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1818 H Street NW
Washington DC 20433
Telephone: 202-473-1000
Internet: www.worldbank.org

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ACRONYMS

CIF	Climate Investment Funds
CIFOR	Center for International Forestry Research
CPF	Collaborative Partnership on Forests
DFID	U.K. Department for International Development
ECA	Europe and Central Asia (region of the World Bank)
ENA FLEG	Europe and North Asia Forest Law Enforcement and Governance
EU	European Union
FAP	Forest Action Plan
FCPF	Forest Carbon Partnership Facility
FIP	Forest Investment Program
GIZ	German Agency for International Cooperation (Deutsche Gesellschaft für Internationale Zusammenarbeit)
IUCN	International Union for Conservation of Nature
LSMS	Living Standards Measurement Survey
M&E	Monitoring and Evaluation
MDTF	Multidonor Trust Fund
NDC	Nationally Determined Contribution
NGO	Nongovernmental Organization
OAF	Options Assessment Framework
PATS	Project Activity Tracking System
PES	Payment for Environmental Services
REDD+	Reduced Emissions from Deforestation and Forest Degradation
SDC	Swiss Agency for Development and Cooperation
SFM	Sustainable Forest Management
ToC	Theory of Change
TTL	Task Team Leader
UNFF	United Nations Forum on Forests
WRI	World Resources Institute
WWF	World Wide Fund for Nature

All dollar amounts are U.S. dollars unless otherwise indicated.

GLOSSARY

Cofunding: The monetary contributions to PROFOR-funded activities from within the World Bank (for example, from Bank Budget) or from activity partner organizations.

Communication: Sharing news, facts, and information with audiences to raise awareness of new knowledge, with an external rather than internal focus for the World Bank.

Dissemination: Distributing information and knowledge to intended audiences.

Engagement: Establishing an active relationship with potential users of knowledge.

Forest smart: Forest smart is a development approach that ensures that investments in other economic sectors (for example, agriculture, energy, mining, transport) consider avoiding/minimizing adverse impacts on forests and/or maximizing development outcomes through forest-based solutions.

Influence: Refers to the power to affect the behavior, policy formulation, or decisions of knowledge users.

Leveraging: Refers to PROFOR-funded activities shaping the design or implementation of World Bank operations, measured in terms of the ratio of project financing to PROFOR funding.

Long-tail dissemination: Dissemination that occurs well beyond the completion of the PROFOR activity.

Partnership: PROFOR collaboration with any organization external to the World Bank, which included consultancy contracts, transfer out agreements, and equal partnerships with no financial exchange.

PROFOR activity: An activity funded by PROFOR in pursuit of the PROFOR objective.

PROFOR Secretariat: The PROFOR program manager and staff associated with PROFOR at the World Bank headquarters.

Uptake: Refers to access to and use of knowledge.



EXECUTIVE SUMMARY

From 2002 to 2020, PROFOR, housed at the World Bank, received \$52 million from its donors and implemented over 270 activities across four broad themes at the global, regional, and country levels: (1) livelihoods, (2) finance, (3) governance, and (4) cross-sectoral. Activities included development and dissemination of knowledge products and processes, analytics, data, and tools in support of sustainable forest management (SFM). The PROFOR closing report assesses the relevance of PROFOR-funded activities; degree of engagement, uptake, and influence of the activities by decision makers, practitioners, and other stakeholders and partnerships; and how these facilitated the development of the research agenda and the uptake and influence of the activities.

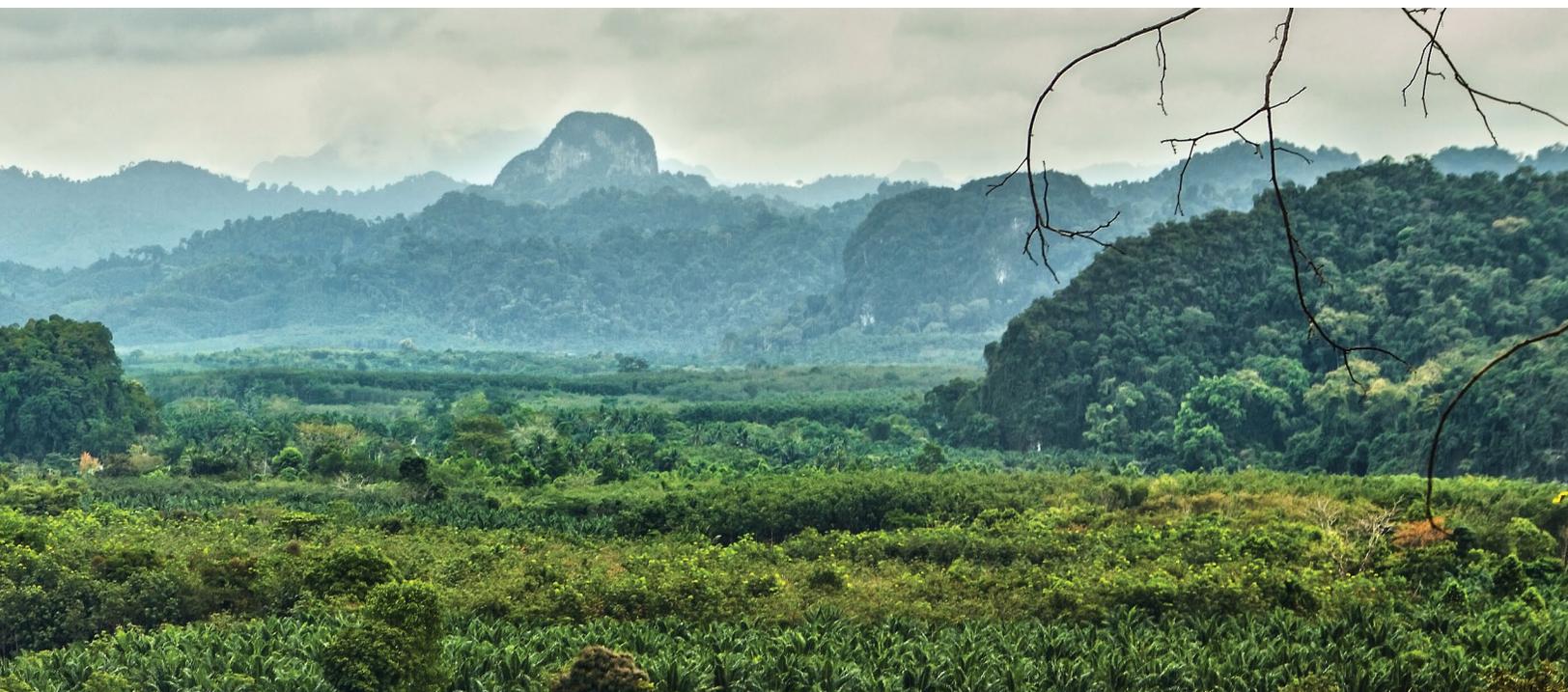
PROFOR remained relevant, technically strong, and innovative throughout its 18 years at the World Bank. Contributing to the continued relevance was PROFOR's ability to respond quickly to demands and the thematic areas being robust and relevant, standing the test of time. The PROFOR Secretariat played a key role in ensuring continued relevance. PROFOR engaged well through targeting different audiences and ensured good uptake and influence of its activities, although with some variation.

“ PROFOR leveraged approximately \$1.6 billion of World Bank lending. ”

PROFOR likely had substantial influence throughout its existence. This was easier to demonstrate in the later years through the adoption of the Theory of Change and stringent monitoring and evaluation. Approximately \$1.6 billion of World Bank lending was leveraged by PROFOR.¹ Keys to good uptake include building uptake into activity design and providing enough time and financial resources to carry out dissemination and communication.

PROFOR's collaboration with a range of partners contributed to its relevance and reach, and these experiences can help inform future partnership work. Following a clear, consistent strategy with regard to partnerships could have helped PROFOR get more from partnerships, especially in the later years. Differences in agendas, cultures, and interests sometimes made partnerships challenging. Lessons for the PROGREEN multidonor trust fund, which will follow PROFOR, are also included in the report.

¹ See glossary for definition of “leveraging.”







INTRODUCTION

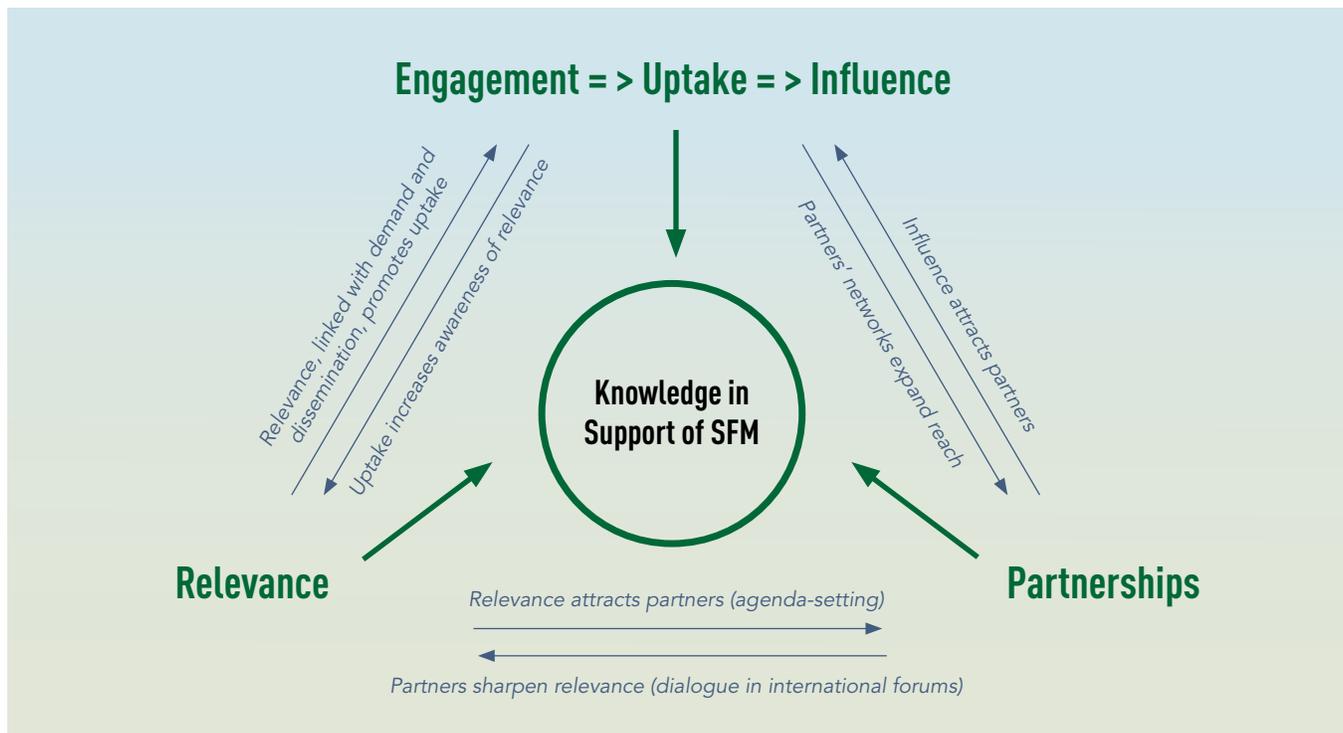
In 2002,² the Program on Forests (PROFOR) multidonor trust fund (MDTF) was created at the World Bank to generate knowledge related to SFM and to support innovative processes and knowledge sharing and dialogue on forests. Over its 18-year life span (2002–2020), PROFOR received \$52 million from the following donors: the government of the United Kingdom through the Department for International Development, the government of Switzerland through the Agency for Development and Cooperation, the European Union (EU), the government of Germany through Gesellschaft für Internationale Zusammenarbeit, the government of Finland through the Department for International Development Cooperation, the government of Japan through the International Forestry Cooperation Office, the government of Italy through the Ministry of Foreign Affairs, and the government of the Netherlands through the Ministry of Agriculture, Nature and Food Quality. The PROFOR Board, comprising the PROFOR program manager, contributing development partners, and observers, met annually and provided strategic direction on the trust fund's portfolio, with priorities shifting to respond to changes in development priorities for forests.

From the outset, the mission was innovative and unique: Driven by applied and adaptive research and implementation through World Bank projects, PROFOR supported SFM and the formulation of forest policies through development and dissemination of knowledge products and processes, analytics, data, and tools. Increasingly, it supported an agenda of research into issues outside of the forest sector but with great impacts on the sector. The forest-smart approach included assessing impacts and developing solutions to expansive agriculture, unplanned mining and infrastructure, and other environmentally disruptive development initiatives.

“ Over its 18 year life span, PROFOR received \$52 million from donors that it used to support a portfolio of over 270 activities. ”

² PROFOR was first established in 1997 at the United Nations Development Programme (UNDP) and subsequently moved to the World Bank.

FIGURE 1: PROFOR VALUE PROPOSITION



PROFOR supported a portfolio of over 270 activities,³ focusing on four key themes: improving people's livelihoods through better management of forests and trees, enhancing forest law enforcement and governance, financing SFM, and coordinating forest policy across sectors.⁴ Activities informed the policy dialogue, strengthened partnerships, and built the capacity of forest and other institutions and stakeholders at the national, regional, and international levels.

Several PROFOR activities achieved tangible impacts, such as improved understanding and ability to monitor forest governance in several countries in transition economies in Eastern Europe and facilitate the policy dialogue; understanding the forest-poverty links through application of a toolkit; input to the second phase of China's payment for environmental services program, the largest in the world; influencing the design of a very large operation on forest management and use of indigenous species and the forest development strategy in China; advancing an evidence-based dialogue on climate change and large-scale dissemination of a World

Bank Group flagship report, *Turn Down the Heat III*; and reengagement in countries through a data-driven dialogue. PROFOR also supported the development and application of tools—for instance, the innovative use of mobile applications to better monitor activities in forests and agriculture.

PROFOR also contributed by strengthening the World Bank's collaboration with other development partners; members of the United Nations Forum on Forests (UNFF) and the Collaborative Partnership on Forests (CPF); the EU's programs on forest law enforcement, governance and trade; and a variety of initiatives related to REDD+. In the process of generating and sharing forest-related knowledge, PROFOR formed a flexible network with government organizations, international organizations, leading think tanks, and local nongovernmental organizations (NGOs).

While the agenda and partnerships of PROFOR continued to broaden over the years, PROFOR as a program and brand name will cease at the end of June 2020. PROGREEN,⁵ the newly created MDTF on forests

³ An activity is defined as support by PROFOR under activity-specific project number and funding.

⁴ These themes are the original themes from the beginning of PROFOR. In 2015, a theme on issues related to mitigation and adaption of climate change was added. No activities were coded under the climate change theme.

⁵ PROGREEN, the Global Partnership for Sustainable and Resilient Landscapes, is a World Bank MDTF that supports countries' efforts to improve livelihoods while tackling declining biodiversity, loss of forests, deteriorating land fertility, and increasing risks such as uncontrolled forest fires, which are exacerbated by a changing climate. Through an integrated landscape approach, PROGREEN helps countries meet their national and global Sustainable Development Goals and commitments, including poverty reduction, in a cost-effective manner.

and landscapes, will take over the agenda and build on PROFOR's many achievements and partnerships, likely with funding by the same donors. PROGREEN will guide much of the World Bank's future analytical work and investments, with PROFOR knowledge acting as the bridge to this future. Thus, it is timely to undertake a careful assessment of PROFOR's achievements and lessons learned in its 18 years of existence to contribute to PROGREEN's success.

Figure 1 shows the interconnected relationship relevance, engagement/uptake/influence, and partnerships have with one another, and how each characteristic is integral for maintaining the high value of PROFOR activities. Each contributes to the goal of PROFOR, which is to provide research and dissemination of this research in support of SFM. However, the relevance of this research does not exist in a vacuum; uptake also increases stakeholders' awareness and furthers relevance, while partners sharpen relevance through dialogue and engagement. Similarly, uptake of research and PROFOR partnerships impact each other, in that increased uptake can attract more partners through increased awareness, and more partners help disseminate the research generated.

A. OBJECTIVE

This closing report aims to (1) undertake a comprehensive assessment of a program that linked knowledge in support of SFM—generated through applied research—to policy formulation and implementation on the ground; (2) report back to the PROFOR donors on achievements and lessons learned; and (3) develop recommendations to guide the design and implementation of PROGREEN.

Audiences for the closing report are the following:

- Board members and staff of donor institutions supporting PROFOR and also PROGREEN
- World Bank Group task team leaders (TTLs) and task team members in forestry and forest-smart sectors directly or indirectly involved in PROFOR
- Forestry professionals, researchers, and other stakeholders: development practitioners (benefit from deeper understanding on how forestry contributes to development), trust fund community

B. FOCUS

This assessment focuses on three dimensions:

1. Relevance of knowledge (knowledge products, analytics, tools) developed through applied and adaptive research and disseminated as being useful to SFM

2. Degree of engagement, uptake, and influence of PROFOR activities by and on decision makers, practitioners, and other stakeholders
3. Partnerships and how they facilitated development of the research agenda and the uptake and influence of PROFOR activities

C. METHODOLOGY

Since PROFOR was designed without an appropriate monitoring and evaluation (M&E) framework, the assessment relies on a range of sources of information and data:

- a. Interviews administered through a semi-structured questionnaire with TTLs of PROFOR-funded activities (n=11), PROFOR program managers (n=6), PROFOR donors (n=4), clients (n=2), PROFOR Secretariat staff (n=4), and World Bank management (n=2). Information from the interviews were used in all aspects of the assessment. See bibliography.
- b. Data related to the portfolio of PROFOR-funded activities and disbursement (see tables 1 and 2) were another major source of information and used mainly to assess how priorities changed over time.
- c. The Project Activity Tracking System (PATS) reports from 2014 onward, and reported in the annual reports, were used to assess engagement, uptake, and influence in the later years.
- d. Analysis of the various documents and tools produced by PROFOR (see annexes A, B, and E) provided material substance, while the array of communications material (annual reports, compendium, blogs, videos, and so on) illustrated the approach to communication and outreach (see annex D).
- e. Selected results stories on the use and uptake of specific activities (see annex A), on longer engagements in certain countries through a number of PROFOR-funded activities (see annex E), and on the application of the communications and outreach approach (see annex D) were used to provide concrete evidence on all aspects of the assessment.
- f. Two evaluations of PROFOR provided insight into uptake and influence, as did deep dives into a smaller set of PROFOR-funded activities. The first evaluation was carried out in 2006 and the second one in 2017 under KNOWFOR, a knowledge partnership funded by DFID with three partners: PROFOR, the International Union for Conservation of Nature (IUCN), and the Center for International Forestry Research (CIFOR).
- g. The communications strategy and the approach to M&E (see annex B) summarized in two write-ups

provided input to understand the logic and ways to increase uptake and influence.

- h. The midterm review report of the 2002 Forest Strategy, the 2016 Forest Action Plan, and the draft midterm and final evaluation of the Forest Action Plan were also used in the assessment, as were legal documents, especially the legal agreements with donors.

The team undertaking the assessment consisted of World Bank staff and consultants with long engagement with PROFOR.

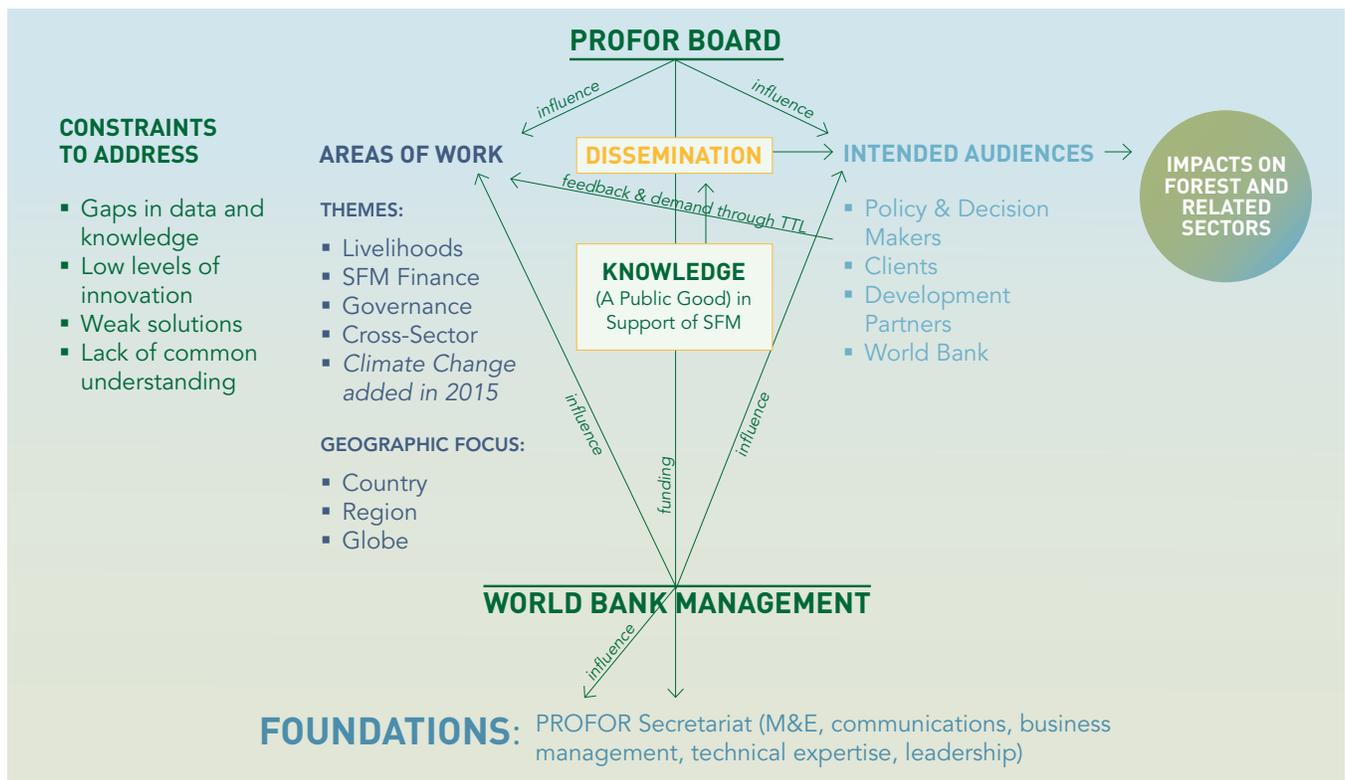
D. PROFOR PROGRAM THEORY OF CHANGE

Figure 2 illustrates, through a Theory of Change (ToC) approach,⁶ the key elements of PROFOR as a program in support of SFM that generated knowledge through applied research and dissemination of the knowledge to the intended audiences. The white boxes illustrate causality: Knowledge in support of SFM is generated through applied research and disseminated to the intended audience. Uptake, an intended result of

PROFOR activities, happens when practitioners and decision makers access and use knowledge that influences their capacity, thinking, or behavior. Uptake is the bridge between producing knowledge products as an output and seeing desired changes in policy, practice, and environmental and social outcomes. These outcomes will lead to the desired impacts—for example, improved role of forests in rural poverty alleviation, reduced deforestation, reduced negative impacts on forests from agricultural expansion and/or infrastructure activities (for example, roads) and mining, and increased protection of habitats and biodiversity.

