@recoftc.org
Mr. Ross Sinclair	Country Director, Wildlife Conservation Society	rsinclair@wcs.org
Mr. Va Moeurn	Country Director, Mlup Baitong	012 782 536
Mr. Nok Ven	Indigenous People representative PEB Member	012 737 625 098 756 168 096 999 9266 Nokven.ipunciya@gmail.com
Mr. Chheut Chhorn	Indigenous People representative, Battambang Province	017 546 592
Ms. Teng Rithiny	Programme Coordinator, NGO Forum for Cambodia	012 928 585
Donor/Bilateral projects		
Ms. Elodie Maria-Sube	European Union Delegation PEB Member	Elodie.Maria-Sube@eeas.europa.eu
Mr. Hiroshi Nakata	Adviser, CAM-REDD Office of the technical assistance to Director General of FA (JICA + CAM-REDD)	hiroshi.nakata.mainaccount@gmail.com
Ms. Naomi Matsue	Co-benefit specialist, Office of the technical assistance to Director General of FA (JICA + CAM- REDD)	Matsue.naomi@gmail.com
Mr. Brad Arsenault	Environment Officer USAID Cambodia	barsenault@usaid.gov Office: +855-023-728-300 x8328 Mobile: +855-012-209-302
Research Institutes		
Mr. Pheakkdey Nguon	Royal University of Phnom Penh, Lecturer	Pheakkdey.nguon@gmail.com
Mr. Seak Sophat	Royal University of Phnom Penh, Chair Consultation Group	seak.sophat@rupp.edu.kh

Annex 4. Brief profile of evaluation team members

Mr Nelson Gapare (International Consultant/Team Leader). Nelson holds an M.B.A. from Massey University, New Zealand (2006), a Postgraduate Diploma in Resource Studies from Lincoln University, New Zealand (1999) and a Diploma in Forestry Management from the Zimbabwe College of Forestry (1993).

Nelson has worked in the Climate Change, Environmental Management, mapping and Geospatial Technology industry since 1991. His background includes 5 years in Forestry Research in Africa; six years with a State Owned Enterprise in New Zealand focusing on Forestry, Biosecurity, and Climate change; four years with the New Zealand Ministry for the Environment and five years with Indufor working with international governments and private sector on forestry, climate change, REDD+ and MRV design projects. With SNV Laos, Nelson is responsible for the oversight of multiple international REDD+ projects in South East Asia including LEAF, ENRICH, MBREDD, ADB Capacity Building for REDD+.

Nelson had broad experience in climate change, greenhouse gas inventory reporting for the LULUCF sector, environmental management policy, and geospatial technology supplemented by a broad understanding of the UNFCCC and international negotiations and opportunities for REDD+. Nelson has extensive experience in national REDD+ Programs with experience in Laos, Vietnam, Cambodia, Tanzania, Guyana, and Zimbabwe.

Previously, Nelson was involved in the development of the Vegetation Resource Information System during his 5 years with the Forestry Commission of Zimbabwe. He has also undertaken forestry projects in DR Congo, South Africa, Tanzania, Kenya, and Zimbabwe. Nelson has also worked in management roles for two central government agencies that lead New Zealand's climate change response strategy - The Ministry of Primary Industry and Ministry for the Environment where he led the design and implementation of the New Zealand Land Use and Carbon Analysis System

Mr Try Thuon (Local Consultant). Mr Thuon is a professional researcher with over a decade of experience in Cambodia and neighbouring countries. His topics of research include: natural resources governance (land, forest, water and fisheries); rural livelihood systems; climate change impact, adaptation and mitigation; REDD and CDM; hydropower development; urbanisation; and vulnerability assessments.

Mr Thuon holds a MA in Sustainable Development from RCSD, Chiang Mai University, Thailand, since 2004.

From 2011-2014, Mr Thuon worked as research associate with the Finland Future Research Centre (FFRC) on the Adequacy of Climate Change Mitigation Initiatives in Laos and Cambodia and Redefining Energy and Climate Policy in Least Developed Countries. The research findings resulted on a series of publications as well as presentations at both national and international conferences. Meanwhile, Mr Thuon collaborated as an adjunct lecturer/researcher in the Faculty of Development Studies, Royal University of Phnom Penh.