During annual meetings, the PROFOR Board influenced the selection of areas of work (themes and geographic focus) and intended audiences. World Bank management influenced the size and composition of staff in the PROFOR Secretariat, which, along with the funding from donors, established the foundations of PROFOR. The relative strength of the arrows (funding and influence) varied over PROFOR’s lifetime (as described in the section on eras and discussed throughout the report).

FIGURE 2: PROFOR PROGRAM THEORY OF CHANGE



6 The ToC was produced by the team that drafted the closing report.





BACKGROUND

OVERVIEW AND ORIGINS

This report divides PROFOR's lifetime into three eras, each one characterized by distinct approaches to funding activities, communications, M&E, and engagement. Dividing PROFOR's lifetime into three distinct eras allows for an analysis of differences in relevance, uptake, influence, engagement, and partnerships over time. The first era is 2002–2007, ending with the drafting of the World Bank Forest Strategy midterm review. The second era covers 2008–2014, which culminated in the formal adoption of a Theory of Change and an M&E framework that allowed for better tracking of PROFOR's influence along with a new focus on collaboration across sectors through the forest-smart approach. The third era spans 2015–2020, which was characterized by a stronger focus on linking activities to World Bank operations.

THE FIRST ERA: PARTNERSHIPS AND OUTREACH BEYOND THE WORLD BANK

PROFOR provided \$9 million in support of 60 activities in its first five years at the World Bank (2002–2007) (see table 1). Thirty-two activities had a global focus and seven had a broad regional focus. Ten countries were funded across 21 activities. Financing SFM had the greater share of focus of the themes by activity, but governance received most of the funding, with 41 percent of the total funding.

The least common theme was cross-sectoral work, which accounted for 20 percent of the activities and 16 percent of the funding. The large share of governance funding was due to a few very large activities. Activities at the global and regional levels, as well as some country-level activities, were most often linked to governance.

Some notable activities funded during this period were the efforts to reform the forest sector in Eastern Europe

and the Russian Federation (see annex A, stories 5 and 11), the Europe and North Asia Forest Law Enforcement and Governance (ENA FLEG) work (see annex A, story 2), and the Poverty-Forest Linkages Toolkit. The ENA FLEG work led to the St. Petersburg Declaration, which was endorsed by 45 countries and supported by many NGOs and the private sector, as well as other high-level political commitments and partnerships between donors and development agencies.

The first era was characterized by a Secretariat with strong technical prowess, a larger share of global activities and funding, and a less systematic process for activity selection than in later years. PROFOR was more outward-looking and engaged with a range of partners more in the first era than in the next two eras. Much of the work funded during this time was jointly implemented with partners, and engagement at international forums was high.

According to several interviewees, PROFOR operated like a think tank in the first era, where several of the world's experts on forestry came together to discuss the most pressing issues. However, there was less interaction with World Bank operational staff, especially across regions, as evidenced by the larger share of global activities at this time (see table 1). Many PROFOR-funded activities in this period were not directly linked to World Bank operations (see lower rates of leveraging, table 1). M&E was also more fragmented in the first era and took place as a one-off annual exercise rather than as an ongoing process (see annex B).

The 2007 midterm review of the World Bank Forest Strategy was generally positive toward PROFOR. It praised PROFOR's relevance, innovation, and demand-driven approach. It also found that PROFOR had brought together players within the international dialogue on forestry through its analytical work, a role for PROFOR that had been outlined in the 2002 Forest Strategy, *Sustaining Forests*. However, the midterm review criticized PROFOR's lack of a programmatic approach. Other PROFOR stakeholders involved at the time echoed this and mentioned that there was no system in place to track the impact and use of activities. Furthermore, activities were often chosen in an ad hoc manner with no clear selection criteria applied.

“ The 2007 midterm review of the World Bank Forest Strategy praised PROFOR's relevance, innovation and demand-driven approach. ”

THE SECOND ERA: FOCUS ON WORLD BANK REGIONS AND COUNTRY OFFICES

The second era ran from 2008 through 2014 and during this period more activities were funded per year than in any other era: an average of 19 activities funded per year, across 30 countries and at global and regional levels. Regional-level activities peaked in the second era, accounting for 26 of the 132 activities funded during this time, or 20 percent. Global activities were a smaller share, around 43 percent of the total activities, as there was an increasing emphasis to link PROFOR activities to World Bank operations. In the second era, governance was the most common theme, with 33 percent of the activities and 30 percent of the funding. Cross-sectoral work was again the least funded theme.

Throughout the second era, the managers of the PROFOR Secretariat aimed to make the selection of activities more systematic. They allocated a certain amount to each region per year and put in place a clear process for activity selection. They also reconsidered activity reporting requirements, culminating in 2014 with a new standardized monitoring and reporting template for all activities, including a Theory of Change and indicators, and the hiring of a dedicated M&E specialist (see annex B). The World Bank was restructured in 2014, creating new incentives for cross-sectoral collaboration within the World Bank and thus shifting PROFOR to put more emphasis on cross-sectoral activities.

PROFOR continued to deepen some of its most innovative work during the second era, especially around governance and poverty. It also began to work with other sectors within the World Bank. For example, a study on the drivers of deforestation in the Congo Basin contributed to the formulation of the notion of “forest smart” through its approach of engaging multiple sectors to understand how their actions could mitigate deforestation (see annex A, story 9). PROFOR also deepened its work on governance during this era. The *Framework for Assessing and Monitoring Forest Governance*, produced with the FAO, was published in 2011.

According to the 2013 IEG report on the World Bank Forest Strategy, *Managing Forest Resources for Sustainable Development: An Evaluation of World Bank Group Experience*, PROFOR produced highly relevant

“ According to the 2013 evaluation of the Forest Strategy, PROFOR produced highly relevant knowledge products that were used throughout the World Bank. ”

knowledge products that were used throughout the World Bank. It stated that PROFOR knowledge has become conventional wisdom in the sector. This report laid the foundation for drafting the Forest Action Plan in 2016.

The communications approach in the second era focused on improving accessibility of the PROFOR website with the introduction of videos and blogs and targeted outreach for individual activities.

THE THIRD ERA: WORLD BANK AS THE CLIENT FOCUS

The third era of PROFOR began in 2015 and ended with the fund’s closure in 2020. This era was defined by a new Theory of Change and rigorous M&E approach as well as the inclusion of KNOWFOR aims and funding in PROFOR’s approach.⁷ PROFOR also focused increasingly

on meeting just-in-time demand from countries to spur investments to fill funding gaps in ongoing operations. Selection was done in a transparent and methodical manner and was more flexible than previous arrangements, which had allocated a given amount to each region. The PROFOR Secretariat scaled back in this era—to about half its size in the early years, according to several interviewees. A focus on developing forest-smart programs with other World Bank global practices in 2015

made cross-sectoral the most common theme among global- and country-level activities.

Most of the focus on partnerships was redirected to working with other departments or global practices in the World Bank, which coincided with a World Bank restructuring in mid-2014. These were often units with which PROFOR and other forestry-related work did not normally engage with, including Extractives, Governance, Energy, and Water. However, many involved in PROFOR during this time said that engaging with other units was often an uphill task but did result in innovative work that otherwise would not have been produced, notably the work on forest-smart mining (see annex A, story 7). PROFOR also worked on gender issues in forestry for the first time in 2016 (see annex A, story 8) and aimed to incorporate gender issues into more activities through its monitoring and reporting system.

In the third era, the invested average funding per year

7 KNOWFOR was a five-year, £38 million DFID-funded knowledge program that sought to provide policy makers and practitioners in developing countries and the international community with strategic knowledge, comparable evidence, reliable tools, and systematic analysis on forest landscape restoration.



Photo by Flore de Preneuf/PROFOR

was more than double that of the first era. This increase in funding can be partially explained by an increase in donor contributions in the later years (see table 3), specifically by DFID for the KNOWFOR evaluation, which amounted to approximately \$8 million. Cofunding increased in the third era as well,⁸ to a high of \$14.8 million.

The sum of \$8.7 million was spent on global activities in the third era of PROFOR, about 50 percent of the era's total funding. Global-level activities accounted for only 31 percent of the number of activities, so on average they were larger than the country-level activities. Although global activities accounted for about half of the total funding, the activities often consisted of country case studies, in contrast to global activities in the earlier years. In this way, global activities were still relevant to World Bank operations.

PROFOR funded activities in 34 countries in the third era, more countries than in either of the two other eras. Regional-level activities decreased substantially from 23 percent in the second era to 6 percent in the third. The third era funded cross-sectoral work across 33 percent of activities and 38 percent of funding. Only 16 percent of activities and 9 percent of the funding focused on financing SFM. Financing SFM decreased over the eras, to a low of 9 percent of the funding in the third era.

During the first era, PROFOR was rather active in the UNFF initiative, which focused on forest financing and may have accounted for the larger share of this theme in the first era. The increase in cross-sectoral focus can partially be explained by a focus on climate change, but several livelihoods activities also focused on the benefit-sharing aspects of REDD+.

PROFOR knowledge influenced the Forest Action Plan, which was approved in 2016. PROFOR's work on cross-sectoral issues, and its increasing work with other units of the World Bank, led to the development of the idea of "forest smart."⁹ An activity that is forest smart analyzes how other sectors can operate in a manner that does not harm forests. The Forest Action Plan had two pillars: the first on forest-smart activities, and the second on increasing knowledge in the forest sector. From 2017 to 2020, PROFOR was engaged in work outlined in the plan and provided funding for five country forest notes.

“ PROFOR knowledge influenced the 2016 Forest Action Plan, notably the development of the “forest-smart” approach. ”

8 “Cofunding” refers to the contribution from PROFOR partner organizations and World Bank Budget to PROFOR activity expenses.

9 “Forest smart” is a development approach that recognizes forests' significance for sustaining growth across many sectors, including agriculture, energy, infrastructure, and water. It transforms how sectors operate by identifying opportunities for mutual benefit and creating practical solutions that can be implemented at scale.

PROFOR FINANCIAL AND ACTIVITY TRENDS OVER THE THREE ERAS

TABLE 1: PROFOR FUNDING, 2002–2020				
Funding	Era 1	Era 2	Era 3	Total
Funding of activities – total (US\$)	\$9.2 million	\$20.3 million	\$17.3 million	\$46.8 million / 90%
Funding of activities – average annual (US\$)	\$1.5 million	\$2.9 million	\$3.5 million	
Funding per activity – average annual (US\$)	\$153,000	\$154,000	\$211,000	
Funding – Secretariat (US\$)				\$5.2 million / 10%
Cofunding total (US\$)	\$1.1 million	\$15.6 million	\$14.8 million	\$31.5 million
Cofunding – average annual (US\$)	\$0.2 million	\$2.2 million	\$3.0 million	
Cofunding – number of activities (and share of total number of activities)	8 (13%)	92 (70%)	46 (56%)	146 (54%)
Cofunding per cofunded activity (US\$)	\$140,000	\$174,000	\$332,000	
Activities				
Activities – total	60	131	82	273
Activities – average annual	10	19	16	
Activities by geography (share of number of activities / share of funding)				
Global	53% / 41%	43% / 38%	30% / 50%	41% / 43%
Regional	12% / 9%	20% / 22%	7% / 6%	14% / 13%
Country	35% / 49%	37% / 40%	61% / 44%	44% / 43%
Leveraging				
Total per era (US\$)	\$58.8 million	\$357.4 million	\$1.196 billion	\$1.612 billion
IDA + IBRD per era (US\$)	\$58.8 million	\$308 million	\$359 million	\$726.4 million
Total ratio (total leveraging / amount spent on PROFOR activities with leveraging)	25:1	91:1	905:1	216:1
IDA + IBRD ratio (IDA + IBRD leveraging / amount spent on PROFOR activities with leveraging)	25:1	79:1	272:1	96:1
Total activities with leveraging	2	14	8	24

TABLE 2: SHARE OF ACTIVITIES AND FUNDING BY THEME (SHARE OF NUMBER OF ACTIVITIES/SHARE OF FUNDING)

Theme	Era 1 ^a	Era 2 ^b	Era 3 ^c
Governance	25% / 41%	33% / 30%	24% / 24%
Livelihoods	24% / 17%	23% / 25%	27% / 29%
Financing SFM	31% / 26%	23% / 26%	16% / 9%
Cross-sectoral	20% / 16%	21% / 19%	33% / 38%

a. Out of 51 activities.

b. Out of 124 activities.

c. Out of 76 activities.

TABLE 3: DONOR FUNDING (US\$)

Donor	Era 1	Era 2	Era 3
United Kingdom	\$3,909,000	\$13,622,000	\$9,623,000
Switzerland	\$875,000	\$2,390,000	\$212,000
Finland	\$1,028,000	\$2,820,000	\$0
Japan	\$900,000	\$0	\$0
Germany	\$243,000	\$1,358,000	\$0
Netherlands	\$0	\$5,002,000	\$1,805,000
Italy	\$0	\$648,000	\$0
European Union	\$0	\$6,315,000	\$262,000

Note: Dollar amounts have been rounded to the nearest \$1,000.

PROFOR disbursed approximately \$46.8 million for activities, leaving \$5.2 million for administrative costs. This means roughly 90 percent of the total \$52 million fund financed PROFOR activities.



RELEVANCE

This report defines PROFOR to be relevant when its knowledge development and dissemination was useful to SFM. PROFOR created knowledge in support of SFM through applied research.

KEY TAKEAWAYS

- PROFOR was relevant throughout its existence.
- PROFOR was innovative and agile, responding quickly to demands for knowledge.
- PROFOR's thematic areas were robust and relevant, standing the test of time.
- PROFOR's Secretariat provided valuable input to activity proposals and communications support.

PROFOR was relevant to different audiences over its lifetime. In the first era (2002–2007), PROFOR was relatively integrated in the international forestry dialogue, which included numerous organizations outside of the World Bank (see the chapter on partnerships). PROFOR's activities in the first era were implemented by some of these organizations and were designed to fill gaps in forestry knowledge needed by the international forestry community (see, for example, the ENA FLEG and civil society toolkit results stories in annex A, stories 2 and 12). These types of activities were the most common in the first era, but there were global activities (see, for example, the LSMS forestry tool results story in annex A, story 6) and regional activities (see, for example, the Central America NDC results story in annex A, story 10) in each era. During the second era, but especially in the third era, PROFOR began to place more importance on filling knowledge gaps tied to World Bank operations.

Some global activities have shown to be relevant over time, used for many years after they were completed. Other activities have progressed in a sequence, building on previous work. A good example of both is PROFOR's work on forest governance, which began in the first era and included several convenings and the development of a forest governance diagnostic tool to aid countries in quantifying the quality of forest governance in their

“ Many interviewees stated that PROFOR remained relevant throughout its lifetime. ”

country (see, for example, the Russia forest governance results story, annex A, story 5). This work continued throughout PROFOR's existence, culminating more recently in case studies in several countries that have deployed the forest governance tool to inform an ongoing or planned operation (Rosenbaum, Khan, and Kishor 2017).

The PROFOR brand became well-known over its lifetime. Overall, PROFOR was considered credible and had a good reputation among those who knew it.

WHY WAS PROFOR RELEVANT?

Many interviewees stated that PROFOR remained relevant throughout its lifetime. They named several factors behind the high relevance of PROFOR activities over the years, listed below.

PROFOR'S BROAD THEMATIC AREAS REMAINED TIMELY AND USEFUL

PROFOR's thematic areas remained the same over 18 years because they were broad enough to capture changing priorities and trends. The majority of interviewees stated that all themes were relevant, and each theme was funded consistently throughout PROFOR's lifetime. This is reflected in the activities funded. In each era, no particular theme had more than a 33 percent share of activities or less than a 16 percent share of activities; small changes in the share of activities and funding to each theme show shifting priorities across the three eras (see table 2).

PROFOR added climate change as a theme in 2016. While some PROFOR activities did incorporate climate change, it never became a central focus of PROFOR, and no PROFOR activity named climate change as its primary theme. Most interviewees expressed appreciation for PROFOR's sustained focus on forest topics such as governance and poverty given that other trust funds were established to focus on forests and climate

change,¹⁰ and PROFOR did not have a comparative advantage on climate change.

PROFOR REACHED OUT AND ENGAGED WITH POTENTIAL USERS OF THE KNOWLEDGE PRODUCTS

PROFOR had a two-pronged communications approach (see annex D), which included targeted engagement with decision makers and general awareness raising among development practitioners and broader audiences (see, for example, the ENA FLEG, *Turn Down the Heat*, and forest-smart mining results stories in annex A, stories 2, 14, and 7).

In the first era, with a larger Secretariat and greater focus on the international forest dialogue, PROFOR had more capacity for outreach and worked with many external partners. Engagement with partners sharpened the relevance of PROFOR activities in the first era. During this time, the PROFOR brand was established along with a publication series, website, and newsletter. The communications strategy in the second era

focused on further developing the brand identity, disseminating knowledge, and building partnerships. The website was redesigned in this era to include multimedia content such as videos and blogs and to improve the dissemination of knowledge. Efforts to improve dissemination and tracking of activities

improved by the third era with the adoption of the M&E framework in 2014. Other improvements in monitoring and evaluation of PROFOR activities were driven by PROFOR donors and aided by external evaluators—for example, through the KNOWFOR program.

The **M&E system** proved to be an effective tool for informing the design of PROFOR activities and tracking and documenting PROFOR's impact. Clear and early articulation of a ToC, uptake pathways, and target audiences ensured that the engagement and know-how PROFOR generated was taken up and used. Since the adoption of the new M&E system, PROFOR activities have yielded an increase in knowledge products and engagement processes and a stronger focus on gender.

Communication efforts evolved over the years in keeping with PROFOR's changing priorities and the evolution

of communication tools (see annex D). PROFOR's operations-focused approach in the third era targeted some outreach and communication to other units and regions within the World Bank while also growing external audiences through investment in social media and the redesigned website. In 2002, the website logged 542 monthly visitors; by 2013, the number of monthly visitors had grown to 3,330, and by the end of 2019 it had reached 5,833.

In the third era, PROFOR activities leveraged almost \$1.2 billion,¹¹ more than in any other era (see table 1). This increase over time likely was due to an increased focus on linking PROFOR activities to World Bank operations, although there were a few large operations in the third era that accounted for this rise in leveraging. Overall, PROFOR leveraged a total of \$1.6 billion, with a ratio of 216:1—that is, each PROFOR dollar (spent on activities that led to leveraging) leveraged \$216.

Since the adoption of the new M&E system, PROFOR activities have yielded an increase in knowledge products and engagement processes and a stronger focus on gender.

While many PROFOR activities were used in the preparation of World Bank operations, some interviewees expressed a wish that country work had been shared more systematically across regions. Several TTLs and managers believed that incorporating a dissemination plan in activity proposals would have improved dissemination

and relevance of activities. From 2015 onward, this practice was implemented and all activity proposals were required to indicate audience, engagement, and dissemination plans, which contributed to strengthened dissemination.

PROFOR WAS AGILE AND ABLE TO RESPOND QUICKLY TO REQUESTS FOR SUPPORT

The decision process for the allocation of funds rested with the program manager and allowed “just in time” disbursement of funds. This was a unique and underrated value of PROFOR, according to many interviewees. Many TTLs were especially appreciative of this attribute. Several TTLs stated that quick access to PROFOR funds allowed them to pursue knowledge work that was necessary to be responsive to client demands and support operations in a relevant and timely manner.

10 Other trust funds, including the Forest Carbon Partnership Fund (FCPF) and the Forest Investment Program (FIP) under the Climate Investment Funds (CIF), were established to focus on forestry and climate change at the World Bank. The FCPF and FIP began operating in 2008 and 2009, respectively, and were developed with the goal of decreasing deforestation to reduce greenhouse gas emissions.

11 The PROFOR leveraging narrative defines leveraging as “the influence that the PROFOR-funded activity has had on any projects or programs where it has been used, either in the design or implementation phases.”