From 2009 to 2014, Mr Thuon was affiliated with various consultancy projects through the International Centre for Environmental Management (ICEM), Australia which include working as Socio-economic and Livelihood Specialist for the Mekong Adaptation and Resilience to Climate Change Program and as National Team Leader and Climate Specialist for the ADB TA on Building Climate Resilient Cities in Cambodia, Lao PDR and Vietnam. Mr Thuon has also been active with various professional research works with UN agencies and other donors. A selection of them are: the Water for Life and Livelihoods Project contributing as an agriculture and water planning expert; co-author of the Cambodia Human Development Report 2010/2011 on "Building Resilience: the Future of Rural Livelihoods in the Face of Climate Change" which is one of the most influencing reports to national policy reflection; and Senior Policy Researcher on Policy Options for Sub-National Management of Natural Resource in Cambodia.

Annex 5. Progress by output based on goals and indicators

OUTPUT	Description of Targets, Indicators and Baseline	Progress Made (achieved, partially achieved, not achieved)
OUTCOME 1: Effective National Management of the REDD+ Readiness and stakeholder engagement		
Output 1.1	<p>National REDD+ Readiness Coordination Mechanism established</p> <ul style="list-style-type: none"> By the end of 2013, the TF has met on at least on 2 occasions and has established rules of procedure and working process By the end of the Programme, the TF has made policy decisions related to key elements of a national REDD+ system, including a safeguards system, BDS, NFMS, etc. The Consultation Group is formed by the end of August 2013 By the end of the Programme, all members of the Consultation Group consider that the TF has taken account of advice from the Consultation Group All Technical Teams are established by the end of September, 2013 By the end of the Programme, all TTs have provided regular technical advice to the TF/CG <p>Baseline: Initial formal TF meeting expected August 2013</p>	<ul style="list-style-type: none"> Achieved. The first formal meeting of the Taskforce took place on 11 September 2013 and the second formal meeting of Taskforce took place on 28 November 2013. The meetings approved ToRs of the four REDD+ Technical Teams and Taskforce calendar of work. Partially achieved. By the end of the Programme, the TF reviewed, advised and provided direction on REDD+ work-plan and activities, REDD+ Coordination Mechanism, establishment of REDD+ Technical Teams, formation of Consultation Group, Gender Group, development of National REDD+ Strategy, and development of other REDD+ elements such as: REDD+ Fund options; REDD+ Safeguards and Safeguards Information System; options for REDD+ Benefit Sharing; REDD+ Grievance Redress Mechanism; Forest Definition; National Forest Inventory and MRV/REL. The UN-REDD programme facilitated technical analyses and subnational and national stakeholder consultations but some of the key policy decisions have still to be taken. Achieved. The first meeting of the Consultation Group took place on 30 August 2013. CG comments and concerns have been provided to technical teams, Taskforce and PEB. Not possible to assess achievement. It was not possible to hold meetings with the 18 members of the CG to check if they consider that the TF has taken account of advice from them. The ET impression is that this goal was partially achieved. Achieved (but delayed). All technical Teams were established by 2014. The gender TT was the last one to be formed by the beginning of that year. Achieved. By the end of the Programme, all TTs have provided regular technical advice to the TF/CG.
Output 1.2	<p>Support to National REDD+ Readiness process</p> <ul style="list-style-type: none"> All TF, CG and TT meetings are organized effectively and efficiently By the end of the Programme, at least 80% of the members of the TF, CG and TTs confirm satisfaction with the role played by the Secretariat By the end of the Programme, other initiatives (e.g., CAM-REDD, LEAF) confirm that the Secretariat has supported the broader REDD+ readiness process in Cambodia <p>Baseline: Secretariat established and fully staffed</p>	<ul style="list-style-type: none"> Achieved. All TF, CG and TT meetings are organized effectively and efficiently. Secretariat meetings were taking place weekly from April 2012. Achieved. By the end of the Programme, most of the members of the TF, CG and TTs confirmed satisfaction with the role played by the Secretariat. They achieved their duties, even if they were achieved with delays. Assessment based on interviews feedback, the Programme performed no survey. Achieved. Other initiatives such as CAM-REDD and LEAF confirmed that the Secretariat had supported the broader REDD+ readiness process in Cambodia when interviewing them. They were satisfied by the fact that a Secretariat was in place, even if it was not always effective or efficient.
Output 1.3	<p>Stakeholders are engaged in the REDD+ Readiness process</p> <p>A survey conducted near the end of the Programme reveals that, averaged across nine stakeholder groups, at least 67% of members of stakeholder groups represented on the CG confirm that their views on policy decisions considered by the Taskforce are effectively communicated to the Taskforce.</p> <p>Baseline: No effective stakeholder engagement at the beginning of the programme; considerable investment in CG selection during the first 18 months of the programme.</p>	<p>Partially achieved. By the end of the Programme, members of stakeholder groups represented on the CG had mixed views on their contributions being taken into account for policy decisions, highlighting that the consultation process is not effective enough. Assessment based on interviews feedback, the Programme performed no survey.</p>