PROFOR was not only quick to disburse funds; it was also relatively flexible. One TTL in particular was grateful that PROFOR was willing to fund work in Tunisia on desert oases (see annex A, story 4), which may not have been considered forestry work under a more rigid definition. PROFOR's cross-sectoral work expanded the understanding of the importance of forests in other sectors, which may have previously considered forestry to be beyond their purview. For example, in the Congo Basin timber work (see annex A, story 9), ministers from the environment, agriculture, transport, and planning ministries were convened to help formulate comprehensive solutions to mitigate deforestation at the landscape level. In PROFOR's forest-smart mining work, a "Good Practice Note" was developed on extractive industries in forest landscapes to support the new Environmental and Social Framework (see annex A, story 7).

PROFOR USED EXPERTS IN THE SECRETARIAT TO IMPROVE ACTIVITY PROPOSALS

In the first era of PROFOR, the Secretariat had substantial control over the selection and design of PROFOR activities. In the second and third eras, a structured process for the submission and selection of activities was

put in place. Slightly different methods were used across the years to ensure inclusivity, diversity, and impartiality, including a regional allocation, and later, a notification to the regions and other units when they could submit proposals, according to previous PROFOR managers.

The Secretariat was a valuable source of expertise on forest issues and actively worked with TTLs and others on improving their proposals (see, for example, the Mexico benefit-sharing work in annex A, story 3). Many TTLs appreciated the feedback they received from PROFOR staff and believed that this feedback improved the quality and relevance of their proposals. Feedback from the Secretariat also helped ensure that activities filled a defined knowledge gap, followed a communications plan, and had realistic expectations on the activity completion timeline.

PROFOR RESPONDED TO CLIENT, COUNTRY MANAGEMENT UNIT, AND REGIONAL DEMANDS

The interviewees considered all the regions and countries where PROFOR worked to be relevant. Some PROFOR donors preferred the funds be used across many countries, rather than focusing on a few heavily forested countries, as evidenced by the 54 countries



where PROFOR worked. Nevertheless, PROFOR did fund activities in large forested countries when needed (see, for example, Brazil and Indonesia in annex E, country summaries 1 and 3).

PROFOR was able to respond to needs from the regions, including from users and the Country Management Units (CMUs). However, some interviewees stated that not all regions knew about PROFOR, and many CMUs were unaware of PROFOR's mandate. This often was due to the small scale of PROFOR activities, compared with other forest funds such as the FCPF and FIP.

Indonesia and China are good examples of how PROFOR built a country dialogue over many years. PROFOR work in Indonesia began in 2005, with support provided primarily to spur dialogue between civil society, government, and indigenous peoples. Those involved with PROFOR in Indonesia said that those years of dialogue built trust between stakeholders. This trust was essential in the PROFOR activities that followed in later years, for example, financing mechanisms and benefit-sharing schemes related to REDD+. (For more information on Indonesia, see annex E, country summary 3.)

In China, PROFOR supported forest sector policy dialogue from 2008 until 2019. New analysis and information on forest tenure systems, tenure reform processes, and decentralized forest management arrangements advanced the dialogue. China also requested insight into the relevant lessons learned from global experience with payments for environmental services and requested capacity-building support to develop timber supply models to forecast China's timber supply and trends and, importantly, analysis of the influence of China's timber production on world timber supply. PROFOR also supported dialogue processes on certification, illegal wildlife trade, governance reforms in international perspectives, and stakeholder mapping to promote legal timber trade between Russia and China. Most recently, PROFOR analysis had profound influence on a large-scale forest operation aiming at more resilient forest landscapes. (For more information on China, see annex E, country summary 2.)

PROFOR DARED TO INNOVATE, PRODUCING NEW TOOLS AND INSIGHTS

PROFOR produced knowledge and tools that were innovative. PROFOR was able to take risks in funding

topics, regions, or activities that World Bank operations or other external partners would be unlikely to fund. PROFOR was enabled to fund these activities by generally supportive and encouraging donors, who gave the Secretariat substantial discretion in their funding decisions. The donors were also a source of feedback and brainstorming on new ideas.

The global activities funded in the first era of PROFOR were a valuable contribution to the international forestry community, but some were not widely used within the World Bank. TTLs and managers indicated that several of these external-facing global-scale activities were not designed for incorporation into World Bank operations, which changed in the second and especially the third eras.

In the third era, many PROFOR activities were fine-tuned to a particular issue, which led to cutting-edge knowledge work in several areas, such as forest-smart mining (see annex A, story 7). This body of work filled important gaps in knowledge and was an important source of information for clients.

PROFOR HELPED THE WORLD BANK IMPLEMENT ITS FOREST STRATEGY AND FOREST ACTION PLAN

PROFOR came to the World Bank in 2002 as the World Bank's Forest Strategy was being finalized. The forest team at the World Bank saw an important role for PROFOR in the implementation of the strategy, specifically to help facilitate engagement with external partners on SFM. PROFOR was also seen as the source of forest knowledge within the World Bank, which would help guide World Bank operations and provide the necessary knowledge for successful activity implementation.

The Forest Action Plan provided an updated plan for implementing the Forest Strategy and was approved in 2016. It remains the action plan guiding World Bank forestry operations through 2020. PROFOR influenced the plan most clearly through the notion of "forest smart," which was coined by PROFOR and used in the plan to explain how other sectors affect the health and sustainability of forests, or in other words, how to mainstream forestry in other sectors.





UPTAKE, ENGAGEMENT, AND INFLUENCE

WHAT ARE UPTAKE, ENGAGEMENT, AND INFLUENCE?

Uptake,¹² an intended result of PROFOR activities, happens when practitioners and decision makers access and use knowledge that changes their capacity, thinking, or behavior. In other words, uptake happens when information has influence. Under PROFOR's Theory of Change (see annex B, figure B.1), uptake is the bridge between producing knowledge products as an output and seeing desired changes in policy, practice, and environmental and social outcomes.

Uptake is often tied to engagement. In this report, engagement refers to establishing an active relationship with potential users of knowledge. Sometimes engagement helps promote uptake. For example, having good relations with a decision maker can increase trust in the value of the knowledge product. Sometimes uptake helps promote engagement, as in Myanmar, where an influential PROFOR activity led to further World Bank involvement in the forest sector (see annex E, country summary 5).

The ENA FLEG results story (see annex A, story 2) offers an example of engagement, uptake, and influence. PROFOR undertook a structured engagement process with governments, NGOs, and the private sector to promote participation. As a result, these stakeholders bought into the ENA FLEG process, leading to uptake and influence. The process culminated with ministers from 44 countries and the European Commission endorsing the St. Petersburg Declaration, and the European Union committing to support a multiyear action program in seven European and Central Asian countries.

“From 2015-2019, PROFOR influenced 250 World Bank operations and 36 national policies.”

KEY TAKEAWAYS

- PROFOR usually had effective engagement, targeting different audiences according to its priorities in each era.
- PROFOR activities had overall good uptake on varied scales, from narrow to broad, in all three eras.
- PROFOR likely had substantial influence in all eras. Influence was easiest to demonstrate in the third era, when the adoption of the Theory of Change and implementation of PATS occurred.
- PROFOR leveraged about \$1.6 billion of World Bank lending.
- The keys to good uptake included building uptake into activity design and providing enough time and financial resources to the TTL to carry out dissemination.
- PROFOR's investment in communications contributed to dissemination and uptake.
- TTLs said that greater investment in long-tail dissemination and knowledge management would have helped with further uptake of PROFOR products.
- From 2015 to 2019, PROFOR influenced 250 World Bank operations and 36 national policies.

UPTAKE UNDER PROFOR

PROFOR activities aimed for varied levels of uptake (see annex D).

Dissemination often targeted an intended set of decision makers. This was especially true of activities responding to a specific demand for knowledge. For example, in the Russia forest governance activity (see annex A, story

12 See glossary for definitions of “uptake,” “engagement,” and “influence.”

5), the specific demand was for information on how to improve the country's forest governance. The intended users of the information were the national government and other forest stakeholders. Other examples of activities designed for targeted uptake include the Tunisia oasis activity (see annex A, story 4) and the Mexico benefit-sharing work (see annex A, story 3).

PROFOR also sought general uptake of its knowledge products. Activities with a global focus, such as the civil society toolkit (see annex A, story 12), the catalyzing gender activity (see annex A, story 8), the governance framework and assessment work in partnership with the FAO, and the online course on governance assessment that followed, all sought general uptake. Some of these activities were begun in response to a local demand but hoped to serve a larger audience. Some simply addressed a general knowledge gap identified by donors, the Secretariat, or TTLs.

With some activities, uptake spilled over in unanticipated ways. For example, the India watersheds work (see annex A, story 1) began as an activity to provide knowledge useful to India but ended up also influencing actions in other countries. Donors reported being inspired by PROFOR knowledge products and using them to shape thinking and set the agenda within their own institutions. According to one donor representative, PROFOR operated like a think tank mandated to mainstream the best available knowledge. The representative stated that people working on forests in developing countries couldn't ignore such work. Further, the representative admired how the PROFOR team took the pulse of the sector and creatively identified new topics.

One quantitative measure of uptake within the World Bank was leveraging. PROFOR counted as leveraged all World Bank investments influenced by knowledge from PROFOR-funded work. Leveraging increased through PROFOR's three eras, from about \$60 million in the first era, to almost \$360 million in the second era, and almost \$1.2 billion in the third era (see table 1).

PROFOR's Project Activity Tracking System, instituted in the third era, generated another quantitative measure. As shown in table 4, from 2015 to 2019 PROFOR influenced 250 World Bank operations and 36 national policies or strategic programs.

WHAT LED TO GOOD UPTAKE?

PROFOR has had activities with good uptake and activities with poor uptake. The following factors led to good uptake.

- **High relevance and strong existing demand for the knowledge.** The Mexico benefit-sharing activity (see annex A, story 3), for example, responded to a direct request from the government agency tasked with forest management.
- **Client and stakeholder involvement in activity design and implementation.** In the Philippines valuing ecosystem services activity (see annex A, story 13), although the idea for the work came from the World Bank, the forest agency's staff had input into the activity's design and were the primary implementers of the work. Having the staff implement the activity enhanced the capacity of the staff and was part of the uptake strategy.

BOX 1: PROFOR TOOLS

Over its lifetime, PROFOR supported the production of several tools and toolkits, such as the forest-poverty toolkit, forest governance assessment tool, the LSMS forestry module, SWIFT, and (most recently) the FTAT (Forest Tenure Assessment Tool). The use of a tool depends on many factors, and the likelihood of its use goes up if the following occur:

- It is easy to use and comes with expert support (that is, by the developers of the tool or those who are well versed through prior applications).
- It is inexpensive for the user, both in time and money.
- Its contributions and limitations are easily understood by all relevant stakeholders.

- It is flexible and can be customized rapidly to the context in which it will be applied.
- Its findings can be shared quickly in an easy-to-understand format.
- It can inform and shape World Bank Group operations.
- It is replicable and can be applied repeatedly (particularly over time) so that the results can be used for monitoring.

Few PROFOR tools were designed with explicit consideration of the above factors and their popularity and uptake has been variable. PROGREEN should consider using the above criteria for assessing each PROFOR tool and in producing new tools.

TABLE 4: PROJECT ACTIVITY TRACKING SYSTEM DATA, 2015–2019 NOTE: N/A = NOT AVAILABLE

	2015	2016	2017	2018	2019
Activities assessed	55	37	52	49	44
Knowledge products (% with gender-specific data)	117 (n/a)	121 (15%)	144 (20%)	164 (28%)	175 (32%)
Engagement processes	95	133	252	199	136
* Direct participants (% women)	*11,138 (n/a)	*3,581 (24%)	*3,526 (29%)	*5,083 (32%)	*5,521 (34%)
World Bank Group operations influenced	30	26	89	61	44
National policy reforms or strategic programs influenced	2	4	2	9	19
% activities exceeding expectations for knowledge uptake	71%	58%	53%	81%	61%

- Enthusiasm and commitment from the TTL and, for country-specific activities, the CMU.** One PROFOR program manager noted that “entrepreneurial” TTLs—ones who put extra effort and thought into dissemination—had better uptake of their work. For example, in the Congo Basin timber activity (see annex A, story 9), the TTL actively disseminated the results to the ministries of environment, agriculture, transport, and planning.
- Adequate funds in the activity budget for dissemination.** The best uptake happened when the activity budget supported appropriate forms of dissemination. That meant a variety of outputs (briefs, reports, videos, and so on) disseminated in a variety of ways (workshops, trainings,¹³ briefings, and social media,¹⁴ for example). Dissemination in local languages promoted local uptake. Presentations at international conferences promoted global uptake. PROFOR’s use of the Theory of Change in designing activities led it to acknowledge uptake as essential to good outcomes. This led to better budgets for dissemination. In some cases, where the initial dissemination budget was low, PROFOR showed flexibility in granting additional funds for dissemination.¹⁵ Monitoring and evaluation of project

outcomes, formalized in PROFOR’s later years, also showed the value of adequately funding dissemination.

- Funding follow-up activities.** As an example, after developing its forest governance assessment tool, PROFOR supported application of the tool in Guatemala, the Lao People’s Democratic Republic, Mozambique, Russia, Uganda, and several other countries. In PROFOR’s later years, where PROFOR paid more attention to influencing World Bank operations and tracking that influence, the uptake of PROFOR-funded analytical work in World Bank investments increased. For example, PROFOR-funded governance activities in Mozambique and Guatemala directly shaped World Bank investments.
- New and ongoing country engagement.** Sometimes repeated engagement in a country led to good uptake even if PROFOR did not design its activities to build on one another. In China, for example, PROFOR supported work on land tenure reform and payments for environmental services (PES) (see annex E, country summary 5). Knowledge generated from the work provided input to an IBRD forestry Program-for-Results operation of \$500 million in the Yangtze region in 2019. This knowledge also influenced the country’s

¹³ The *Turn Down the Heat* results story (see annex 1, story 14) illustrates the use of training for dissemination.

¹⁴ The forest-smart mining results story (see annex A, story 7) offers an example of the use of social media. An online video presenting study results had over 41,000 views. The Twitter hashtag #ForestSmartMining reached over 3.9 million users.

¹⁵ See, for example, the Philippines valuing ecosystem services activity (see annex A, story 13), where PROFOR issued additional funds to produce guidance and training manuals.

forestry development strategy, including the 14th five-year plan for development and long-term forestry management planning. In many instances, PROFOR opened doors for engagement in countries that had not had World Bank operations before or not for a long time. An example is Myanmar, where the World Bank had not been engaged for 30-plus years. Two PROFOR-funded activities (see annex E, story 5), the Country Environmental Assessment and the country forest note, opened up a data-driven dialogue that resulted in several operations. Another example is the Forest Law and Governance Ministerial Process for Europe and North Asia (ENA FLEG) that was supported by PROFOR (see annex A, story 2). It sought to address failures in forest governance and started in Russia, where several operations followed, and also in other countries in the region (that is, Belarus, Georgia, and Moldova).

- **Long-tail, ongoing dissemination by the PROFOR Secretariat or TTLs.** Efforts to improve PROFOR's webpages and use social media increased visits to those pages and downloads of PROFOR publications (see annex D). As documented in one of KNOWFOR's "deep dives," online classes based on PROFOR publications increased uptake of PROFOR's governance assessment tools. In the India watershed activity (see annex A, story 1), the TTL spread the lessons learned to other countries when the TTL moved to new assignments.
- **Champions of change.** These are people outside of PROFOR and the World Bank who led actions using the knowledge from PROFOR outputs. Sometimes the keenest supporters of an activity move on, weakening the activity's impact. The leaders of the Albania PES activity (see annex A, story 11) remarked on a change in government as one factor in the activity's limited uptake. The transfer of a high-ranking supporter in the forest agency was a key reason limiting the Russia transforming forest governance activity's influence.
- **Capacity to act.** Good uptake often followed increases in capacity. Sometimes the increased capacity was financial, through linking to follow-up activities, described above. Sometimes, though, it was human capacity. The Philippines valuing ecosystem services activity included training for staff in the forest agency. They became trainers and spread new skills to others.
- **Tapping partnerships.** Partners offered PROFOR access to broader audiences within the partners' organizations and networks. For example, PROFOR and the FAO jointly sponsored the work that led to the publication of the forest governance framework and the guide to good practice in governance assessment,

making the two documents widely applied by both organizations. PROFOR worked with the FAO, CIFOR, and others to create guidance on conducting Living Standards Measurement Surveys in the forest sector (see annex A, story 6). With access to the networks of the partners for dissemination, the guidance gained wider use than if any one partner had produced it alone.

- **Outreach within the World Bank.** PROFOR's status as a World Bank trust fund gave it access to World Bank staff and opportunities to influence World Bank operations. Interviewees noted that an early influence of PROFOR was to get the World Bank to recognize that sustainably managed production forests could play a role in climate change mitigation. The program managers noted that in the middle era PROFOR increased its influence on World Bank work by reaching out to regional offices. In later years, PROFOR influenced the World Bank's Forest Action Plan, which calls for World Bank actions in other sectors to be "forest smart," that is, to consider impacts on forests.

WHAT HINDERED UPTAKE?

The factors that inhibited uptake were largely the converse of the factors that promoted uptake.

- **Limited client or stakeholder involvement.** When activities went ahead without key stakeholder participation and ownership, outcomes could be limited. One example is the Albania PES activity, where finance ministry opposition to the creation of PES funds hobbled application of the work. As another example, an interviewee pointed to a benefit-sharing activity in Brazil, undertaken at the request of a donor, for an activity that had no ownership by the World Bank's Country Management Unit and so had little influence upon it.
- **Limited reach.** One interviewee gave an example where the outputs from a particular PROFOR activity in the Europe and Central Asia region were well done, but many foresters in the country were unaware of them. The main reason was poor dissemination. Another was reputation; decision makers in the country were unfamiliar with PROFOR and did not look to the World Bank as a source of new knowledge.
- **External target audience resistance.** Influence is about fostering change, and the forces that resist change also resisted uptake and application of PROFOR's knowledge products. These included hidden agendas of people in power, ambivalence or outright resistance to change among stakeholders, and lack of capacity to apply the new knowledge. As an example, one interviewee said that illegal logging

interests in two countries in the Europe and Central Asia region influenced political decisions to stop forest governance reforms that PROFOR work supported.

- **World Bank audience resistance.** PROFOR faced obstacles in gaining uptake within the World Bank.
 - In its early years, PROFOR was focused on knowledge generation for the international forestry community and did not target World Bank operations. Thus, PROFOR was little known by World Bank regional and country managers and World Bank staff.
 - In later years, when PROFOR focused more on funding knowledge generation that could also be used by the World Bank, it had more staff attention, but the structure and culture of the World Bank continued to limit its uptake. The World Bank's structure unintentionally created knowledge silos: Knowledge gained locally tended to remain local. Its culture gave TTLs little time or incentive to spread knowledge since the task ended with the delivery of the study. Some uptake happened despite these obstacles. Knowledge moved across the World Bank with staff as they moved. Lunchtime seminars and webinars spread it a little further. On the whole, though, staff remained insular.
 - Although PROFOR attempted to make knowledge available to all (for example, in the Forest Sourcebook and on the PROFOR website), it never really found a good system for achieving uptake throughout the World Bank.
- **Lack of long-tail dissemination and knowledge management.** In interviews, program managers, TTLs, and others often mentioned the lack of long-tail dissemination and an organized program of knowledge management as obstacles to uptake. For the typical activity, once the funding was spent and the completion date passed, the TTL did little to promote uptake. The Secretariat consistently had one communications staffer, and interviewees considered this essential to boosting uptake, but not sufficient. In its first era, PROFOR put more effort into visibility at international conferences and among partner organizations. People cited these as helping uptake. In the second and third eras, as PROFOR focused more on visibility within the World Bank, its international profile shrank, and its outside uptake probably suffered. In recent years, PROFOR has given more attention to its web and social media presence. Data on page visits and downloads show that this has helped with uptake. Still, many PROFOR knowledge products, such as the Poverty-Forest Linkages Toolkit and the Forest Sourcebook, get less use than they merit.

- **External factors.** Occasionally, factors that PROFOR could not anticipate or control hampered uptake. Sometimes they were political or administrative shifts, as happened during the Russia forest governance activity, when a key champion of the work moved to a new position; in the Albania PES activity, where the government changed; and in the Mexico benefit-sharing activity, where uptake slowed because of a reshuffle in the forest agency. Sometimes economic shifts contributed, as with the bankruptcy of a dam operator in the Albania case.



Photo by Gerardo Segura Warnholtz/ World Bank



PARTNERSHIPS

PROFOR's collaboration with external partners largely fell into three categories:

- **Consultancy contracts.** Partners were contracted by PROFOR to deliver analytical work or tools. The contracts usually stipulated milestones, with conditions and timelines for disbursement of funds. PROFOR had contracts with many kinds of partners over the years. For example, the forest-smart mining activity (see annex A, story 7) entailed partnerships with the NGO Flora and Fauna International and the private consultancies Levin Sources and Swedish Geological AB.
- **Transfers-out.** PROFOR issued up-front payments to partners, with the understanding that the recipient would use the monies on agreed-on activities. PROFOR retained less control over the activity than under the consultancy contracts. Such partners included NGOs like the World Wide Fund for Nature (WWF) (for example, the forest landscapes mosaics activity) and international research and development bodies like CIFOR (multiple projects). As explained below, PROFOR only used transfers-out during the first era.
- **Equal partnerships.** There were instances where PROFOR and a partner worked together, without any financial exchange, where a partner took on primary roles in producing and disseminating information or served as adviser. One example of a successful equal partnership was the Living Standards Measurement Survey work done with CIFOR and the FAO (see annex A, story 6). The FAO published the resulting guide on conducting national socioeconomic surveys in the forest sector, and the World Bank has applied the techniques in several places, including Liberia. PROFOR and the FAO also partnered in producing the forest governance framework guide and the forest governance assessment guide, bringing in additional partners for each from the development community

Working with partners helped PROFOR tap knowledge and networks relevant for advancing SFM.

and civil society. The ENA FLEG activity (see annex A, story 2) involved the Russian government, DFID, the Forest Dialogue, and others as partners.