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OUTPUT	Description of Targets, Indicators and Baseline	Progress Made (achieved, partially achieved, not achieved)
Output 1.4	<p>Stakeholders provided with access to information on REDD+ and the National REDD+ Readiness process</p> <ul style="list-style-type: none"> • A survey conducted near the end of the Programme reveals that all members of the CG confirm that they have access to the necessary information on REDD+ • A survey conducted near the end of the Programme reveals that, averaged across nine stakeholder groups, at least 67% of members of stakeholder groups represented on the CG are able to outline key features of REDD+ <p>Baseline: Information available assumed to be minimal at start of the programme; a survey at the CG selection workshop will establish level of awareness</p>	<p>Achieved. No survey was performed to the CG members near the end of the Programme to assess if they had access to the necessary information on REDD+. Even if the survey did not take place, information sharing activities were performed. The Cambodia REDD+ Website was launched in May 2013 and was updated regularly, through it information can be publicly assessed. The UN-REDD programme activities and its achievements were uploaded to the UN-REDD workspace. The Communications Strategy for Cambodia's REDD+ programme was endorsed and the Consultation and Participation Plan was approved. 4 REDD+ Newsletters were produced and distributed. REDD+ extension materials were developed. 2 TV talk show programmes were broadcast and radio programmes were developed. A study tour abroad was organised for 10 Taskforce members. A group of interested NGOs were gathered to review existing communication material on REDD+ in order to identify gaps and improve the quality. An Inception Workshop was held on 17 November 2011 to launch the Programme and information on the Programme was also presented at the informal NGO network meeting in November 2011.</p> <p>Not possible to assess achievement. No survey was performed to the members of the stakeholders group that form part of the CG towards the end of the Programme to assess if they are able to outline key features of REDD+. Even if the survey did not take place, numerous awareness raising activities were performed. REDD+ Awareness Raising Plan to Indigenous Peoples at district level was approved. A plan to strengthen the capacity of Indigenous Peoples, community forestry, community fisheries, community protected areas and operationalize information flow and feedback mechanisms was endorsed. 10 awareness raising events were organised for a total of 333 participants from REDD+ groups. A national meeting on Preparing Cambodia to enter the Warsaw Framework for REDD+ was organised for a total of 46 participants. A survey of the level of awareness among different stakeholders was conducted at the beginning of the Programme and used both to identify priority areas for awareness and to assess results of efforts to raise the level of awareness.</p>
OUTCOME 2: Development of the National REDD+ Strategy and Implementation Framework		
Output 2.1	<p>Development of individual REDD+ strategies and implementation modalities</p> <ul style="list-style-type: none"> • By June 2014, draft strategy proposals have been developed for forests under the administration of FA, GDANCP, and FiA • By the end of the programme, these draft strategies have been adopted and incorporated into an initial draft of a National REDD+ Strategy • A survey conducted near the end of the programme reveals that at least 50% of professional staff of FA, GDANCP, and FiA consider that their agencies have adequate capacities to plan and implement REDD+ actions <p>Baseline: draft REDD+ Strategy in Roadmap</p>	<p>Achieved. Methods to involve Community forestry, incentive based systems to improve participation and landscape management have been recommended for REDD+ implementation. The GDANCP led project has finished an initial draft of the National Protected Areas Strategy Management Plan in which REDD+ aspects were included. The findings of the FiA led project were submitted as a report in which recommended approaches to involve communities in the protection of flooded forest and mangrove to enhance carbon stocks and 5-year implementation plan to continue their REDD+ pilot project</p> <p>Partially achieved. Development of the National REDD+ Strategy was endorsed by the Taskforce in March 2014. A second draft of Cambodia's National REDD+ Strategy is available by June 2015.</p> <p>Not possible to assess achievement. No survey was performed to professional staff of FA, GDANCP, and FiA towards the end of the Programme to assess if they consider that their agencies have adequate capacities to plan and implement REDD+ actions</p>
Output 2.2	<p>Evaluation of REDD+ co-benefits</p> <ul style="list-style-type: none"> • By September 2014, 50% of professional staff of FA, GDANCP, and FiA are able to describe the relative values of forests under different management regimes 	<p>No possible to assess achievement. No survey was performed. No possible to assess achievement. No survey was performed.</p>