In addition to international development entities, NGOs, and private consultancies, PROFOR partnered with educational organizations—such as the University of Florida, the University of the West Indies, and the Centro Agronómico Tropical de Investigación y Enseñanza (CATIE)—as well as private sector interests, like the World Cocoa Foundation.

KEY TAKEAWAYS

- Following a clear, consistent strategy with regard to partnerships could have helped PROFOR get more from partnerships, especially in the second and third eras.
- Working with partners helped PROFOR tap knowledge and networks relevant for advancing SFM.
- Differences in agendas, cultures, and interests sometimes made partnerships challenging.

PROFOR'S APPROACH TO PARTNERSHIPS EVOLVED

Over time, PROFOR shifted its approach to partnerships. During its first era, PROFOR worked with outside partners often, including providing them with direct financing. The World Bank's 2002 Forest Strategy expected PROFOR to strengthen the World Bank's partnerships in the international sector, particularly with the FAO. The strategy also contemplated ongoing work with development partners such as CIFOR, the World Agroforestry Centre (ICRAF), the European Forest Institute, and the International Tropical Timber Organization (ITTO), and NGOs such as the WWF, World Resources Institute (WRI), and International Institute for Environment and Development (IIED). As several interviewees noted, PROFOR reached out more to NGOs in its first era.

In the second era, PROFOR's focus shifted toward influencing World Bank investments and away from

external partnerships. Some partners viewed this as a loss because partnership with PROFOR gave outsiders connections and insights into thinking at the World Bank and vice versa. As one interviewee described it, PROFOR during the first era served as a “membrane” between the World Bank and the outside community.

To assure better financial control, PROFOR stopped using transfers-out. Transfers-out relied on partners to oversee spending and correct problems with project management, and this sometimes led to problems. One program manager recalled a first-era case where the partner didn’t control spending, funds ran out, and a major part of the planned activity was canceled.

PROFOR’s focus on influencing World Bank operations continued in the third era. However, the nearly \$50 million DFID-funded KNOWFOR program titled “Improving the way knowledge on forests is understood and used internationally” emphasized collaboration with the other two KNOWFOR-supported institutions, CIFOR and IUCN.

Aside from a few long-term partnerships with organizations such as the FAO and the Forest Dialogue, PROFOR funded individual activities with partners and did not have an overarching partnership strategy. Partnerships largely grew out of needs of the moment and were ad hoc.

BENEFITS OF PARTNERSHIPS

Partnerships provided several benefits to PROFOR:

- **Innovative and alternate perspectives that contributed to PROFOR’s relevance.** As the Indonesia country summary describes it, partners like WWF Indonesia and CIFOR helped make PROFOR’s work more relevant to Indonesia’s challenges (see annex E, summary 3).
- **Enhanced credibility.** The participation of an NGO such as WWF, Forest Trends, or Flora and Fauna International generally brought work more credibility in the NGO community. The participation of a government, as with Russia’s contribution to the ENA FLEG activity, generally increased credibility among other governments.
- **Expertise on key topics.** For example, the private consultancies in the forest-smart mining activity specialized in mining issues, outside of PROFOR’s usual ambit.
- **Access to broader networks and audiences for dissemination.** The Central America Nationally Determined Contribution (NDC) activity brought PROFOR together with the FAO, the NDC Partnership, the Central American Commission for Environmental and Development, and others (see annex A, story 10). Dissemination through these organizations’ varied platforms increased access to the resulting knowledge.

BOX 2: COLLABORATIONS WITHIN THE WORLD BANK

PROFOR was housed within the Agriculture or Environment unit, depending on which one held responsibility for forests as the organization of the World Bank changed. Nevertheless, forest issues link with issues in many of the World Bank’s global practices (GPs). For example, the Energy GP is aware that forests produce fuel, can be degraded by energy development, and can protect energy sources (for example, forests can prevent erosion into hydropower reservoirs). The Governance GP is interested in aspects of governance that affect forests, including public expenditure control, revenue collection, efficiency of the forest agencies, and control of corruption. The Poverty GP is interested in forests as safety nets and potential platforms for economic development for rural communities. The Transport GP knows that roads both allow rural communities to reach markets and open their forests to degradation. The “forest smart” theme that PROFOR advanced and that became part of the Forest Action Plan was a recognition of these kinds of links. PROFOR sought partnerships with GPs inside the World Bank to tap expertise and shed light on these connections.

Much as with partnerships outside the World Bank, when dealing with other GPs, the results varied. Sometimes things fell into place, with PROFOR and the GP having common visions, interests, and expectations. Sometimes, whether because of differences in initial perspective, analytic approach, incentives, or personalities, PROFOR and the GP never arrived at a common vision of the task, and the results were disappointing. Interviewees were able to give examples of both outcomes.

Success with a GP on one activity did not guarantee success on the next activity. One interviewee noted that the right TTL in the partnering GP could make all the difference; if the TTL’s agenda aligned with PROFOR’s, the TTL would carry out the activity with little need for oversight. If the activity was outside the TTL’s “comfort zone,” the PROFOR manager would have to keep a close eye on the work.



Photo by Gerardo Segura Warnholtz/ World Bank

CHALLENGES OF PARTNERSHIPS

Partnerships also presented challenges:

- Mismatched agendas, cultures, timelines, or ways of working hindered collaboration. Interviewees mentioned problems like partners publishing results without PROFOR concurrence, disregarding PROFOR inputs into work, or expecting to use traditional peer review to vet reports.
- One interviewee noted that some partners would push back against PROFOR to demonstrate their independence from the World Bank.
- Expectations among partners for ongoing funding from PROFOR strained or ended some partnerships.



LESSONS LEARNED

A BROAD SCOPE, OPPORTUNISTIC APPROACH, AND CLIENT FOCUS PROVIDE A COMPARATIVE ADVANTAGE

PROFOR's broad themes remained relevant throughout PROFOR's lifetime and gave PROFOR a comparative advantage on topics such as governance and poverty while allowing flexibility to focus on important topics as they arose. In addition, this flexibility allowed PROFOR to be opportunistic and client-driven, responding quickly to address clear needs.

PROGREEN could also benefit from a broad scope, with pointed expertise on certain topics, and the ability to respond to new information and changing priorities.

AGILITY AND RESPONSIVENESS CONTRIBUTE TO RELEVANCE

Interviewees expressed appreciation for PROFOR's agility and quick responses to requests for support. The decision process for allocation of funds rested with the program manager and allowed "just in time" disbursement of funds. This allowed PROFOR to be relevant to immediate needs and to provide support to operations. Similarly, the process for receiving PROFOR support was relatively agile, with few steps involved.

PROGREEN could aim to streamline the application and disbursement process and the approval and monitoring and evaluation of activities.

TAKING RISKS GENERATES INNOVATIVE KNOWLEDGE AND LEARNING

PROFOR was able to take risks in funding topics, regions, or activities that World Bank operations or other external partners would be unlikely to fund. This allowed PROFOR to produce innovative knowledge and tools and fill knowledge gaps that were invaluable for the development of operations. Monitoring and evaluation to track engagement, uptake, and influence afforded an opportunity to learn and adapt to what worked.

PROGREEN could similarly retain a portion of its activity portfolio for innovative knowledge that could contribute to forest operations or longer-term understanding of key topics.

A STRONG SECRETARIAT WITH TECHNICAL, M&E, COMMUNICATIONS, AND KNOWLEDGE MANAGEMENT EXPERTISE

The majority of interviewees believed that PROFOR was most effective when it had a larger Secretariat staffed with experts who contributed to activity design, application of M&E, and communications and dissemination.

PROFOR's broad themes remained relevant throughout PROFOR's lifetime while allowing flexibility to focus on important topics as they arose.

PROGREEN could similarly benefit from a technically strong Secretariat with a dedicated communications expert to establish a knowledge management and dissemination system, recognizing that a larger Secretariat would be an investment and result in higher administrative costs.

INVESTMENT IN TARGETED COMMUNICATION, KNOWLEDGE MANAGEMENT, AND LONG-TAIL DISSEMINATION IS FUNDAMENTAL

PROFOR engaged actively with potential users of knowledge, including external organizations, World Bank clients, and World Bank units and regions. This engagement ensured that PROFOR was tuned in to the needs of users, which secured PROFOR's enduring relevance. However, some PROFOR tools and studies remained little known, and TTLs and others indicated that more investment in systematic knowledge management and long-tail dissemination could have helped put them into use. Providing funding to apply tools after activities close, making knowledge products easy to access, and presenting tools more broadly could contribute to greater uptake.

PROGREEN could have dedicated communications staffing to maintain and grow its networks and have a budget for ongoing dissemination of knowledge and tools, including relevant PROFOR knowledge products, reaching audiences beyond those initially targeted and helping others to discover the value of the repository of PROFOR knowledge. PROGREEN could invest in developing an effective communications plan given that PROFOR did not always have an effective system for dissemination across all relevant audiences.

USE LONG-TERM, PROGRAMMATIC ENGAGEMENT TO OPEN DOORS

The experience of PROFOR in countries like China and Indonesia suggests that long-term engagement helped build uptake. This was partly because the audience became more aware of PROFOR and partly because PROFOR became better at communicating with the audience and understanding its needs.

BUILD ON THE PROFOR BRAND

PROFOR became a strong brand in certain circles, known for technical excellence and innovation. PROGREEN could build on PROFOR's reputation, encouraging individuals within PROFOR's network to think of PROGREEN as its successor. Such an approach should be incorporated into PROGREEN's communications strategy.

USE PARTNERSHIPS STRATEGICALLY AND WITH CLEAR EXPECTATIONS

Used strategically, partnerships can help increase relevance, capacity, and connections. PROFOR found

that partnerships worked better where expectations and incentives of the partner and PROFOR were aligned and clear. Partnerships outside usual networks can help bring in new ideas and reach new audiences. According to interviewees, PROFOR could have partnered with business groups to engage with the private sector and academia to shape opinions and practice.

To make the most out of partnerships, PROGREEN could develop a partnership plan and monitor its effectiveness. When financing partner work, contracts should be used rather than transfer-out payments to retain greater control over products.

INCLUDE PARTNERS AS OBSERVERS ON THE BOARD

An interviewee said that partner participation on the PROFOR Board brought useful perspectives and deepened partner engagement. PROGREEN could involve NGOs and other potential partners in its governing body.¹⁶

“ PROFOR remained relevant and technically strong while driving innovation throughout its 18 years at the World Bank. ”

¹⁶ PROFOR partners attending Board meetings were called observers, but they were encouraged to speak and provide opinions on the direction of PROFOR. They did not play decision-making roles, though. To have given partners such power might have raised issues of conflict of interest.

CONCLUSION

The PROFOR closing report has assessed the relevance of PROFOR-funded activities; the degree of engagement, uptake, and influence of PROFOR activities by decision makers, practitioners, and other stakeholders and partnerships; and how these have facilitated the development of the research agenda and the uptake and influence of PROFOR activities.

PROFOR remained relevant and technically strong while driving innovation throughout its 18 years at the World

Bank. It produced many new tools and influenced more than 200 World Bank operations and global initiatives. PROFOR engaged well with partners and ensured good uptake and influence of its activities. Lessons for the PROGREEN multidonor trust fund, which will follow PROFOR, have been identified to guide the next phase in forests and landscapes at the World Bank.



Photo by Gerardo Segura Warnholtz/ World Bank



ANNEX A.

RESULTS STORIES

1. WATERSHED DEVELOPMENT IN INDIA: SYNTHESIZING LESSONS FROM EXPERIENCE

Title: Institutional Analysis and Landscape Level Planning Guidelines for Watershed Development in India

Geographic focus: India

Project number and duration: TF013974; December 2012–June 2015

Project partner/s: Central and state water agencies

Project funding: PROFOR – \$321,000; cofunding – \$70,000

Development objective: To consolidate lessons learned from best practices across the many and varied watershed development and management initiatives by government and donor agencies in India, and thus to contribute to improved policies and programs for future watershed development and management.

KEY ACTIVITIES AND OUTPUTS:

- A peer-reviewed report that outlined the evolution of watershed development policy and practice in India at state and national levels, summarized good practices from the projects reviewed, and discussed challenges and drew out important lessons and conclusions
- Formal launch events, seminars and workshops in India and in Washington, DC
- Contributing to new national watershed guidelines, guiding new World Bank-supported watershed projects and training programs in India, Malawi, and Nigeria

RESULTS ACHIEVED:

- Contributed to the development of new India National Guidelines for the Integrated Watershed Management Programme (IWMP)
- Provided guidance on more effective district-level planning with more focus on hydrology and on interagency cooperation (Agriculture, Water and Department of Land Resources)

- Incorporation of findings on best practices from India, into the design of the Shire River Basin Management Project in Malawi and the Nigeria Erosion and Watershed Management Project (NEWMAP) in Nigeria
- Request for technical support (of the India task team members) for watershed projects in Haiti, Indonesia, and Madagascar

KEY TAKEAWAYS:

- **Overall value:** Watershed development is integral to overall land and water management, rural development, food security, and poverty reduction, and this “best practices” report fills a gap for future watershed projects not just in India but also in other developing countries.
- **Factors contributing to success:** First, preparing a high-quality well-reviewed report was crucial. The care and planning that went into preparing the report—including the review process within the World Bank—is worth repeating and preserving for future work of this nature. Second, holding launch and dissemination workshops for the report provided promising opportunities for face-to-face contact with experts and senior government officials—and to generate interest in work that could lead to changes in policies and practices. Third, presenting the report’s findings to other development agencies such as the FAO in Rome and The Nature Conservancy in Washington resulted in additional channels of awareness and influence.
- **Room for improvement:** First, a more disaggregated approach to dissemination workshops and seminars, especially at the district level, organizing personal briefings of key senior functionaries, and separate workshops for field-level staff, could have helped raise the level of knowledge more effectively. Second, producing local-language versions for different stakeholders, including local communities, district staff, and NGOs, was needed to inform all stakeholders. Third, regular follow-up to see whether the suggestions and recommendations from the study were being adopted by the state government, and to understand important local bottlenecks to planning and implementing changes, should have

been planned within the limits of the trust fund budget and time frame.

- **Relevance for PROGREEN:** When the main goal is to influence policy and/or project designs (as was true of this activity), identifying the right target groups is key. In this case, the study outputs were aimed specifically at two sets of audiences: technical staff in the World Bank and other organizations, and policy makers in

the government of India. Knowledge uptake by these groups was sought to be maximized by first preparing a high-quality report and then by planning ahead for workshops in India and Washington to disseminate the findings.

Sources: Based on the deep-dive story prepared (by A.J. James) for the KNOWFOR partner-led evaluation.

2. GOOD ENGAGEMENT AND COMMUNICATIONS SPELL SUCCESS FOR THE EUROPEAN AND NORTH ASIA FOREST LAW ENFORCEMENT AND GOVERNANCE (ENA FLEG) MINISTERIAL INITIATIVE

Context and objective: The FLEG process (catalyzed by the World Bank, in cooperation with international development partners, and supported by PROFOR) is an international collaboration (among governments, NGOs, the private sector, and development agencies) for addressing failures in forest governance.

Geographic focus: Europe and North Asia: Concerned about rampant illegal logging, the Russian Federation in May 2004 announced its interest in championing a Forest Law and Governance Ministerial Process for Europe and North Asia (ENA FLEG). An international steering committee was established to provide advisory inputs to the process. A FLEG ministerial preparatory conference was held in June 2005 in Moscow.

The success of this initiative rested on building trust across the three major stakeholder groups—governments, NGOs, and the private sector—through regular engagement and clear communications. Thus, three parallel tracks were specially organized: one to elicit inputs from the NGOs, another to collect the suggestions of the private sector, and the third for the government of the countries in the region. Each track was led by a “roving ambassador,” an international expert with a reputation for impartiality and objectivity. The ambassadors ensured that the deliberations of the three groups were shared across the groups.

Communications efforts used the World Bank’s communications staff and channels. Staff from the Russia Country Office were engaged to help customize and translate communications products for Russian audiences, and the media temp helped promote the press release announcing the St. Petersburg Declaration.

The Ministerial Conference on Forest Law Enforcement and Governance was hosted in November 2005 in St. Petersburg, and attendees endorsed a Ministerial Declaration and Indicative List of Actions.¹⁷

BROAD OUTCOMES:

- Endorsement of the St. Petersburg FLEG Declaration by 44 countries and the EU and supported by a wide range of NGOs and the private sector
- Creation of high-level political commitment and partnerships between various donors and development agencies
- Promotion of a sense of joint responsibility between forest producer and forest consumer countries for tackling the problem
- Commitment by the EU to support a multiyear FLEG program of action in seven ECA countries (ENA FLEG I)

KEY COMMUNICATIONS TAKEAWAYS:

- A carefully structured engagement process to work closely with the three important stakeholder groups (governments, NGOs and the private sector) helped advance negotiation of the declaration.
- Parallel tracks for the three stakeholder groups enabled in-depth coordination within and across those groups so that they were able to effectively participate in providing advice and recommendations for the final declaration.
- Communication products were developed to ensure flow of information, provide transparency into the process, and raise awareness about illegal logging and the value of the ENA FLEG initiative:
 - The FLEG Newsletter shared information about the ENA FLEG initiative, keeping government, civil society organization, and private sector participants informed and engaged on the FLEG process.

¹⁷ The declaration can be accessed at: <http://www.enpi-fleg.org/about/st-petersburg-declaration/>.

- A fact sheet provided details on the scale and costs of illegal logging in Europe and Central Asia.
- A press release raised awareness of the commitments that governments made through the St. Petersburg Declaration.
- An exhibit communicating facts about illegal logging in English and Russian was displayed at the St. Petersburg Ministerial Conference.
- Negotiations were reported daily by the Earth Negotiations Bulletin to enable people not attending the negotiations to understand the key points discussed and the agreement reached.

LESSONS FOR PROGREEN:

- Creating a process for each prominent stakeholder to air their views and communicating these across the various stakeholder groups builds the critical trust required to craft a consensus-based plan of action.
- Investment in communications improves information flow and transparency and contributes to a shared understanding of issues and possible actions to address them.

3. A STAKEHOLDER-LED BENEFIT-SHARING APPROACH IS CRUCIAL FOR REDD+ IMPLEMENTATION

Title: Developing a Road Map for Benefit Sharing in the Early REDD+ Actions Areas in Mexico by Using PROFOR's Options Assessment Framework (OAF)

Geographic focus: Mexico

Project number and duration: P147484; June 2013–May 2015

Project partner/s: CONAFOR-MEXICO

Project funding: \$208,000

Development objective: To develop a country roadmap for benefit-sharing arrangements, for Mexico, using PROFOR's Options Assessment Framework (OAF).

KEY ACTIVITIES AND OUTPUTS:

- Carrying out a stock-taking exercise of benefit-sharing experiences in Mexico
- Presenting the results of the stock-taking exercise with stakeholders and policy makers
- Disseminating the OAF approach through a moderated webinar to test the overall understanding and promoting further dissemination of the activity
- Customizing the generic investigative questions of the OAF to the Mexico context
- Gathering field information via a stakeholder workshops in Yucatan
- Validating the regional findings at a national workshop in Mexico City

- Producing a road map for implementation for CONAFOR

RESULTS ACHIEVED:

- Stakeholder-led benefit-sharing arrangements for REDD+ early action areas
- Identification of the legal, institutional, and capacity gaps to be addressed and key agencies responsible for action
- A road map for implementation of the benefit-sharing arrangements and monitoring progress

KEY TAKEAWAYS:

- **Worth knowing about:** Establishing well-functioning benefit-sharing mechanisms is important to provide effective incentives to participants for undertaking (or refraining from) desirable actions. By providing guidance on how Mexico can establish the most contextually appropriate benefit-sharing mechanism, this activity has supported the preparation and further implementation of the country's REDD+ program.
- **Relevance:** As a participant in the Carbon Fund, Mexico needed to demonstrate that it has a practical benefit-sharing approach in place.
- **Engagement and ownership:** The activity was developed at the request of CONAFOR and therefore addressed a direct need of the client. The generic OAF tool was customized to the country context and was used for diagnostics and recommendations, drawing upon extensive stakeholder inputs.
- **Strengths contributing to successful execution:** The availability of a well-developed benefit-sharing tool easily adaptable to the country's context—PROFOR's Options Assessment Framework—was a key factor

to the success of the activity. CONAFOR was a willing partner and fully supported multistakeholder consultations, critical to the application of the tool. The activity was developed and implemented on a day-to-day basis by a team of two local consultants. This team was well networked with the government and others and played a critical part in customization of the OAF approach to Mexico, in drawing-in stakeholders and in liaising between CONAFOR and the World Bank. Second, a two-person team from the World Bank was constantly interacting with CONAFOR and the local consultants to troubleshoot as needed to keep the activity moving forward.

- **Room for improvement:** Gathering stakeholder-provided field data from more early-action REDD+ sites would have added to the relevance and robustness of the results.
- **Relevance for PROGREEN:** A clear-cut approach (OAF tool) and a fully engaged country agency (CONAFOR) were prerequisites for country ownership and willingness to implement the activity.

Sources: Based on the outcome story prepared for the KNOWFOR partner-led evaluation and with inputs from the forestry focal point for Mexico.

4. INCLUSIVE OASES MANAGEMENT IN TUNISIA: JOBS, GENDER, AND BIODIVERSITY

Title: New Jobs, Diversified Livelihoods and Improved Biodiversity Through Inclusive Oases Management in Tunisia

Geographic focus: Tunisia

Project number and duration: P132157; January 2, 2013–October 31, 2015

Project partner/s: Government of Tunisia

Project funding: PROFOR – \$380,000; cofunding – \$88,000

Development objective: To craft a national strategy for the sustainable development of Tunisian oases.