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OUTPUT	Description of Targets, Indicators and Baseline	Progress Made (achieved, partially achieved, not achieved)
	<ul style="list-style-type: none"> By June 2014, 75% of key decision makers in line agencies and all members of the TF and CG are able to give an estimate of the costs of implementing REDD+ activities versus other land use options <p>Baseline: UNEP-WCMC co-benefits report</p>	<p>Looking at the general progress made, a draft literature review on local costs and benefits from REDD+ implementation was produced. The RTS undertook preliminary analytical work and organised a consultation that will lead to the production of a spatial decision making tool for cost-benefit analysis of REDD+ in the future. A further study on the values of forests under different management regimes, along with estimates of the costs of implementing REDD+ activities versus other land use options was undertaken.</p>
Output 2.3 and 2.4	<p>Establishing REDD+ Fund mechanisms and Revenue and benefit-sharing studies</p> <ul style="list-style-type: none"> By the end of 2013, a policy brief on revenue sharing and benefit distribution has been approved by the TF By March 2014, options for revenue sharing and benefit distribution have been produced for broad consultation By the end of the Programme, proposals for revenue sharing and benefit distribution have been produced based on results of broad stakeholder consultation <p>Baseline: Benefit distribution process identified in existing pilot projects</p>	<p>Achieved. A policy brief on benefit distribution was presented on early 2014. Following an earlier analysis of existing models in Cambodia and elsewhere and sub-national consultations, a revised technical report was prepared. The document outlines the need for additional research and analyses.</p> <p>Achieved (but delayed). Preliminary options for the basis to be used for benefit sharing were discussed and identified during a national consultation meeting in December 2014.</p> <p>Achieved. A study on the proposal for a National REDD+ Fund management option for Cambodia was conducted. Preliminary feedback on the options indicates a preference to start with a sinking fund and later move to a revolving fund. Additional studies are planned on public financial management regulations, the legal context, ODA management, related environmental-finance issues including environmental and climate funds, CDM and voluntary market instruments.</p>
Output 2.5.	Policy and legal development for the National REDD+ implementation framework	This output was dropped as a result of a decision at PEB 4, but one significant result was achieved before it was dropped, namely an assessment of options for establishment of a REDD+ grievance mechanism.
Output 2.6.	<p>Safeguards and monitoring of co-benefits</p> <ul style="list-style-type: none"> By the end of 2013, initial proposals for key elements/ principles to be included on a nationally appropriate system of safeguards have been produced. By April 2014, a revised proposal for key elements/principles to be included for a nationally appropriate system of safeguards has been produced, incorporating feedback from broad stakeholder consultation. By August 2014, initial proposals for key measures and indicators for assessing and monitoring the statuses of selected elements/principles under safeguards have been produced By the end of the Programme, the TF has approved a nationally appropriate system of safeguards <p>Baseline: No national REDD+ safeguards; Monitoring systems in place in some forested landscapes</p>	<p>Achieved (but delayed). A technical report on safeguards that reviewed UNFCCC and other global safeguards such as those of the World Bank and UN-REDD's Social and Environmental Principles and Criteria (SEPC) and undertook an assessment of how existing policies, laws and regulations (PLRs) address the Cancun safeguard principles was produced in 2014.</p> <p>Achieved. A series of sub-national and national consultation workshops were conducted during 2014.</p> <p>Achieved (but delayed). The revised technical report that incorporates the stakeholders inputs proposes an approach that will contribute to the process of developing a Safeguards Information System (SIS) for Cambodia. A national consultation meeting was held in December 2014 to discuss a national approach to REDD+ safeguards.</p> <p>Not achieved. No nationally appropriate system of safeguards for REDD+ has been approved by June 2015.</p>
OUTCOME 3: Improved capacity to manage REDD+ at subnational levels		
Output3.1:	<p>Development of National REDD+ project guidelines and selection of demonstration sites</p> <ul style="list-style-type: none"> By the end of 2013, an analysis of options to integrate sub-national approaches within a national REDD+ system has been completed 	<p>Achieved. Cambodia is a pilot country for Community-Based REDD+ (CBR+). In 2014, a four-member CBR+ National Steering Committee</p>