KEY ACTIVITIES AND OUTPUTS:

- An action plan for the implementation of the National Strategy for Sustainable Development of Tunisian oases
- Implementation of eligible activities of Oasis Participatory Development Plans (OPDPs) of the six targeted oases, to address local social, economic, environmental, and institutional priorities
- Several national workshops and regional consultations to disseminate, present, and validate the strategy and the OPDPs with national and local stakeholders

RESULTS ACHIEVED:

- Increased interest in the fragility of Tunisian oasis ecosystems, threatened by overexploitation of ground water, climate change, and urban development
- Reduced encroachment and harnessing the potentials

of these ecosystems to generate jobs and revenues for the most vulnerable households

- A consensus-building process for an integrated vision of sustainable development, with oases management as a central element
- Informed the Tunisia Systematic Country Diagnostic and the Country Program Framework by highlighting the importance of lagging regions in Tunisia and the necessity for innovative World Bank Group investments

KEY TAKEAWAYS:

- **Overall value:** Oases ecosystems are important to livelihoods of many people yet are poorly understood and often neglected. This pilot project demonstrated how oases ecosystems can be managed in a sustainable manner to improve local livelihoods, create employment, and protect ecosystem services, through participatory planning and decision making.
- **Factors contributing to success:** A multidisciplinary approach, which had been undertaken during preparation, assessed key historical, socioeconomic, demographic, and environmental issues. Multiple stakeholders at different levels (producers, civil society representatives, entrepreneurs and administrative authorities at the local level, and representatives of key ministerial departments) were involved in the identification and implementation of community-based subprojects in the six selected oases. The project captured the main concerns of local communities through its focus on diversifying local livelihoods, protecting local productive assets, reducing unemployment of the youth, filling gender gaps, promoting women's participation in decision making, and conserving biodiversity, water and soils, while improving governance through participatory and inclusive processes.
- **Relevance for PROGREEN:** A carefully crafted

participatory approach, involving stakeholders at all levels (producers, civil society and entrepreneurs, as well as administrative authorities and representatives of line departments at the local level, and with key ministerial departments at the national level), created the right social and political conditions for a successful implementation of this activity.

Sources: Outcome story prepared (by Patti Kristjanson) for the KNOWFOR partner-led evaluation; PROFOR activity progress and completion reports; inputs from the country forest team

5. TRANSFORMING FOREST GOVERNANCE IN RUSSIA

Title: Enabling the Russian Forest Sector to Attain Sustainability Through Governance Reforms

Geographic focus: Russia

Project number and duration: P118837; November 2011–June 2012

Project partner/s: Russian Federal Forestry Agency; World Bank Europe and Central Asia Region; DFID

Project funding: PROFOR – \$100,000; DFID – \$150,000

Development objective: Apply the PROFOR forest governance assessment tool as a first step toward evidence-based reform of forest governance in the country.

KEY ACTIVITIES AND OUTPUTS:

- Four regional stakeholder workshops to gather data on governance indicators
- A national workshop to validate and consolidate findings
- A forest governance assessment report in English and Russian

RESULTS ACHIEVED:

- Promoted networking, educated stakeholders, stimulated dialogue, and encouraged consensus. Some 106 participants in the four pilot regions and 35 at the Moscow final conference got together and it was confirmed that the framework can become an effective tool for improving forest law governance.
- Provided a baseline measure of governance and laid a foundation for future monitoring of forest governance in Russia.
- The PROFOR indicator set included a gender-sensitive indicator. For many participants, looking at forest

issues through a gender lens was a new idea, and the gender indicator drew an unexpected amount of attention.

- The PROFOR indicator set included several questions on corruption and, similar to gender, attracted a lot of attention and discussion, for the first time in the country.
- Presentation of results at international events,¹⁸ which helped improve assessments in other countries.
- Discussion with delegates from China and Japan on cooperation to control illegal cross-border trade.

KEY TAKEAWAYS:

- **Overall value:** Good forest governance is crucial to SFM, but it is difficult to diagnose weaknesses and identify appropriate interventions. Application of the PROFOR tool helps in this regard. Application in the Russian context proved its relevance in a system of federal administration marked by important regional variations.
- **Relevance and ownership:** The Russian Federal Forest Agency supported the application of the PROFOR-FAO Framework forest governance assessment tool as a first step toward evidence-based reform of forest governance in the country. This was seen to help coming to grips with some high-profile forest governance shortcomings, including rampant illegal logging and difficulty responding to widespread fires.
- **Factors contributing to success:**
 - The availability of a well-developed stakeholder-led governance assessment tool, easily adaptable to the country's context.
 - The Federal Forest Agency saw the tool as being relevant to solving its own challenges; in addition, it saw itself as an international leader in the first application of the tool to a temperate forest country, and that strengthened its ownership.

18 At Kazan, at the 2nd Meeting of the APEC Experts Group on Illegal Logging and Associated Trade (EGILAT); in Rome in June 2012 at the Expert Group Meeting on Forest Governance Data Collection (which included countries of APEC region and key experts on forest governance from the FAO, ACP-FLEG Program, UN-REDD Program, WRI, and more).



- The use of local consultants to help shape the process and the addition of expert scoring to the PROFOR tool protocol increased the relevance and weight of the results in the eyes of decision makers.
- **Areas for improvement:** Because of unforeseen circumstances, the influence on Russian federal forest policy of the recommendations in the assessment report was disappointing. The State Duma elections, the presidential elections, and the formation of the new cabinet of ministers coincided with the project implementation timeline. As a result, the agency was reorganized, lost significant funding, and the agency head focused on different priorities. However, greater

influence could have been ensured if PROFOR had made available additional funds to help incorporate the recommendations into the agency's policy framework.

- **Relevance for PROGREEN:** A clear-cut approach (PROFOR tool) and a fully engaged country agency (Russian Federal Forestry Agency) were essential for country ownership and successful completion of the activity.

Sources: Outcome story prepared (by Ken Rosenbaum) for the KNOWFOR partner-led evaluation; inputs from the country forestry team

6. A STRATEGIC PARTNERSHIP PRODUCES A TOOL TO MEASURE FORESTS' CONTRIBUTION TO HOUSEHOLD WELFARE

Title: Building national-scale evidence on the contribution of forests to household welfare: A forestry module for Living Standards Measurement Surveys (LSMS)

Geographic focus: Global

Project number and duration: TF018582/P153552. Oct. 2014 to June 2017

Project partner/s: CIFOR, FAO, IFRI and University of Copenhagen

Project funding: PROFOR – \$100,000; cofunding – \$145,000

Development objective: To develop and disseminate a forestry module and sourcebook for Living Standards Measurement Surveys (LSMS), to mainstream the collection of national-scale data on the contribution of the forestry sector to household welfare.

KEY ACTIVITIES AND OUTPUTS:

- Pilot-tested the draft forestry module in Indonesia, Nepal and Tanzania
- Finalized the LSMS forestry module and sourcebook

RESULTS ACHIEVED:

- A comprehensive forestry module with detailed household and community questionnaires, with

a source book on guidance on implementation, endorsed by the World Bank, CIFOR, and the FAO, available in the public domain.

KEY TAKEAWAYS:

- **Relevance:** The full contribution of forests to the economy, especially to rural households is consistently underestimated (or worse, simply overlooked) in national accounts. This LSMS-based survey plugs a very vital gap in data gathering on forests' contribution to household welfare.
- **Strengths contributing to successful execution:** A strong partnership of CIFOR, the FAO, PROFOR-World Bank, IFRI, and the University of Copenhagen, bringing together their shared vision to develop a tool such as the LSMS forestry module. The partners had the clout and resources to complete an authoritative piece of work. The partnership's networks were effective in dissemination and outreach of the module to a vast number of potential would-be users.
- **Outcome:** The forestry module has already been applied in four countries (Armenia, Georgia, Liberia, and Turkey).
- **Relevance for PROGREEN:** Strategic partnerships can be instrumental in vastly expanding the outreach and uptake of an analytical tool.

Sources: Based on PROFOR progress and closing reports.

7. OUTREACH AND PARTNERSHIP SHAPE EXTRACTIVE INDUSTRIES FOREST-SMART THINKING

Context and objective: Nearly one-third of all active mines and exploration sites are located within areas of intact ecosystems of high conservation value, most of them forests. Infrastructure developments associated with oil and mineral developments represent a threat to forest ecosystems through physical incursion into forests as well as through the establishment of roads and railways that open forests to activities such as agriculture, hunting, and artisanal mining. While some progressive mining companies are adopting practices to mitigate their impact on forests, there is a need to raise awareness within the extractive industry about why they should make their operations forest-smart and options for doing so.

Forest-smart strategies for the Extractive Industries Program: This program was developed to enable client countries and the World Bank Group to make better informed decisions about managing trade-offs between extractive industry development and sustainable management of forest landscapes through better understanding of how extractive industries impact forests and the development of forest-smart mining strategies. The program established a strong communications component with a plan to reach World Bank TTLs, extractives companies, development practitioners, and more general audiences with the aim of informing these audiences of new forest-smart approaches and tools for extractive industries. The approach includes learning sessions for TTLs, presentations at high-level conferences, an awareness-raising video, a blog, and a social media push. In addition, partnership with extractive industry organizations and conservation NGOs enabled PROFOR to reach new audiences.

Key activities and outputs: Forest-smart mining tools and analysis were developed and presented in three reports targeting policy makers, extractive industry companies, and development practitioners:

1. *Forest-Smart Mining: Identifying Good and Bad Practices for Artisanal & Small-Scale Mining (ASM) in Forest Landscapes*
2. *Forest-Smart Mining: Identifying Factors Associated with the Impacts of Large-Scale Mining (LSM) on Forests*
3. *Forest-Smart Mining: Offsets Case Studies*

To help bring these reports to audiences with limited interest or time for reading the full reports, a package of supporting communication tools and materials were developed. The packaged combined materials for

different audiences with social media and events to promote the content. These materials explained forest-smart mining in accessible and compelling terms and reached targeted and broad audiences.

- **Executive summary:** Making Mining Forest-Smart. Succinctly captures key findings from all reports.
- **Video:** “Forest-Smart Mining: A Low-Carbon Future Must Protect the World’s Forests” explains the concept of forest-smart mining and how it can make a difference (41,309 views as of March 2020).
- **Blog:** The TTL authored a blog, “A Low-Carbon Future Must Protect the World’s Forests,” that noted the most compelling facts and recommendations from the report. Issued on May 7, 2019, the blog was viewed 4,546 times as of March 25, 2020.
- **Social media:** The blog, video, reports, and events were all promoted through social media messages from PROFOR, the World Bank, and partners, bringing broad audiences to the content.
- **High-profile events:**
 - Event on Forest-Smart Mining to Advance the New York Declaration on Forests Goals held in conjunction with the 2018 United Nations General Assembly meetings. World Bank Global Director for Environment, Natural Resources and Blue Economy Karin Kemper delivered opening remarks.
 - Forest-smart mining panel at the Intergovernmental Forum for Mining in Geneva, October 2018
 - Forest-smart mining panel at International Association for Impact Assessment (IAIA) Conference, London, May 2019
 - Forest-smart panel during African Mining Indaba, Cape Town, February 2019
 - Forest-smart webinar for members of the International Council for Mining and Metals (ICMM)

RESULTS ACHIEVED:

- As indicated by the statistics for the video and blog noted above, both broad and targeted audiences were reached. Through the events, new audiences for PROFOR were reached, notably participants in the Intergovernmental Forum for Mining, the International Council for Mining and Metals (ICMM), and the African Mining Indaba.
- Development of tools and analysis around forest-smart mining, a set of forest-smart mining principles, and an understanding of what could be achieved in ASM and

LSM as well as biodiversity offsets.

- Informed investments such as the Forest Investment Program (FIP) Additional Funding in Ghana and the Zambia REDD+ Investment Plan. Liberia’s Forest Program is also taking on recommendations for improving practices in artisanal mining. In Madagascar, a mining company asked for World Bank guidance for forest-smart activities.
- Forest-smart mining was identified as a building block for the new “Climate-Smart Mining” MDTF, with the goal of developing policies and practices to minimize the carbon footprint of the extraction of minerals’ needed for clean energy technologies.
- Development of a “Good Practice Note” on extractives in forest landscapes to support the new ESF.

KEY TAKEAWAYS:

- **Relevance:** The International Council of Mining and Metals (ICMM) called this program “the most important work on mining and biodiversity of the past 10 years.”

- **Partnership:** An energetic TTL with expertise in both mining and ecology combined with good research partners—Fauna and Flora International, Levin Sources and Swedish Geological AB—yielded high-quality research and access to new audiences through their established networks within the mining sector.
- **Ownership:** The Energy and Extractives GP’s leadership of this work helped build ownership within mining communities.
- **Uptake:** Investment in communication products and outreach as detailed above yielded good reach into both mining and environmental communities. For example, the hashtag #ForestSmartMining reached over 3.9 million users on Twitter and the forest-smart video had more than 41,000 views on YouTube. Investment in targeted knowledge dissemination both within and outside the World Bank contributed to uptake.
- **Lessons for PROGREEN:** This is an example of best practice for collaboration with other sectors to advance new thinking among audiences that the forest sector traditionally does not reach.

8. CATALYZING GENDER-FORESTS ACTIONS FOR THE FIRST TIME

Title: Catalyzing Gender-Forests Actions

Geographic focus: Global

Project number and duration: P161913. October 2016 to June 2019

Project partners: RRI, IUCN, WRI, and CGIAR

Project funding: PROFOR – \$299,227.33; cofunding – \$45,800

Development objective: To generate knowledge and best practices on gender inclusion in forest landscape operations and initiatives, to improve national program design and effectiveness, and to improve operations, particularly on being more inclusive and having improved equity impacts.

KEY ACTIVITIES AND OUTPUTS

(available at: <https://www.profor.info/knowledge/catalyzing-gender-forests-actions>):

- Gender-forests PROFOR website landing page had about 2,643 visits to date; 540 downloads of resources developed (including the following)

- An overview paper documenting a wide range of gender-forest landscape activities and interventions globally (P. Kristjanson et al., 2019, PROFOR working paper)
- Annotated bibliography of gender and forests literature
- Tools and approaches guide
- Gender-focused portfolio review of forest projects
- Journal article (P. Kristjanson, forthcoming, *International Forestry Review Journal*)
- Presentation at World Bank Land and Poverty conference
- PROFOR brief on gender-forest landscape actions and indicators in English, French, and Spanish
- Gender incorporated into all country forest notes (CFNs)
- Contributed reviews and PROFOR gender resources to Forest Investment Plans and projects being developed in FIP countries
- Joint policy briefs on gender and forests (with CIF/FIP/FCPF), aimed at national counterparts and other World Bank partners
- Periodic/regular gender updates to build awareness within and beyond PROFOR about newly available research and tools

- Webinar with the FAO on incorporating gender into forest landscapes projects and programs
- Gender fully integrated in PROFOR's poverty program and published papers on PRIME

OUTCOMES ACHIEVED:

- PROFOR gender knowledge products have influenced FIP/CIF/FCPF/REDD+ Investment Plans/Forest Projects in Cote d'Ivoire, Mexico, Uganda, Ghana, and Cameroon.
- Gender fully integrated in the poverty-forests e-book, World Development article, World Bank PRIME paper; PRIME framework informing at least five World Bank forest projects (Philippines, Argentina, Turkey, Georgia, Armenia).
- Gender analysis informed the design of the DGM in Côte d'Ivoire.
- Benin forest project PAD is fully gender tagged.
- Qualitative gender study with PROFOR gender guidance undertaken in the Philippines.

- Laos Landscapes and Livelihoods project design informed by PROFOR gender knowledge products and guidance.

FOCUSED LESSONS:

- Close work with PROFOR's communications team helped make a wide range of gender materials developed with partners through this program widely and freely accessible.
- The partnerships developed and strengthened through this activity did not cost much, but having a flexible partnership budget available for funding strategic actions was key (e.g., the gender-forests sessions at GLF; external briefs with partners; working papers and journal articles with partners; joint presentations at global events).
- It may be possible to undertake a survey of users to more fully understand how the gender resources are being used and have influenced project design within and outside the World Bank and are being recognized and used by investors/donors.

Sources: Interview January 2020; material provided by TTL

9. ECONOMIC GROWTH AND DRIVERS OF DEFORESTATION IN THE CONGO BASIN UNDERPINS REDD+ "FOREST-SMART" APPROACHES

Title: Modeling Deforestation and GHG Emissions in Congo Basin

Geographic focus: Regional

Project number and duration: P116024 (TF093774); February 2009–April 2011

Project partner/s: DFID, FCPF, Norway, TFESSD

Project funding: PROFOR – \$121,771; cofunding – \$558,000

Overall development goal: To provide an in-depth analysis of the major drivers of deforestation and forest degradation for the next decades in the countries of the Congo Basin and robust methodological tools on forward-looking national economic growth scenarios, based on different development trajectories.

KEY ACTIVITIES AND OUTPUTS:

- Setting up scenarios on evolution of the forest cover under different hypothesis of development trajectories in the Congo Basin and specifically providing the

decision makers in the Congo Basin countries with crucial information on trade-offs between sectors, greenhouse gas emissions, and potential impacts of REDD policies

- In-depth analysis of the major drivers of deforestation and forest degradation for the next decades in the countries of the Congo Basin
- Development of a CGE model

RESULTS ACHIEVED:

- Assessed the trade-offs between different development scenarios and different sectors.
- All Congo Basin countries are building on the results of the regional modeling exercise to prepare their draft National REDD+ strategy.
- A follow-up project on modeling is under implementation by IIASA in four countries (Democratic Republic of Congo, Republic of Congo, Cameroon, and Central African Republic), coordinated by COMIFAC.

KEY TAKEAWAYS:

- **Overall value:** The approach is seen as innovative and complementary to the dynamic model of green growth that the World Bank is promoting.

- **Relevance:** The multisectoral approach was widely commended and provided the necessary integrated and comprehensive solutions at the landscape level.
- **Dissemination:** The dissemination plan was particularly successful; it was able to convene ministers from the environment, agriculture, transport, and planning ministries. Regional workshops that discussed and reviewed the results of the model helped participants understand the trade-offs between the different sectors under a REDD strategy. Blogs and stories on the PROFOR website were also crucial in reaching stakeholders.
- **Uptake and outcomes:** The work was able to strengthen engagement and spur country level operations and the REDD+ program in the Democratic Republic of Congo (DRC). This work also started the conversation around ‘forest smart’ by giving cross-

sectoral issues more prominence. The notion of “forest smart” was one of two pillars in the Forest Action Plan, which guided the World Bank’s involvement in forests from 2016 to 2020.

- **Partners:** Successful collaboration between international and national experts was highly appreciated and allowed for an outstanding ownership of the activity outputs at the country level.
- **Relevance for PROGREEN:** It was important to build capacities at the country level by enabling local experts to take the lead role in a highly participatory data collection campaign. The approach required a solid multidisciplinary team.

Sources: Interview conducted November 2019; Operations Portal (extracted March 2020)

10. STRENGTHENING REGIONAL COOPERATION ON FORESTS AND NDCS IN CENTRAL AMERICA

Title: Strengthening the Implementation Capacity of Forest-Based NDC Commitments in Central America Through Regional Cooperation and Technical Dialogue

Geographic focus: Regional, Central America

Project number and duration: P160325 (TF0A6667); June 2017–December 2019

Project expenditures: \$200,000

Partners and cofunding: \$82,000; FAO, GIZ, NDCP Support Unit

Development objective: To strengthen the capacity of Central American governments (Guatemala, El Salvador, Honduras, Nicaragua, Costa Rica, and Panama) to implement forest based NDC commitments through regional cooperation and technical dialogue.

KEY ACTIVITIES AND OUTPUTS:

- An analytical framework for each Central American government to identify the link between NDC mitigation actions in the Land Use, Land Use Change and Forestry (LULUCF) sector and their National Greenhouse Gas Inventory (GHGI)
- A regional workshop held in Panama aimed at helping countries to understand the main outcomes of the Katowice COP, and to link these decisions to the LULUCF sector activities under the NDCs

- A brief on “Mapping Katowice Decisions Related to Nationally Determined Contribution,” result from the regional workshop

RESULTS ACHIEVED:

- Improved understanding of national and regional challenges to implement NDCs enabled countries to more actively participate in technical discussions under the Paris Agreement, and allow for countries to establish more robust commitments with strengthened reporting arrangements.
- Enhanced interinstitutional capacity to assess potential interventions in the forest sector derived from COP21 commitments.
- Improved capacity of countries to prioritize activities and identify complementary sources of funding to support LULUCF-related activities.
- Enhanced national capacities to formulate forest-related NDC frameworks.

KEY TAKEAWAYS:

- **Overall value:** This project provides replicable lessons that could be applied in other sectors and countries. Understanding the implications of the Katowice Climate Package at a national level and working with each country technical team was fundamental to choose the best approach to implement LULUCF activities and to determine how mitigation will be measured to comply with UNFCCC reporting requirements.