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OUTPUT	Description of Targets, Indicators and Baseline	Progress Made (achieved, partially achieved, not achieved)
	<ul style="list-style-type: none"> By June 2014, a broad-based consultation process has identified potential options to guide implementation By the end of the Programme, the TF has approved REDD+ implementation guidelines, including for sub-national implementation <p>Baseline: No REDD+ implementation guidelines exist</p>	<p>(NSC) that complements the SGP NSC was established. The Royal University of Phnom Penh was contracted to develop a CBR+ Country Plan (CP) through.</p> <p>Achieved. 3 regional and 1 national multi-stakeholder consultations were performed on CBR+.</p> <p>Partially achieved. A policy brief was produced by FA in which forest areas under the jurisdiction of FA and GDANCP can be managed as a landscape was recommended for REDD+ implementation at the sub-national level.</p>
Output 3.2	<p>Pilot project activities</p> <ul style="list-style-type: none"> By the end of 2013, at least 5 Policy briefs have been produced through demonstration projects; and have been reviewed, or are under review by TTs By the end of the Programme, the TF has approved at least 6 Policy Briefs or methodologies developed by demonstration projects through UN-REDD Programme funding <p>Baseline: Several NGO-driven demonstration projects are under implementation and are designed to generate lessons on REDD+ readiness</p>	<p>Achieved (but delayed). By the end of 2014, 5 Policy briefs have been produced through demonstration projects and it is assumed that they have been reviewed by the TTs. These 5 Policy Briefs are (i) Building Awareness and Support for REDD+ among Forest dependent Communities in Siem Reap: Consultation with Forest Management Committees; (ii) Community-based Forest Monitoring: Lessons from the Oddar Meanchey Community Forestry REDD+ Site; (iii) Conflict resolution in REDD+: An assessment in the Oddar Meanchey Community Forestry REDD+ Site, Cambodia—Lessons Learned; (iv) Lessons Learned from Design of the Social Co-benefits Monitoring System for Seima Protection Forest REDD+ Demonstration Project; and (v) Monitoring systems for illegal land encroachment at the Seima Protection Forest REDD+ Demonstration site.</p> <p>Not possible to assess achievement. There is no information on if the 5 Policy Briefs named in the previous bullet were approved.</p>
OUTCOME 4: Design of a Monitoring System and capacity for implementation		
Output 4.1	<p>Establishment of the National MRV/REL Technical Team and build appropriate national capacity</p> <ul style="list-style-type: none"> By June 2014 assessment of Institutional arrangement and staff capacity has been completed By June 2014 MRV/REL Technical Team have submitted at least three proposals to TF for decisions required to establish the national forest monitoring system By end of the programme key professional staff of FA, GDANCP, and FiA are able to describe key MRV components, and institutional roles and responsibilities <p>Baseline: No MRV/REL Technical team and national REDD+ MRV/REL coordinating mechanisms</p>	<p>Achieved. 2 National consultants were hired to perform a capacity assessment on MRV/REL aspects. Numerous meetings of the MRV/REL took place in 2014 with the primary objectives to strengthen the capacities of the MRV/REL technical team members and discuss various technical proposal and concepts required for REDD+. The team has participated in multiple trainings, including: NFMS workshop, Land use classification workshop, NFI field testing and data analysis, NFMS web platform & data management, and GHG trainings.</p> <p>Achieved. Proposals on the national forest definition, land-use classification and country specific emission factors were submitted to the TF.</p> <p>Achieved. In the Programme Annual Report 2014 it is stated that members of the MRV/REL Technical Team have a clear understanding of the different MRV components; and proposals on forest definition and land-use classifications.</p>
Output 4.2	<p>Develop Cambodia Monitoring system plan</p> <ul style="list-style-type: none"> By June 2014 recommendations have been provided to establish and decide on National forest definition, land-use classes, carbon pools and reference period By end of the programme a zero-forest map has been developed <p>Baseline: No National forest definition and classification</p>	<ul style="list-style-type: none"> Achieved. A national forest definition was developed, but it has not been approved yet., a National Forest Inventory (NFI) and field manual were developed and field-tested. Land-use classifications were developed. Historical inventory data was cleaned, harmonized, and analysed to develop initial country specific Emission Factors. The carbon pools and reference period have been examined. Partially achieved. The base map was progressed. Zero-forest map for the year 2013/14 is ready
Output 4.3	<p>Review of the forest cover assessments to provide REDD+ activity data and design the satellite forest monitoring system</p>	<p>The web platform is available under the link http://178.33.8.124/portal/ until www.cambodia-redd.org/portal sub-domain is enabled. Land use and land use change data is created for the years 2006-2010-2014; the report</p>

Final Evaluation of the UN-REDD Cambodia National Programme

OUTPUT	Description of Targets, Indicators and Baseline	Progress Made (achieved, partially achieved, not achieved)
	<ul style="list-style-type: none"> • By June 2014 web-based satellite monitoring system developed • By the end of the programme, the web-based satellite monitoring system includes data on past and current forest cover changes <p>Baseline: Current forest cover assessments, limited accessibility of data</p>	<p>on existing satellite and aerial imageries is final. FA is implementing an accuracy assessment for the activity data.</p> <p>Partially achieved. Functioning test version of satellite forest monitoring system web-platform has been developed.</p> <p>Partially achieved. Report on Inventory of existing satellite and aerial imageries is under final revision. The production of a land use and land use change series is under development.</p>
Output 4.4	<p>Design of a National Forest Inventory to develop emission and removal factors for REDD+ related activities</p> <ul style="list-style-type: none"> • By end of 2013 a national forest inventory (NFI) has been designed. • By June 2014 existing carbon stock and emission data has been identified and catalogued in a database and data to be shared on web platform is identified • By the end of the programme existing emission factors and inventory data is accessible through web-based platform <p>Baseline: No Existing National Forest Inventory and comprehensive database of existing emission factors</p>	<p>Achieved. NFI designed.</p> <p>Achieved. Existing forest inventory data has been analysed to develop country specific biomass estimates and emission factors. Carbon stocks were estimated for a wide range of forest conditions.</p> <p>Not achieved. No information can be found on the web platform (http://www.cambodia-redd.org/) on the emission factors and inventory data.</p>
Output 4.5	<p>Support the development of a REDD+ related GHG Reporting System</p> <ul style="list-style-type: none"> • By June 2014 Data sharing procedure between institutions and archiving system developed to ensure data access for the LULUCF GHG inventory • By the end of the programme MRV/REL TT and relevant institutions have prepared an interim GHG inventory for the LULUCF sector <p>Baseline: INC and draft SNC</p>	<p>Partially achieved. Data sharing procedures and templates were developed and a file based archive established. Successively a database and database management system are under development.</p> <p>Partially achieved. The inventory is being compiled.</p> <p>Continues to be work in progress</p>
Output 4.6	<p>Support the development of Cambodia RL/REL framework</p> <ul style="list-style-type: none"> • By June 2014 data drivers of deforestation and forest degradation have been collated, national circumstances and land-use and forest policy and governance have been assessed • By the end of the programme the preliminary design of the REL framework and REL/RL baseline have been developed <p>Baseline: No existing National REL/RL baseline</p>	<p>Achieved. A study on Drivers of Deforestation and Forest Degradation was developed. The results are so far for internal decision-making.</p> <p>Partially achieved. REL/RL baseline is being developed.</p>

Annex 6. Theory of Change of the CNP

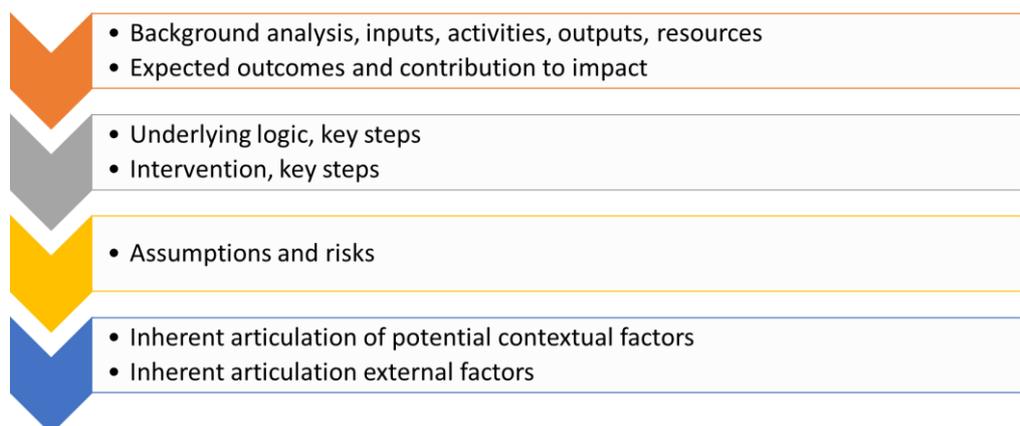
Context

Noting that the CNP was designed with a two year timeframe to enable Cambodia to be ready for REDD+ Implementation suggests that the impact is in fact beyond the life of the program. Working backwards it would therefore be logical to assess what the real achievements are in terms of outcomes. An effective theory of change should have measurable targets. A common way to operationalize a theory of change is to articulate a logic model comprising inputs, outputs, and outcome indicators that can be measured at specific intervals. It is important to be clear about cause and effect, understand the enabling factors and the realism associated with the expected outcomes, otherwise it becomes difficult to even define intermediate outcomes that are predictive of longer-term aspirations.