• Factors contributing to success:

- *Engagement, ownership, and design:* The initial design of the project recognized that the Paris rulebook was still under negotiation and design was flexible enough to meet regional- and country-driven capacity-building needs and technical needs. Engagement with other initiatives in the region was incorporated into project design to coordinate efforts and avoid duplication.
- *Relevance:* One of the most relevant products to the forestry sector at a national and international level was the “Mapping Katowice Decisions Related to Nationally Determined Contributions” work. The material was well received by the participating countries and widely distributed through PROFOR,¹⁹ the FAO,²⁰ the NDC Partnership,²¹ and the Basque Center of Climate Change²² websites; it was also distributed among workshop participants and webinar participants.
- *Uptake and influence:* Support was provided to the government of Panama through a capacity-building workshop *IPCC 2006 Guidelines* to (i) guide and support the government in the recalculation of the 1990–2017 time series of the LULUCF sector, (ii) develop a design proposal for the implementation of a Sustainable System of National Greenhouse Gases Inventories (SSINGEI), (iii) review the energy worksheets and build the agricultural sector worksheets, and (iv) analyze mitigation options in the agriculture sector.
- *Partners:* Creating alliances among other development partners working in the region increased the effectiveness of the dissemination, reduced the duplication of efforts and enabled a more effective use of resources. Also, the participation of the CCAD in the regional workshop and the dissemination of the results through this political platform increased the number of stakeholders reached.
- **Relevance to PROGREEN:** A targeted forest sector approach led to an analysis of economy-wide emission reduction targets, and necessary institutional arrangements. Important steps to consider in land use interventions are (i) analyzing the legal and policy framework of the landscape activities proposed; (ii) determining geographic areas where it is feasible to work; (iii) analyzing institutional arrangements: which institutions at local, regional, and national levels work in the area and in different sectors; and (iv) analyzing capacity for reporting emissions and removals related to the specific landscape measures.

Sources: See footnotes.

¹⁹ https://www.profor.info/sites/profor.info/files/Mapping%20Katowice%20Decisions%20Related%20to%20NDC_ENGLISH.pdf.

²⁰ <http://www.fao.org/3/ca5077en/ca5077en.pdf>.

²¹ <http://ndcpartnership.org/toolbox/mapping-katowice-decisions-related-nationally-determined-contributions>.

²² <https://info.bc3research.org/es/2019/06/11/new-bc3-infography-mapping-katowice-decisions-related-to-nationally-determined-contributions-ndc/>.

11. LAYING THE FOUNDATION FOR PAYMENTS FOR ENVIRONMENTAL SERVICES IN ALBANIA

Title: Innovative Financing for SFM in the Southwest Balkans

Geographic focus: Albania and Kosovo (this results story focuses on the Albanian work)

Project number and duration: P124095 (TF097987); June 2010–February 2015

PROFOR project expenditures: \$370,000 (Albania and Kosovo)

Partners and cofunding: \$62,000 from World Bank

Development objective: To develop sound methods for estimating the value of specific environmental services, apply those methods in case studies in Albania and Kosovo, and propose mechanisms to start and increase payment for these services in the case study areas

KEY ACTIVITIES AND OUTPUTS IN ALBANIA:

In the Ulza Watershed in Albania, which contains a hydroelectric dam and reservoir, the project developed a scientifically sound proposal for payments for environmental services (PES) for erosion control.

• Phase I produced:

- Methods for establishing erosion control plots
- A description of the watershed boundary
- Topography and land cover maps
- An Ulza reservoir bathymetry and life span analysis
- Monitoring and modeling of erosion and runoff
- Downstream and upstream stakeholder analyses
- Potential PES schemes for watershed protection

• Phase II produced:

- Continuation and expansion of the erosion monitoring activities
- A second bathymetry measurement, to calculate the change in sedimentation over one year
- Land use identification in the watershed

- Dissemination of the new, more robust results through four reports and three workshops

RESULTS ACHIEVED:

- Having demonstrated the vulnerability of reservoirs to sedimentation and the value of watershed erosion control, the project led Tirana's drinking water utility to participate in a similar study on its watershed.
- The project inspired almost five years of follow-on work, which studied the water utility's watershed, gathered further data on the Ulza watershed, created hydrological models, analyzed legal issues connected with PES schemes, and did other groundwork to support eventual PES payments.
- No actual payments have gone to landowners because of complicating factors, including the bankruptcy of the electric utility operating the dam in the studied watershed and institutional reluctance (from the finance ministry) to set up a government-run extra-budgetary fund.

KEY TAKEAWAYS:

- **Overall value:** The project demonstrated to dam operators that the long-term value of their reservoirs depends on the care of land and forests in the watersheds, and that PES could be a viable way to extend the life of those reservoirs.
- **Factors affecting success:**
 - *Engagement, ownership, and design:* The project built upon a previous natural resource development project funded by Sweden and the World Bank. The project engaged stakeholders and brought in consultants from academia and civil society. Critically, though, it lacked unqualified backing from the finance ministry, which led to issues when attempting to pilot actual payments.
 - *Incidental obstacles:* The World Bank initially designed the activity to benefit a government-run dam, but a new government privatized the dam and the operator subsequently went bankrupt. No one from the private company is now empowered to support implementation of a PES scheme. For the drinking water supply watershed, many actors are involved. Forest management has devolved from the central government to the municipalities, making coordination challenging. Some of the actors have cited legal and practical issues preventing their involvement.

- **Areas for improvement:** The project would have benefited from the backing of a powerful and steady champion of change in the government.
- **Relevance to PROGREEN:** One World Bank staff member observed that the project was like a venture capital investment: involving high risk but offering the

potential of high gain. PROGREEN should commit to projects carefully but should not be afraid to innovate, take risks, and occasionally back efforts that fail. On balance, a portfolio of well-chosen projects will pay off.

Sources: PROFOR website; interviews with World Bank staff; project reports; PROFOR annual reports

12. ANTI-CORRUPTION EFFORT OFFERS TOOLS, WITH MIXED UPTAKE

Project title: Tools for Civil Society Action to Reduce Forest Corruption: Drawing Lessons from Transparency International

Geographic focus: Global

Project number and duration: [project number unknown], September 2003–March 2005

Project expenditures: \$50,000 (out of original budget of \$85,000)

Partners and cofunding: The Forest Integrity Network (FIN) of Transparency International (TI) provided in-kind support

Development objective: To examine TI's experience in developing general anti-corruption tools and highlight how civil society groups could use them to address illegal logging and forest related corruption, the first step toward producing a comprehensive forest-crime fighter's toolkit.

KEY ACTIVITIES AND OUTPUTS:

- Preparation and publication of a report describing what forest corruption is and how TI's tools could be used in the forest sector. PROFOR printed 1,000 copies of the report.
- Dissemination of the report via PROFOR and World Bank distribution lists and at international events, including COFO, UNFF, and the CCD COP.

RESULTS ACHIEVED:

- Transparency International obtained a grant of 85,000 euros from BMZ to prepare Anti-Corruption Business Principles for the Forest Sector, an activity proposed in the project report.
- The project led to the report's author being asked to do the following:
 - Present on forest sector corruption at the semi-annual meeting on illegal logging at Chatham House in London, July 2006.

- Join a two-hour meeting in London with private forest sector business leaders, organized by TI in July 2006.
- Chair a panel on natural resources at the International Anti-Corruption Conference in Guatemala City, November 2006.
- Provide constructive criticism of a private sector initiative to source wood pulp from Russia while meeting high environmental and social responsibility standards, 2005 and 2006.
- In 2011, Tropenbos-Ghana produced a similar report discussing how to apply the TI tools to the forest sector, but it did not cite the PROFOR report. A second edition of the Tropenbos report came out in 2018.
- Although PROFOR funded many further projects on forest governance and illegal logging, PROFOR never produced the envisioned comprehensive forest-crime fighter's toolkit.

KEY TAKEAWAYS:

- **Overall value:** The project helped raise the visibility of corruption in the forest sector and helped raise the visibility of governance work at PROFOR and FIN. It remains a useful introduction to the problem of corruption in the forest sector.
- **Factors affecting success:**
 - *Engagement, ownership, and design:* Other than TI and FIN, no other potential users of the report were directly involved in its design or production.
 - *Relevance:* The report was relevant to combatting illegal activity in the forest sector and remains so after 15 years.
 - *Uptake and outcomes:* Like many toolkits, the report has been underused.
 - *Partners:* Although FIN grew out of a meeting at the Kennedy School at Harvard and was housed at TI, PROFOR was an early financial supporter and catalyst for FIN. This report helped FIN attract grant money from BMZ.

- **Areas for improvement:** Greater involvement of potential users in the design of the project could have created more buy-in and perhaps led to more use of the product. Further funding and completion of the initially envisioned forest-crime fighter’s toolkit might have given the product more context and helped it reach a larger audience.
- **Relevance to PROGREEN:** Compared to the demand-driven, country-focused projects typical of PROFOR’s later years, this supply-driven, global project had greater international visibility and impact. It might have had even

more impact with better knowledge management. In contrast, PROGREEN will be demand-driven and country-focused. It would be easy for PROGREEN’s funders and managers to settle for having country-level impact, but that would lead to missed opportunities. To maximize impact, PROGREEN needs to invest in knowledge management and international dissemination of results.

Sources: Project report; communication TTL; PROFOR annual reports; web searches. The author of the project report also wrote this note.

13. CLIENT BUY-IN AND FLEXIBILITY IN FUNDING LEAD TO GOOD UPTAKE IN THE PHILIPPINES

Title: Strengthening Capacity for Integrating Ecosystem Services in the Forest Land Use Planning Process to Enhance Climate Resilience and Poverty Reduction in the Philippines

Geographic focus: Philippines

Project number and duration: P161080 (TF0A3721), August 2016–June 2018

Project expenditures: \$185,000; funding came in two tranches, an initial grant to develop and pilot methods and a follow-on grant aimed at institutionalizing the use of those methods

Partners and cofunding: Just under 40 percent of project expenditures were covered by in-kind contributions of staff time, facility use, and transport from the Philippine government. This work complemented \$2 million worth of technical assistance ongoing from the Wealth Accounting and the Valuation of Ecosystem Services (WAVES) program in the Philippines.

Development objective: To enhance the capacity of stakeholders to integrate poverty reduction and climate change resilience concerns into forest land use plans through the use of ecosystem services data.

KEY ACTIVITIES AND OUTPUTS:

- A report on how to use ecosystems services data in the forest land use planning process
- Training for agency staff on how to use ecosystem services data and integrate poverty reduction and climate resilience concerns into planning
- Exercises applying these new skills, including the development of three subnational case studies on

measuring and valuing forests ecosystem services and examining the importance of forest resources for local livelihoods

- A draft technical bulletin and revised training manual on forest land use planning, reflecting the need to use ecosystems services data
- A dissemination workshop at the end of the project

RESULTS ACHIEVED:

- Stakeholders have increased awareness of ecosystem services and their contribution to poverty reduction and climate resilience.
- Government planners have new skills to evaluate ecosystem services and to incorporate ecosystem services concerns into plans.
- Government planners are passing these skills along to their colleagues.
- By adopting revisions in manuals and guidance, the Philippines has institutionalized use of ecosystem services in forest land use planning.

KEY TAKEAWAYS:

- **Overall value:** This project made a material change in forest land use planning that will continue in the future. Increased understanding of ecosystems services will have influence beyond forest planning, including in climate change planning.
- **Factors contributing to success:**
 - The project had strong buy-in from the agency and political leaders. Although the initial idea for this work came from the World Bank, the idea fit closely with the work of the Department of Environment and Natural Resources on valuing environmental services. The forest agency’s staff, including the agency head, had input into the project’s design.

- The program was able to build on work done under the World Bank WAVES program, which had been ongoing from 2012 to 2016, had developed ecosystem accounts for the Laguna Lake region and the island of Palawan, and had trained around 30 government staff in ecosystem accounting.
 - The project largely relied on government people rather than outside consultants to do the work, which meant that the experiences and skills gained from the project stayed with the implementing agency. The project trained about 12 young staffers who could work on the pilot projects and then act as trainers to pass their skills to others.
 - PROFOR was flexible enough to increase funding when it became clear that further steps (production of a technical bulletin and training manual) would increase uptake. The resulting documents are simply written and easily understood by new users. They became official guidance for agency planning.
 - **Areas for improvement:** In retrospect, the client thought there should have been funding to hire an administrative assistant, to deal with paperwork and logistics.
 - **Relevance to PROGREEN:** Get buy-in from all levels of the client country's administration. Focus on empowering local people rather than bringing in temporary sources of expertise. Produce written products that are both potent (e.g., official guidance) and accessible. Be flexible; go ahead and alter a project's scope or direction if that will increase impacts.
- Sources:** Project completion report; interview and comments from one of the project's TTLs; comments from Bank WAVES staff; interview with two Philippine government forest agency officials

14. TURNING DOWN THE HEAT: JUMPING ON THE BANDWAGON OF A WORLD BANK FLAGSHIP PUBLICATION BRINGS ATTENTION TO FORESTS

Objective: With the objective of advancing an evidence-based dialogue on climate change, the World Bank Group flagship report *Turn Down the Heat III* (TDTHIII) analyzed climate vulnerabilities and related development impacts under three warming scenarios: 0.8°C (present day), 2°C, and 4°C. PROFOR supported the development and dissemination of the flagship report through strategic engagement and communications at the regional level in Europe and Central Asia, Middle East and North Africa, and Latin America and the Caribbean. In addition, PROFOR facilitated national and regional policy dialogue and informed investments to both mitigate climate change and adapt to projected climate change impacts.

Context and approach: The World Bank planned the TDTHIII flagship report as a strategic communications initiative to help inform and influence climate change negotiations and policy formulation, with the timely and high-profile release of the report just prior to the 2014 United Nations Framework Convention on Climate Change (UNFCCC) meetings in Lima, Peru. Such a flagship report represented an opportunity for awareness raising among stakeholders ranging from the general public to ministers of finance thanks to high-profile events and media promotion.

However, initial plans for the TDTHIII report did not include detailed analysis of the implications of the different warming scenarios on forests and forest ecosystems, much less region-specific information for different types of forest ecosystems. To rectify this omission and seize the opportunity for raising awareness about the importance of forests for both climate mitigation and adaptation, PROFOR supported expert input into the report preparation to ensure forests would be well represented in the final publication, targeted dissemination at the regional level, and capacity building for scientists and policy makers to apply report findings to their work.

With regard to report preparation, PROFOR identified experts in each region who contributed forest knowledge in the report by providing input including literature review and analysis and evidence of climate change impacts on major ecosystems, geographic areas, and ecozones in the three regions. In Europe and Central Asia, engagement activities during report preparation contributed to building the capacity of regional scientists through consultations on early findings for the draft report. Thanks to this investment in expert input, the final report included region-specific narratives, including on agriculture, forests, the vulnerability of coastal areas of Central America and the Caribbean, Russia's boreal forests, and how climate change affects desertification.

In addition to a global launch in Washington, DC, in November 2014 with World Bank Group President Jim

Kim, media promotion, and a social media campaign, several region-specific launches and dissemination events took place. In Europe and Central Asia, client engagement took place at a training on forest fire fighting in Moscow, Russia; the Western Balkans Climate Resilient Growth Roundtable in Vienna, Austria; and the Second Central Asia Climate Knowledge Forum in May 2014 in Almaty, Kazakhstan. Brochures for the Europe and Central Asia subregions summarized in nontechnical language the report's main findings and highlighted World Bank-financed climate-smart projects in these subregions.

In the Middle East and North Africa, dissemination activities included events at the Center for Mediterranean Integration Annual Meetings, a French government preparatory event for COP21, and a ministry of environment event in Morocco. In Latin America and the Caribbean, a Spanish-language massive open online course (MOOC) based on the report engaged thousands of participants, with about 6,700 registrants representing 87 different countries.

Capacity-building activities included a global workshop for regional scientists contributing to the report as well as region specific activities that varied by region. In Europe and Central Asia, workshops for regional scientists reviewed methodological approaches, data sources, and preliminary results for the report to raise interest for further integrated analyses by regional scientific communities. In Latin America and the Caribbean, the MOOC contributed to capacity building by educating participants about the history, impacts, risks, and opportunities for action to address climate change at local, national, and global levels.

BROAD OUTCOMES:

- PROFOR's strategic support enabled detailed inclusion of forest considerations into the TDTHIII report and thus contributed to raising awareness of the role of forests in climate mitigation and adaptation.
- TDTHIII reached millions of people with broad media

pickup by major networks such as Al-Jazeera Network, BBC, and CNN, and more coverage by national and local media outlets.

- The TDTHIII report informed development financing across the three regions. This included input into the World Bank Group's Strategic Country Diagnostics (SCDs) for several countries.
- The TDTHIII report contributed to capacity building for scientists, policy makers, and development practitioners.

KEY COMMUNICATIONS TAKEAWAYS:

- Careful flagship report planning, such as identifying key content needed to influence targeted audiences toward a desired action and a strategic launch date to garner significant attention, contributes to effectively informing a dialogue on a key topic.
- Development of the TDTHIII report itself built awareness of forest-related considerations among global and regional experts. In addition, the report vetting process afforded an opportunity to get forest-related information to senior World Bank Group staff across global practices and Country Management Units.

LESSONS FOR PROGREN:

- TDTHIII is a valuable example of what a flagship publication can achieve with thoughtful planning, coordination, and dissemination.
- To maximize reach and influence, PROGREN can organize flagship publications or contribute in flagships led by others. In addition, PROGREN should seize opportunities to bring forests into World Bank flagship publications on relevant topics and partner other thought leaders to contribute their flagship publications or create joint flagship publications.
- Timing matters very much when communicating and disseminating all knowledge pieces.



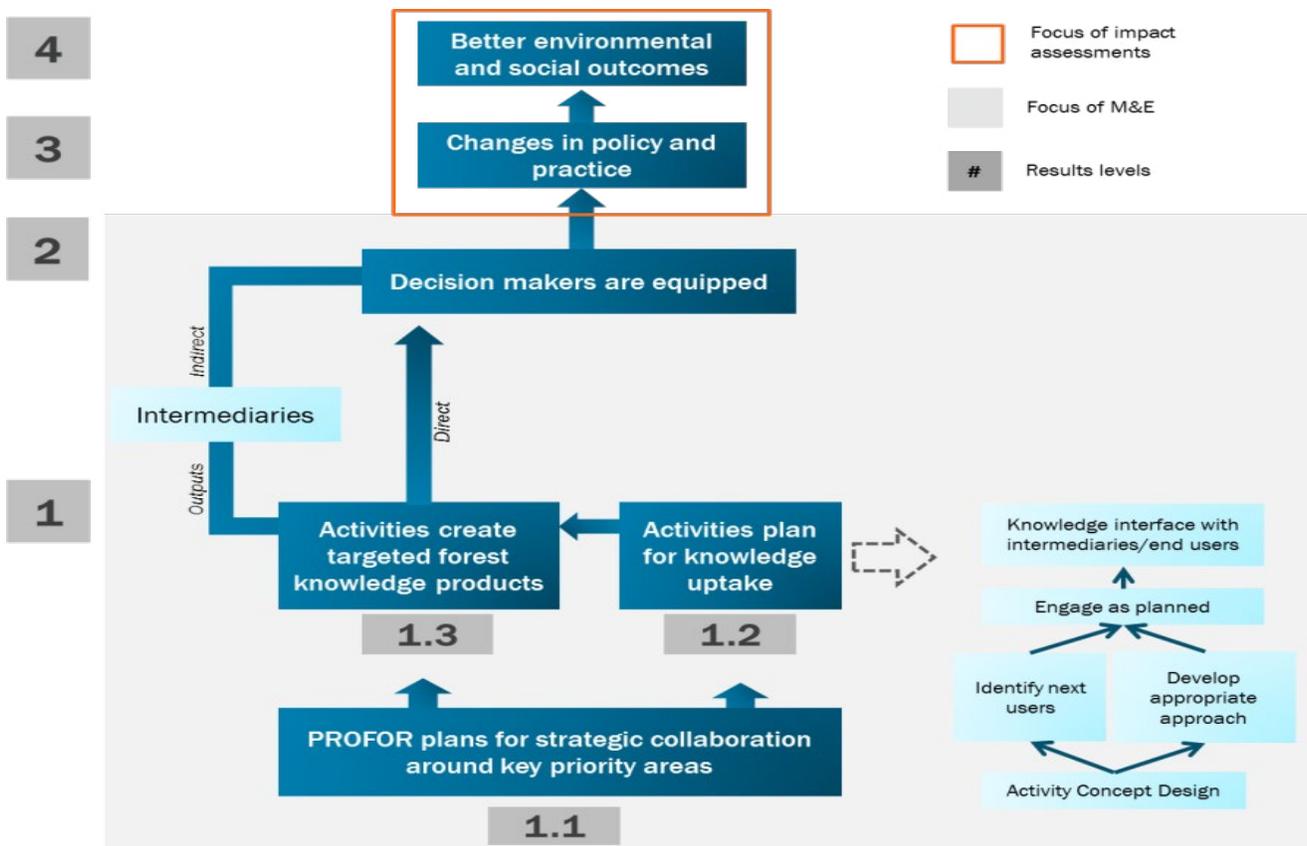
ANNEX B. MONITORING AND EVALUATION

The monitoring and evaluation (M&E) function under the PROFOR Secretariat was rather fragmented and mainly took place as an annual one-off exercise focused on drafting the annual report for the PROFOR Board meeting. After 2014, the M&E function was significantly improved with the hiring of a dedicated M&E specialist and the development of a unifying Theory of Change (ToC). The ToC informed the PROFOR pipeline, guided activity concept note development, and helped document and track the uptake and influence of PROFOR work. Concept notes, progress reports, and completion reports do include explicit articulation of uptake pathways and audience engagement in activity design and delivery. With this rigor in the design of activities in 2015 and following years, PROFOR could

track short-, medium-, and long-term outcomes across activities and to aggregate these outcomes for a program-wide view of results for knowledge uptake.

Acknowledging that PROFOR's primary role relates to the production and translation of knowledge, the ToC (figure B.1) charts how PROFOR expects to achieve influence through its work. Following best practice in knowledge uptake programs, the ToC focuses on understanding the networks through which knowledge and information travels to reach its intended audiences. The ToC makes the distinction between the ultimate desired impact of PROFOR's work and what it is feasible to attribute to PROFOR's direct efforts. It indicates the expectation that activity managers, that is, TTLs, will be able to

FIGURE B.1: PROFOR THEORY OF CHANGE FOR ACTIVITIES



demonstrate they have done all possible in their power to ensure that targeted policy makers and practitioners in developing countries were equipped with forest-relevant strategic knowledge, comparable evidence, reliable tools, and systematic analysis. Achieving this objective will then in turn contribute to broader impacts on poverty reduction, biodiversity conservation, governance, protection of climate, and other ecosystem services through improved management of forests and trees. However, at this level PROFOR-funded activities will be far less able to directly influence ultimate outcomes.

Source: PROFOR 2015, 16.

A valuable feature of PROFOR's M&E approach is the Project Activity Tracking System (PATS), which captures and aggregates outputs, reach, and influence generated by PROFOR activities, and also evaluates performance for completed activities to verify if objectives have been met. Using PATS, the following could be reported on:

- Number of completed activities, and if these met expectations for knowledge uptake
- Number of produced knowledge products
- Percentage of knowledge products that included gender-specific data
- Number of engagement processes/events and their participants (disaggregated by sex)
- Number of World Bank operations and national policies on SFM influenced by the production of knowledge products and their dissemination and/or by engagement processes

- Other (for example, collaboration with partners)

The M&E system proved to be an effective tool for informing the design of PROFOR activities and tracking and documenting PROFOR's impact. Clear and early articulation of a ToC, uptake pathways, and target audiences appears to help ensure that the engagement and know-how PROFOR generated was taken up and used. Since the adoption of the new M&E system, PROFOR activities have yielded an increase in knowledge products and engagement processes and a stronger focus on gender. Influence on World Bank operations remains strong with 1.5–2 operations influenced per activity. Annually, two national policies were influenced. However, over time the number of policies influenced was likely greater when looking beyond the time horizon covered by the PROFOR reporting cycle. The KNOWFOR evaluation completed in 2017 identified a strong level of influence one to two years after activity completion, when findings and recommendations had time to mature and be incorporated into the process of policy formulation. This was shown using a deep dive (2017), but there were some differences in the degree of successful uptake.

The design and implementation of the PROFOR M&E system has influenced other programs of the World Bank. Two new multi-sectoral multi-donor trust funds led by the Environment Global Platform—PROBLUE and PROGREEN—have adopted the approach to pathways of uptake and influence of knowledge products, dissemination, and engagement process. These programs also use PROFOR templates for concept notes, progress notes, and completion notes.

A large, leafy tree in the foreground of a lush, green forest landscape. The tree has a thick, dark trunk and a dense canopy of green leaves. In the background, there are rolling hills and mountains covered in dense forest, with a hazy sky above.

ANNEX C. PROFOR DONORS' PERSPECTIVES

Interviews revealed that knowledge uptake and influence frequently went beyond the targeted audience in client countries. For instance, representatives from donor organizations used PROFOR knowledge products to shape new ideas, to set the agenda within their own institutions and shared and discussed knowledge products, analytics, and more with colleagues.

One of them is Peter Saile, forestry adviser from GIZ, who was part of the PROFOR Board in calendar years 2016 and 2017. In his view, PROFOR operated like a think tank mandated to influence and mainstream the best available knowledge into a portfolio of active and pipeline projects. According to Peter, “When working on forests in developing countries, such an approach can’t be ignored.”

With its position within the World Bank, PROFOR influenced which topics made it to the forefront, got the attention and made it into the World Bank’s agenda. Linked to this, Peter observes, “It was interesting to see how the PROFOR team took the pulse of the sector and identified new topics. I always admired and liked this and the creativity.” An example of influence included the PROFOR approach to forest landscape restoration (FLR) in 2011. FLR was not a new concept but the pragmatic approach to it was strongly influenced by PROFOR. Peter notes, “What went on with PROFOR felt like dialogue between like-minded people trying to break new ground.”

Gaia Allison, forestry adviser from DFID and on the PROFOR Board 2013–2018, has similar observations. She notes that some of the PROFOR work, especially the forest governance toolkits and the forest-smart work on mining, were useful in building business cases.



ANNEX D.

COMMUNICATIONS

PROFOR's communications approach broadly followed a two-prong approach:

- **Targeted engagement with decision makers**, meaning direct engagement on findings of PROFOR research through meetings, presentations, workshops, or other outreach to help inform forest-sector policies or investments
- **General awareness raising among development practitioners and broader audiences** through a newsletter, website, feature stories, participation in high-profile events, and, in later years, blogs and social media

The approach evolved over the three periods of PROFOR.

ERA 1: 2002–2007

During this period, PROFOR communications systems such as the publication series were established. Emphasis was placed on contributing to the international dialogue on forests within the UNFF and supporting initiatives such as national forest programs (NFPs).

Aim: According to the 2002 PROFOR Communications Strategy, the primary aim was to “establish an effective mechanism for disseminating and sharing information, knowledge and experiences within countries, between countries, and between countries and international organisations and instruments.”

Approach:

- To provide strategic and targeted information related to PROFOR's key thematic areas to help countries develop their NFPs and to support international forest dialogue.
- To achieve maximum impact with limited resources, PROFOR established informal communication partnerships with other organizations undertaking complementary work, notably the NFP Facility, IUCN, and CIFOR. In addition to maintaining distribution lists, PROFOR used existing communication networks such as the IISD forests-I Listserv to reach target audiences.

Target audiences: Client countries, partner countries,

NFP supporters, international forest policy community and donors

Tools: Publications, email distributions lists (including partner lists), website, forests-I Listserv, newsletter, topic briefs, and events

ERA 2: 2008–2014

Aim: According to the 2010 PROFOR Communications Strategy, the goal of the updated communications strategy was to “enhance PROFOR's effectiveness and impact.”

Approach: PROFOR's growth called for a more ambitious communications strategy based on a multifaceted approach to (1) manage the PROFOR brand and identity, (2) disseminate knowledge, and (3) build partnerships. In particular, a complete website redesign focused on increasing its legibility, credibility, and searchability to enhance PROFOR's reputation and help disseminate knowledge and ideas. Through events like Forest Day alongside the UNFCCC negotiations and the International Year of Forests, PROFOR also consolidated partnerships that helped share key PROFOR knowledge and ideas in international forums.

Target audience: Client countries, partner organizations, donors, World Bank TTLs, international forest policy community and donors.

Tools: In addition to publications, website, newsletter, and events, during this period PROFOR embraced emerging communication and outreach tools, notably, the blog format for a less formal sharing of research findings. Starting in 2011, social media channels, including Twitter and Facebook, were used to reach audiences on an informal and more frequent basis. During this period, publications were given an International Standard Book Number (ISBN).

ERA 3: 2015–2020

During this period, formulation of an explicit Theory of Change and the rigor that followed influenced the communications approach. Each activity had clearly articulated targeted audiences and plans for reaching those audiences.

Aim: According to a 2015 PROFOR Communications Plan, the overall aim was to provide clients with knowledge and tools that help improve forest sector policies and practices, prioritize forests within national and global development plans, and raise awareness about forest-related development issues.

Approach:

- To facilitate uptake through articulation of audience, outreach, and engagement for each activity.
- To disseminate findings within the World Bank Group to inform operations.
- To deliver forest-related knowledge and tools to development practitioners.
- To raise awareness about forest-related development issues.

Target audiences: Client countries, TTLs for forests, TTLs for other sectors, development practitioners, and donors. The addition of TTLs from other sectors reflected PROFOR's shift toward generating knowledge to inform the behavior of those sectors that influence forest outcomes and the eventual establishment of forest-smart programs.

Tools: Publications, feature stories, blogs, social media, newsletter, Brown Bag Lunches (BBLs). Publications continued to get an ISBN until about 2016, when they were discontinued given that PROFOR publications are not sold in stores or libraries and are all e-books.

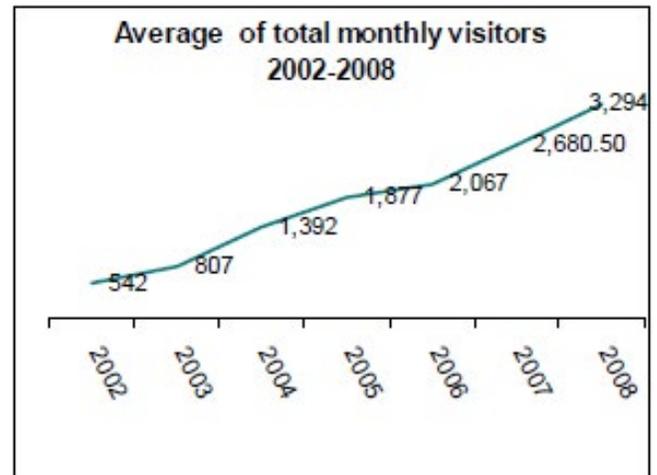
COMMUNICATIONS BY THE NUMBERS

Website and social media statistics provide some insights into PROFOR's reach, audience growth, and most accessed knowledge.

Website Statistics

The PROFOR website, PROFOR.info, was established in 2002 and has continued to run through 2020, with three renovations to the site, in 2008, 2010, and 2016. Consistent website statistics are not available across the full period because the hosting system for the website changed in 2008. From 2002 to 2008, stats were tracked by total monthly visitors, starting with 542 in 2002 and growing to 3,294 in 2008 (see figure D.1 below). These stats cover the first era of PROFOR (2002–2007) and show a steady growth in a web-based audience based on monthly visitors, which means total number of visitors coming to the site once or multiple times.

FIGURE D.1: PROFOR WEBSITE STATISTICS, 2002–2008



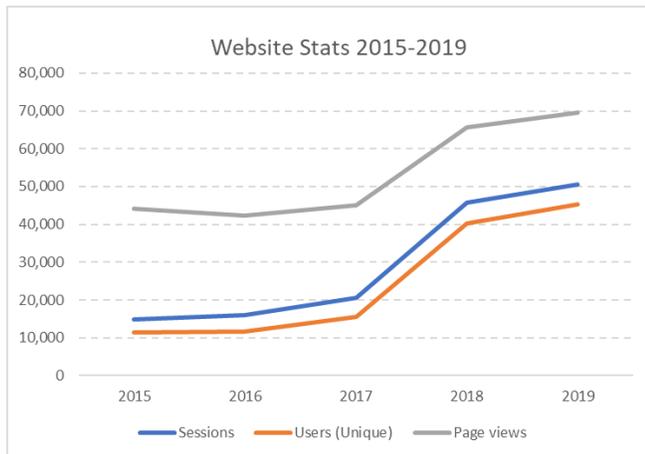
Source: PROFOR 2009.

During the second era of PROFOR (2008–2014), a new PROFOR website was implemented in 2010 and Google Analytics was used to track usage, allowing for consistent data over the period 2010–2019 (see figure D.2). The data for 2009 are incomplete and thus not included. The data tracked the following stats:

- **Sessions:** A group of interactions one user takes on the website within a given time frame
- **Unique visitors:** The number of distinct individuals visiting the website within a given time frame
- **Page views:** The total number of times a page on the website is loaded by a user within a given frame

The 2010 redesigned PROFOR website was organized according to the four thematic pillars, with use of keywords, summaries, and video interviews with authors serving knowledge dissemination purposes. It also allowed for blogs to communicate on major topics and share knowledge outside of formal publication channels. The audience continued to grow steadily from 2010 to 2013. The decline in users from 2013 to 2014 is attributable to a gap in communications staffing, further supporting that a well-staffed Secretariat is fundamental to program effectiveness.

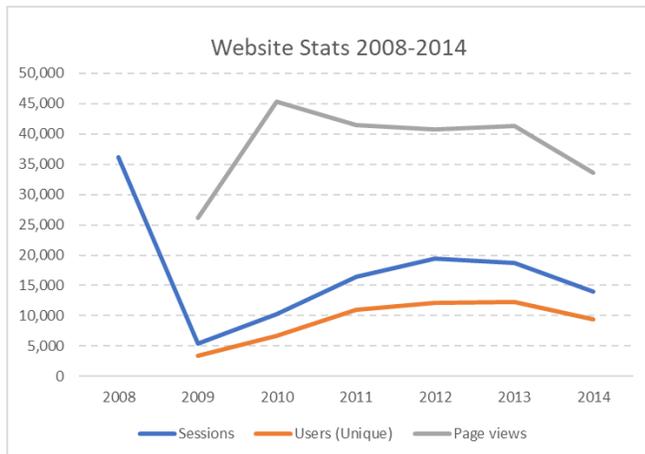
FIGURE D.2: PROFOR WEBSITE STATISTICS, 2008–2014



Source: Google Analytics.

In PROFOR’s third era, website traffic (users who visit the website) increased significantly in 2017 following the website’s redesign in late 2016 (figure D.3).

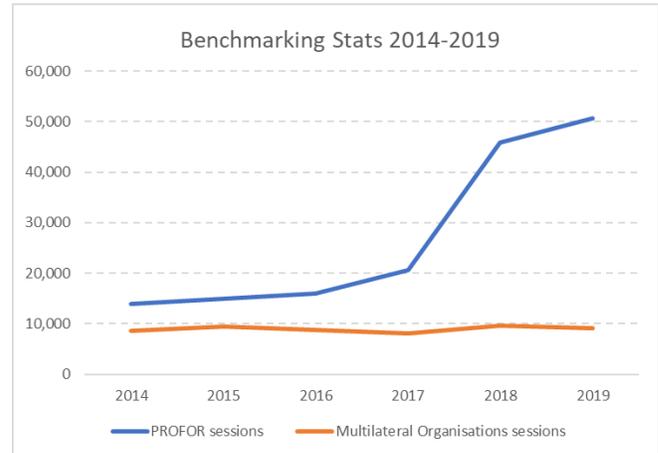
FIGURE D.3: PROFOR WEBSITE STATISTICS, 2015–2019



Source: Google Analytics.

Benchmarking PROFOR’s website performance against those of multilateral organization provides some perspective on PROFOR’s communications effectiveness. Benchmarking data through Google Analytics are available only for the five-year period 2015–2019. As figure D.4 shows, during this time, the PROFOR website significantly outperformed other multilateral organisation websites of the same size by 201.37 percent (161,911 vs. 53,725 sessions).

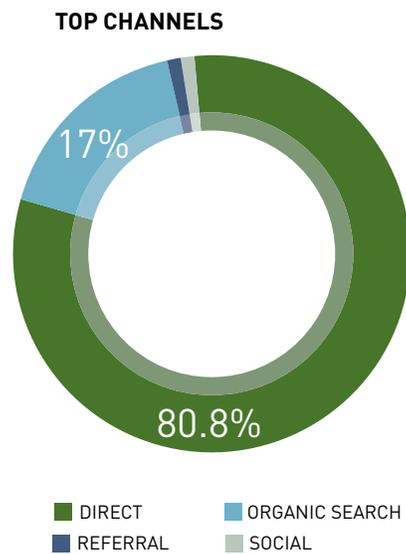
FIGURE D.4: PROFOR WEBSITE BENCHMARKING STATISTICS COMPARED WITH MULTILATERAL ORGANIZATIONS, 2014–2019



Source: Google Analytics.

For the period 2011–2019, the period for which we have consistent website statistics, traffic to PROFOR.info primarily came from direct sources (80.8 percent) (see figure D.5). These visitors arrived directly to the PROFOR website by (1) typing the PROFOR URL into the browser’s address bar; (2) clicking on a bookmark; or (3) clicking on a referring URL (a link to a webpage). Such links would have been provided through emails, newsletters, or products such as the annual report and compendium of PROFOR activities, meaning that website users were driven to the site through those links.

FIGURE D.5: PROFOR WEBSITE TRAFFIC BY SOURCE, 2011–2019



Source: Google Analytics.

FIGURE D.6: PROFOR WEBSITE SOURCE OF TRAFFIC BENCHMARKED AGAINST 2,159 MULTILATERAL ORGANIZATIONS, 2014–2019

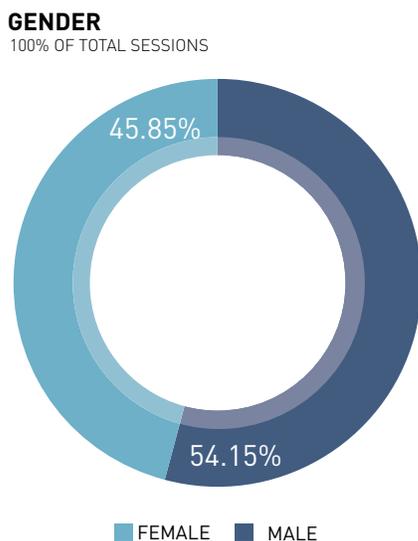
Default Channel Grouping	Acquisition		
	Sessions ? ↓	% New Sessions ?	New Users ?
	201.37% ↑ 161,911 vs 53,725	20.32% ↑ 81.75% vs 67.94%	262.60% ↑ 132,357 vs 36,502
1. Direct	276.01% ↑ 79,153 vs 21,051	28.03% ↑ 90.36% vs 70.58%	381.39% ↑ 71,520 vs 14,857
2. Organic Search	104.95% ↑ 62,524 vs 30,507	6.34% ↑ 76.37% vs 71.81%	117.95% ↑ 47,748 vs 21,908
3. Referral	21.83% ↑ 15,130 vs 12,419	-10.93% ↓ 65.62% vs 73.68%	8.51% ↑ 9,929 vs 9,150
4. Social	-68.24% ↓ 4,840 vs 15,237	-5.49% ↓ 63.64% vs 67.34%	-69.98% ↓ 3,080 vs 10,260

Source: Google Analytics.

As figure D.6 illustrates, the PROFOR site brings in 276.01 percent more sessions to the website through direct sources than the industry average. This shows the strength of the PROFOR brand and success of the email marketing efforts.

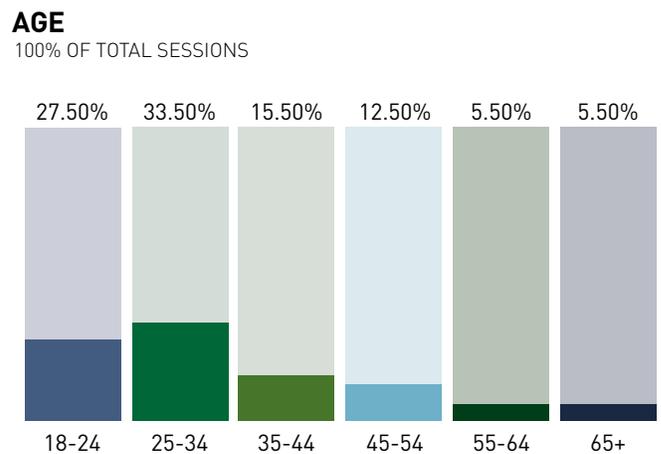
The top 10 country locations for PROFOR.info users were the United States, United Kingdom, India, Germany, Canada, Australia, Kenya, France, Indonesia, and Italy. However, top countries fluctuated over the years depending on PROFOR’s portfolio of activities and related outreach. Audience demographic analytics showed slightly more male (54.15 percent) than female (45.85 percent) use (figure D.7) and age skewed toward

FIGURE D.7: PROFOR WEBSITE USE BY GENDER, 2014-2019



Source: Google Analytics.

FIGURE D.8: PROFOR WEBSITE USERS BY AGE, 2014-2019a



Source: Google Analytics.

surprisingly younger audience in recent years, with 33.5 percent in the 25–34 age range, 27.5 percent in the 18–24 age range, and 15.5 percent in the 35–55 age range (figure D.8). This is likely due to PROFOR’s strong social media presence.

TOP KNOWLEDGE VIEWS, 2010–2020

Unfortunately, download tracking was not systematic over the life span of PROFOR; however, in 2018, Google Analytics enabled systematic tracking of downloads. The top 10 downloads from 2018 to the present are shown in figure D.9 and provide an indication of what PROFOR audiences found most relevant during that time period. From 2018 to April 2020, there were 14,873 downloads from the PROFOR website.