This evaluation is required to assess the CNP theory of change by retrospective reconstruction. This is useful to try to understand what factors made implementation effective or less so. However, theory of change thinking can be used as an opportunity to encourage innovation through more dynamic exchanges between donors, programmes and civil society to improve hypotheses of change and create a wider range of strategic options. Thus it is more beneficial if programme teams can construct their theories of change at the design stage and able to continually test their assumptions and results chains throughout the programme cycle, not through mandatory prescriptions or reporting. The main benefits that are expected from programmes working with theory of change thinking right from the start are that an impact-oriented learning process is created in an on-going way to strengthen and improve programmes as they are being implemented.

The UN-REDD Framework Document (June 2008) and UN-REDD Programme Strategy 2011-2015 both outline the visions, goals, objectives and operational guiding principles which can easily be translated into an illustrated theory of change as illustrated in Figure 7 below.

Figure 4: Simplified interpretation of national programmes



The use of the term “inherent” in relation to the articulation of contextual factors and external factors is to illustrate that there are weaknesses in some aspects of Programme design such as absence of capacity needs assessment during the design phase. With explicit articulation of these factors, implementation teams can develop a shared vision and continuously able to identify sources of deviation from the result chain and critical path. National programmes such the ones implemented in Vietnam and Tanzania could not benefit from drawing on an illustrated global theory of change and able to see a clearer results chain as well as anticipate external influences likely to affect effectiveness.

The ET notes the recently developed UN-REDD Programme 2016-2020 now has theory of change from which national programmes can potentially draw from. Countries are likely to benefit in the event of ongoing adjustments and guidance with the evolution of the global discourse on the future modalities for implementing performance-based REDD+ schemes.

The CNP theory of change

The ET has noted the absence of an extensive capacity needs assessment to thoroughly understand the likely impact of any capacity gaps that may exist across institutions. However, in reconstructing the results chain, the situation analysis in fact captures some of the capacity gaps. But the link between these capacity gaps and the design of the activities, outputs, outcomes and contribution to income is not clearly articulated and potentially overshadowed by the complexity of REDD+.

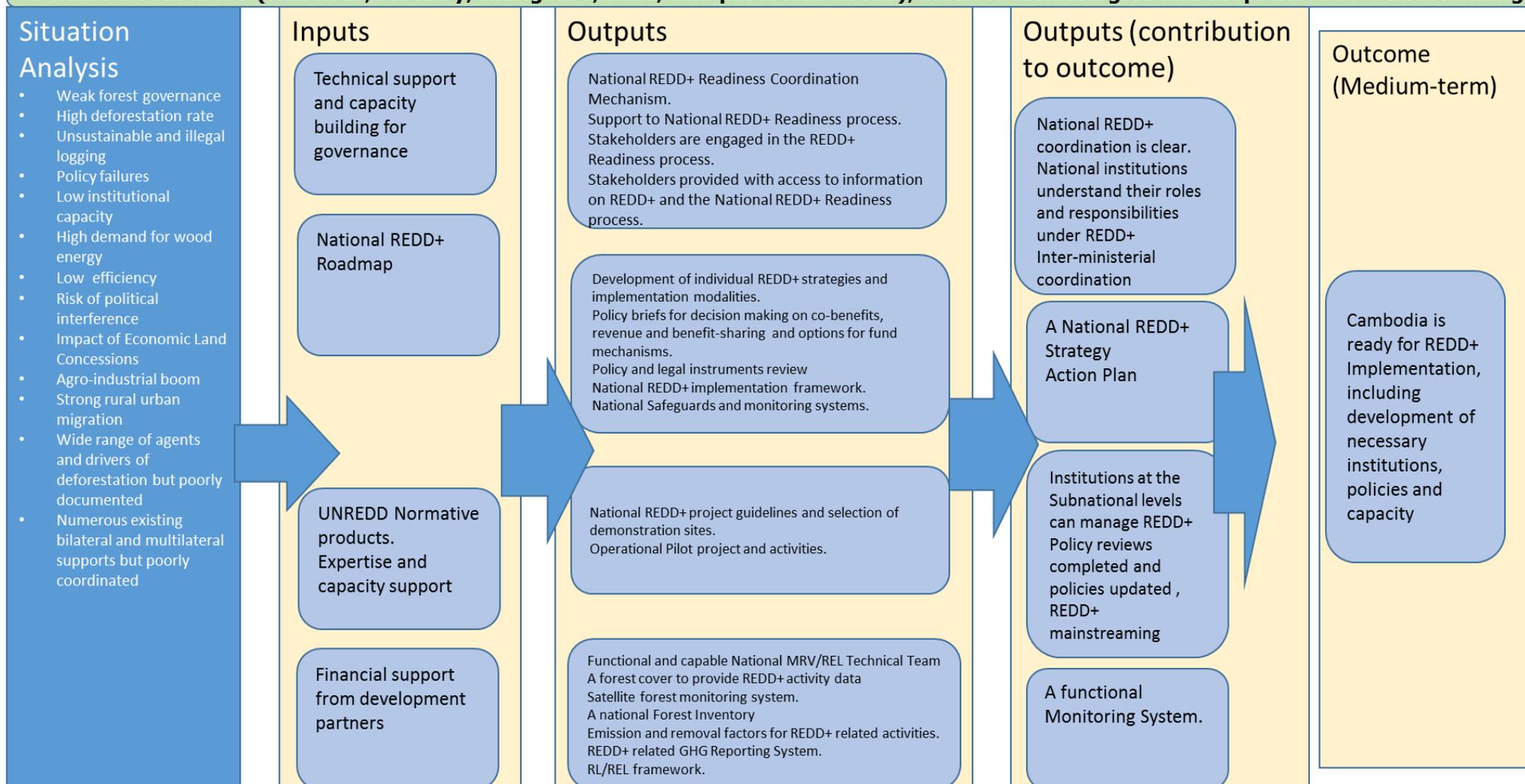
In the project document, one might be confused as to which outcome the team would work considering the reference to Cambodia UNDAF Outcome 2, Programme Outcome and the activity related outcomes (Outcome 1 to 4). This is not a criticism about making the links between the goals but a simple perspective on how efforts in constructing a theory of change and result chains would enable better clarity of what the activities will contribute to and how.

To reach the goal of ensuring that national and local authorities and the private sector are better able to sustainably use natural resources, the result chain has to ensure their sustained participation. From a TOC perspective, there is need to be clear about what causes this intermediate state i.e. ability to have sustained involvement. The nature of the CNP is such that the cause and effect could be stronger if, for instance, there is some form of sustained technical support across the REDD+ readiness process. The Roadmap recognises this issue but the lack of predictable and sustained technical support beyond the CNP and FCPF funding reduces the sustainability of the outcomes. Thus the capacity needs assessment becomes an important link to strengthen the result chain.

The reconstructed theory of change below supports the notion that the CNP's key contribution is indeed supporting the country for REDD+ Readiness. However the beyond Readiness phase, the impact of the CNP is unclear because the global discourse on climate change and REDD+ introduces a high degree of uncertainty. There are multiple permutations possible post COP 21. However, Cambodia does not rely on the international community alone for reducing deforestation and forest degradation, there are national policies and measures, and development agendas that the country will and is able to continue with. It would be important to articulate such scenarios in the theory of change.

Reconstructed CNP Theory of Change

Cambodia UNDAF Outcome 2: National and local authorities and private sector institutions are better able to ensure the sustainable use of natural resources (fisheries, forestry, mangrove, land, and protected areas), cleaner technologies and responsive to climate change



Contribution to Impact: Reduce forest emissions and enhance carbon stocks in forest while contributing to national sustainable development.

Annex 7. Evaluation Consultant Agreement Form

<p>Evaluation Consultant Agreement Form</p> <p>Agreement to abide by the Code of Conduct for Evaluation in the UN System</p> <p>Name of Consultant: <u>___Nelson Gapare_____</u></p> <p>I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.</p> <p>Signed at (Vientiane) on (30/06/2015)</p> <p>Signature:  _____</p>

<p>Evaluation Consultant Agreement Form</p> <p>Agreement to abide by the Code of Conduct for Evaluation in the UN System</p> <p>Name of Consultant: <u>_Try Thuon_____</u></p> <p>I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.</p> <p>Name of Consultant: <u>___Try Thuon_____</u></p> <p>Signed at (place) on (date)</p> <p></p> <p>Signature: <u>_____</u></p> <p>Phnom Penh, 20 May 2015</p>
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