FIGURE D.9: PROFOR WEBSITE TOP 10 DOWNLOADS, 2018–APRIL 2020

Publication	Number Downloaded
Forest-Smart Mining Executive Summary	465
Forest-Smart Mining for Artisanal Scale Mining (ASM)	348
Securing Forest Tenure Rights	301
Forest-Smart Mining for Large Scale Mining (LSM)	260
Poverty-Forests Linkages Toolkit	221
Engagement in Productive Forests for Green Growth	217
Get Forest Smart: 2016 Annual Report	217
Adaptation-Based Mitigation in Honduras	197
Guide to Assessing and Monitoring Forest Governance	196
Understanding the Role of Forests for Livelihoods and Climate Resilience: Case Studies from the Philippines	

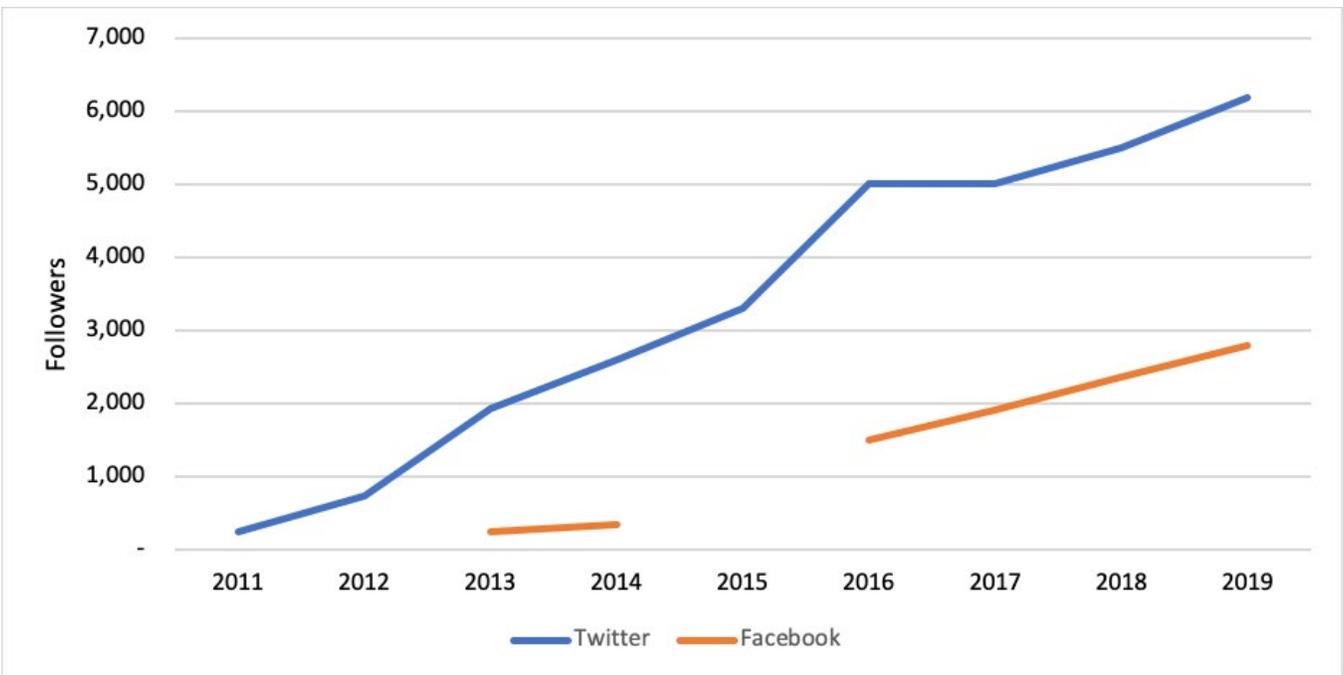
Source: Google Analytics.

SOCIAL MEDIA

The social media channels, established for PROFOR in 2011, have provided a means to share brief forest-related facts and findings more frequently, reach audiences more

frequently (and possibly reach a broader audience that includes the general public), and provide links that direct people to more detailed content on the website.

FIGURE D.10: PROFOR SOCIAL MEDIA STATISTICS, 2011–2019



Source: Twitter analytics, Facebook analytics.

NEWSLETTER: SUBSCRIBERS AND OPEN RATES

In 2013, the PROFOR newsletter was moved from a manual email distribution list to Constant Contact, a distribution platform that provides more creativity and

audience analytics. Newsletter subscriptions have grown steadily. Perhaps more important, open rates for the newsletter have improved dramatically and are now far above the industry average of 10–15 percent.

TABLE D.1: NEWSLETTER SUBSCRIBERS AND OPEN RATES

Year	Subscribers	Open Rates
2019	3,071	57%
2013	1,675	22%

Source: Constant Contact Analytics.





ANNEX E.

COUNTRY SUMMARIES

1. BRAZIL: ADDING VALUE AND FILLING GAPS IN KNOWLEDGE FOR THE WORLD'S LARGEST TROPICAL FOREST COUNTRY

While PROFOR worked consistently in Brazil from 2003 onward, financing for projects in Brazil was lower per hectare of forest than in many other countries where

PROFOR worked. Beyond the country-level work that PROFOR supported in Brazil, the country provided many useful case studies and examples for regional and global-level PROFOR-funded activities. Brazil has also been an enduring location for many global-level convenings on forestry and land use, including the World Conference on Ecological Restoration, and the Rio+20 conference in 2012.

TABLE E.1: PROFOR PROJECTS IN BRAZIL

Project title and code	Objective	Financing (US\$)	Date
Screening Brazil Competitiveness Programmatic Operation	To identify potential impacts on forests.	\$140,000	2003
Brazil Land Administration Study P095907	Along with other donors, PROFOR helped finance a study focusing on land management policies in the Brazilian Amazon. A better understanding of the dynamics of land grabbing and land speculation as well as of the impact of current policies and of the institutions mandated to implement them could help influence and design new policies to better manage the race for property rights in the Amazon.	\$129,000; \$213,332.81 in cofunding	11/2005– 12/2008
Scaling Up Renewable Charcoal Production P124989/TF099987	PROFOR and the BioCarbon Fund cofunded a study designed to identify institutional and financial arrangements required to mainstream forest plantation business models and promote the potential development of CDM projects aimed at reducing GHG emissions in the forestry and iron supply chains in the state of Minas Gerais.	\$48,000	4/2012– 6/2012
Impacts of Climate Change on Rural Landscapes in Brazil P130721/TF099225	To contribute to the South American initiative, particularly in the Amazonian region, to produce high-resolution climate scenarios for impact assessments, and to an EU-sponsored activity to enhance climate data collection, storage, and access.	\$131,000	6/2012– 6/2013

<p>Sao Paulo Mechanisms to Incentivize the Reestablishment and Scaling-up of Native Species Forest Plantations</p> <p>P108443/TF017716</p>	<p>To support the state of São Paulo in assessing the feasibility and readiness of their native forest replanting program, through (a) assessing, validating, and adjusting, as needed, the analysis carried out on the economic viability of the proposed SFM (SFM) models; (b) assessing market potential for the identified products; and (c) supporting the elaboration of a business model for a multipurpose pilot forestry plot.</p>	<p>\$223,000; \$280,000 in cofunding</p>	<p>7/2014– 12/2018</p>
<p>Forest Resilience Scenarios for the Southern Amazon: Managing the Agricultural Frontier</p> <p>P143184/TF018481</p>	<p>To provide guidance to key local and national stakeholders on the design of policies and measures with the aim of maintaining the resilience of the southern Amazon forest in the face of climate change; increasing forest degradation, fire risks, and associated greenhouse gas emissions; and increased global demand for agricultural commodities.</p>	<p>\$118,000; \$95,200 in cofunding</p>	<p>7/2014– 8/2017</p>
<p>Improving Social Inclusion in the Debate on the REDD+ Benefit-Sharing System Under the Context of the Brazilian REDD+ Initiatives in the Amazon Biome</p> <p>P152285/TF0A5458</p>	<p>To improve social inclusion in the debate on the REDD+ (Reduced Emissions from Deforestation and Forest Degradation) benefit sharing under the context of the Brazilian National REDD+ Strategy—with focus on Amazon—and among the Brazilian Amazon state governments.</p>	<p>\$265,000</p>	<p>11/2017– 3/2019</p>

UPTAKE, INFLUENCE, AND ENGAGEMENT

- An implicit decision was made in the early years of PROFOR to focus not on large forested countries, such as Brazil, but instead on countries that otherwise would not have substantial forestry investments from international donors. Rather than building upon work done in a specific region of Brazil or on a particular theme, PROFOR work was spread across regions and themes to add value to the most pressing issues at the time.
- The Brazil Land Administration study found that much of the deforestation in the Amazon was caused by insecure land tenure and sought to resolve this by convening diverse stakeholders to identify the most pressing issues and potential solutions to improve secure land tenure. While uptake was initially slow for political reasons, in 2008 the minister of strategic affairs followed the recommendations of the study and created a new agency to implement land regularization reforms in the Amazon.
- The “Impacts of Climate Change on Rural Landscapes in Brazil” project has contributed to EMBRAPAs Agroecological zone model to improve climate projections and feed into national rural credit and insurance programs in Brazil.
- The discussions and consultations that have taken place during implementation of the “Sao Paulo Mechanisms to Incentivize the Reestablishment and Scaling-up of Native Species Forest Plantations” project as well as the findings of the four completed studies have increased the knowledge and relevance of multipurpose forests, including native tree species. This project was developed in a participative and iterative manner with relevant stakeholders, and therefore its relevance was ensured at each step.
- The work of the “Forest Resilience Scenarios for the Southern Amazon: Managing the Agricultural Frontier” project on fire risk has proven to be increasingly relevant as fires have become widespread in the southern

Amazon in recent years. This project built upon previous PROFOR work, namely the work on “Impacts of Climate Change on Rural Landscapes in Brazil.”

LEVERAGING INVESTMENTS

- The “Sao Paulo Mechanisms to Incentivize the Reestablishment and Scaling-up of Native Species Forest Plantations” project fed into the regional PROFOR activity “Close to Nature Planted Forests (P132846)” throughout South America.
- The “Scaling Up Renewable Charcoal Production” project influenced the Brazil Country Partnership Strategy for 2012–2015, and directly contributed to the Minas Gerais Development Policy Loan (P121590), for \$450 million.

Sources: PROFOR website; interviews conducted December 2019; PROFOR project documents

2. CHINA: THE BEST TIME TO REFORM A COUNTRY’S FOREST GOVERNANCE WAS 20 YEARS AGO. THE NEXT BEST TIME IS TODAY.

Significance: China’s forests are unique because of their large area, the biodiversity they harbor, and the ecosystem services they provide. Importantly, forests

hold a large potential in alleviation of rural poverty. Many changes have affected the forests through the country’s long history. Harvesting, overgrazing, and shifting cultivation have denuded vast areas where abundant forests once stood. However, in recent years, new models for participation and engagement of people and private sector in restoration and management of forests have emerged.

PROFOR supported forest sector policy dialogue through World Bank staff. New analysis and information on forest tenure systems, tenure reform processes, and decentralized forest management arrangements supported the dialogue. China also requested insight into the relevant lessons learned from global experience with ecosystem service payments and requested capacity building support to develop timber supply models to forecast China’s timber supply and trends, and, importantly, analysis of the influence of China’s timber production on world timber supply. PROFOR also supported dialogue processes on certification, illegal wildlife trade, governance reforms in international perspective, and stakeholder mapping to promote legal timber trade (Russia–China). Most recently, PROFOR analysis had a profound influence on a large-scale forest operation aiming at more resilient forest landscapes.

TABLE E.2: PROFOR PROJECTS IN CHINA

Project title and code	Objective	Financing (US\$)	Date
China: Forestry Supply P090719 TF051840/TF051864	The project was to train Forest Economic Development Research Center (FEDRC) staff in formulation and estimation of economic models of forest/timber supply. FEDRC staff surveyed the literature on forest supply models, selected an important forest supply region (Heilongjiang Province) for study, collected data, and developed and used a supply model to explore policy issues.	\$170,000	3/2008–7/2010
China: Collective Forest Tenure P102694/TF051840	The proposed analytical work on collective forest land tenure and regulatory reform study intended to provide better understanding of the current tenure situation, identify constraints and opportunities for further reform on collective forestland tenure, and assess the performance of different tenure reform systems currently being experimented by the provinces.	\$236,000	7/2009–7/2010

Reform of State Forest Management in Northeast China P121870/TF096883	The objective of the AAA was to develop a road map for the State Forestry Administration of China to support policy and institutional reforms in the management of state-owned forests in northeast China, with the aim of enhancing management efficiency, economic viability, resource sustainability, and local livelihoods.	\$144,000	7/2010–7/2013
Impacts of China's Forest Tenure Reform: Implications for Policy Makers P126332/TF099436	By analyzing the information collected in two surveys, the proposed activity would provide up-to date policy relevant analysis of key aspects of China's forest tenure reform, in particular, (i) the impact of reforms on households' livelihood strategies and investments; (ii) the extent to which reforms allowed emergence of transparent and well-functioning markets for forestland to attain efficiently sized operations rather than excessive fragmentation or concentration; (iii) the nature and impact of collective action at the village level to effectively manage forests and provide local public goods; and (iv) determinants of households' labor allocation and the extent to which local labor and credit markets function and allow households in forest-dependent villages to make the best use of their endowments.	\$149,000; \$60,000 in cofunding	5/2011–12/2012
Forest Management and Financing in China P161175/TF0A3353	To improve the knowledge on SFM that contributes to the achievement of China's climate change mitigation and adaptation commitment (Nationally Determined Contribution) on forest.	\$250,000; \$50,000 in cofunding	2/2017–10/2019

UPTAKE, INFLUENCE, AND ENGAGEMENT

- On tenure, the PROFOR work documented the impact of the reform process, providing evidence for formulation of policy measures.
- On supply of wood and timber, through a learning-by-doing approach, PROFOR built capacity within the State Forest Administrations to predict the impacts on forest product supply, land allocation, and other related resources of developments and changes in forest management institutions (tenure, forest farm organization), timber taxation, forest products marketing, international trade, and other policies being targeted for reform.
- PROFOR laid out opportunities for national payment for environmental services (PES) schemes. Drawing on lessons from successful PES experiences throughout

the world, the aspects best suited to China's needs were identified and shared. The Chinese International Council on Environment and Development drafted policy recommendations for possible future course of action for China on PES. The support was provided during the second phase of China's PES program, the largest worldwide (\$150 billion).

- On forest management and financing, PROFOR-funded activities helped identify challenges of forest management in China, assessing lessons learned from domestic and international organization-financed forestry programs, and recommended a pathway toward SFM. The work included recommendations on policy and forest management regimes that need to be further improved to enable the scale-up of improved forest management practice.

- PROFOR recommended (with models provided) that traditional monoculture should be replaced with mixed species multifunction plantations with diversified species and stand structure, which would improve forest quality and functions with a balance of ecological, economic, and social benefits. It also recommended that the private sector be incentivized to invest in forest management with the participation-oriented PES being taken as an alternate for poverty alleviation.
- In many instances, PROFOR filled a critical knowledge gap by providing much needed data. For instance, PROFOR supported collection of baseline data on the second phase of a collective forest tenure reform that affected about 70 million rural households.
- PROFOR could also question established wisdom. As an example: Did forest outcomes in China really improve after collective forest tenure reform allocated 80 percent of the country's forests to individual households?

LEVERAGING INVESTMENTS

- Forestland tenure reforms impacted 70 million rural households and 147 million hectares of forest land (roughly 60 percent of China's forestland). Findings from the PROFOR-funded activities showed that the reform process has resulted in a 150 percent increase in the area under afforestation compared with areas where there were no reforms. PROFOR-supported researchers participated in the midterm evaluation of the tenure reform, a tremendous opportunity for the activity to contribute to policy processes.
- Considering the recommendations made by the review of forestland tenure reform policy and its implementation, the World Bank Integrated Forestry Development Project (\$200 million) supported this ongoing government policy to facilitate delivering use-right certifications to individuals on collective forestland and provided technical and institutional

support to the policy implementation, which has demonstrated very good practice in creating incentive and ownership to local farmers for SFM.

- China's "Conversion of Cropland to Forest Program" is one of the world's largest national PES programs, with over 32 million rural households enrolled and 28 million hectares converted to forest since 1999. PROFOR contributed to the continued success of the program through collation and sharing of international experience on PES as demanded by China.
- Knowledge generated from the work on forest management provided input to an IBRD forestry Program-for-Results operation of \$500 million in the Yangtze region of China in 2019. Data and analysis from this work also helped in drafting policy and regulatory recommendations for the next stage forestry development strategy, including the 14th five-year plan development and long-term forestry.

3. INDONESIA: SUSTAINED AND CONSISTENT ENGAGEMENT BUILDS A FOUNDATION FOR CHANGE

PROFOR involvement in Indonesia began with a project to spur dialogue and stakeholder engagement on forestry. Five subsequent projects have supported stakeholder engagement and governance, involving numerous stakeholders from the government to indigenous peoples and local communities. Recent projects have focused on developing or improving specific policies relating to forests in Indonesia. Dialogue started in 2005 after 15 years of absence in the sector and paved the way for much of the work that is currently taking place in Indonesia. Indonesia is one of the few countries that PROFOR was consistently engaged in, among the 54 countries PROFOR funded. Indonesia is one of only three countries that was funded in each of the three eras of PROFOR.

TABLE E.3: PROFOR PROJECTS IN INDONESIA

Project title and code	Objective	Financing (US\$)	Date
Indonesia Natural Resources Dialogue P096863	Forest Transparency Initiative, Forest Law Enforcement Initiative, Forest Sector Assistance Strategy Follow-up.	\$336,000; \$355,000 in cofunding	6/2006–1/2011
Analysis of Forest Land Use Options for Reducing Carbon Emissions from Deforestation and Degradation	Multistakeholder Indonesia Forest Carbon Alliance and establishment of FCPF.	\$125,000	2007
Analyzing Paths to Sustainability in Indonesia: Smallholder Livelihoods and Adaptation Strategies at the Forest Edge	Analytical and case work on ecological and social impacts of macro-policy reform.	\$200,000	2007
Indonesia Environment and Natural Resources Platform P107557	Contribute to the development of approaches, mechanism, and methodologies for a supply chain for forest carbon to market and help formulate pilot initiatives that could be presented at the COP13.	\$271,000; \$70,000 in cofunding	7/2007–1/2011
Analysis of Alternative REDD+ Financing Mechanisms P124086/TF099409	Support high-level government of Indonesia decision makers in key economic and policy management agencies (UKP4, CMEA, MOF) in designing and evaluating institutional and policy options for addressing fast-moving issues related to climate financing instruments and institutions. Establish framework/platform for deeper engagement and coordination on climate finance instruments and analytical products.	\$149,000; \$1,293,000 in cofunding	9/2010–10/2013
Benefits Sharing and Customary Land Rights in Forest Area Schemes P143304/TF013558	Support consultative dialogue processes related to the inclusion of marginalized and indigenous communities in emerging forest, REDD+ and land tenure dialogue processes.	\$182,000; \$90,000 in cofunding	9/2012–3/2015
Global Review of ICT tools for Forest Knowledge Management and Information Systems P149183/TF0A0655	Undertake a rapid stocktaking in the use of global good practice in modern information and communication technology advances and to use this in the development of a comprehensive knowledge management and information system (KMIS) in Indonesia.	\$116,000; \$13,000 in cofunding	4/2015–9/2016

<p>Lowlands Multi-Sectoral Development and Restoration Options Analysis P156489/TF0A3471</p>	<p>Assist the government of Indonesia in formulating a sustainable and socially inclusive strategy and prioritized action plan to facilitate restoration, management, and development of the lowland areas of Indonesia to address fire and haze.</p>	<p>\$300,000; \$1,000,000 in cofunding</p>	<p>8/2016–12/2019</p>
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UPTAKE, INFLUENCE, AND ENGAGEMENT

- PROFOR began to work in Indonesia in 2005; it coordinated with large forest development partners including CIFOR, the EU, DFID, GIZ, and WWF Indonesia.
- Engagement was focused around issues relevant to Indonesia at the time, that is, stakeholder engagement and governance, with less focus on technological responses.
- PROFOR helped establish trust with several important stakeholder groups, including Aman (the national network of indigenous peoples in Indonesia), the REDD task force, and the Ministry of Forestry.
- To disseminate findings to varied stakeholders, projects used a range of approaches, including short information briefs, events, and social media.
- TTLs developed PROFOR-funded activities in collaboration with the government of Indonesia, which resulted in projects that were both useful and influential, filling urgent information gaps.
- A PROFOR activity on geothermal energy and forestry also opened the space for policy dialogue between the Ministry of Energy and the Ministry of Forestry. This led to a national strategy on the issue and influenced private sector initiatives on geothermal energy in Indonesia.

LEVERAGING INVESTMENTS

- Activities in Indonesia that were especially impactful include a project on mitigating risk to forests and people from geothermal energy, which was part of a Development Policy Loan for \$600 million, that also influenced a project on Geothermal Resource Risk Mitigation for \$150 million.
- Other projects that leveraged operations include “Indigenous Peoples Land Use Planning” in 2012 that influenced the Dedicated Grant Mechanism (part of the Forest Investment Fund) to Indonesia for \$6 million. The “Lowlands Multi-Sectoral Development and Restoration Options Analysis” project led to an operation on “Forest Fire Oppression and Development” in 2016 for \$200 million.

Sources: Interviews conducted November 2019, January 2020; project completion/progress reports; conversation with Werner Kornexl, PROFOR manager, February 2016

4. MOZAMBIQUE: ANALYSIS AND TOOLS TO TRIGGER PROGRAMMATIC ENGAGEMENT

A handful of PROFOR-supported activities, the first one initiated in 2013, have enabled customized analysis of important challenges in the sector. These include private sector incentives for plantations development, trade-offs between conservation and development, legal reforms, poverty, and strengthening of institutions and governance. Several recommendations from these activities have been incorporated into a World Bank project (MozFIP) and are expected to be implemented under the government of Mozambique’s National Forest Program and Forest Sector Agenda 2035.



TABLE E.4: PROFOR PROJECTS IN MOZAMBIQUE

Project title and code	Objectives	Financing (US\$)	Date
Biodiversity Offsets Toolkit and Sourcebook P146347/TF015587	To facilitate the appropriate use of biodiversity offsets by making the needed information readily accessible to World Bank group staff and clients, along with other development practitioners, in Sub-Saharan Africa as well as globally. The second main objective was to identify potential future actions that could lead to the establishment of an aggregate offset system within two pilot African countries (Liberia and Mozambique).	\$137,000 (prorated from a total activity cost of \$410,000)	07/08/13– 10/8/16
Mozambique Business Climate for Planted Forests P149134/TF017361	(1) To enhance the government of Mozambique's and local authorities' capacity to promote investments in planted forests as means for poverty reduction, income generation and economic development; and (2) to improve knowledge on necessary conditions for good quality investments in planted forests.	\$278,000	05/12/14– 12/31/16
Mozambique Forest Landscape, Financial, and Governance Assessment P129413/TF0A2656	To support Mozambique's Forest Law Review and build critical capacity for forest landscape planning at the national and subnational level. This will be achieved by assessing forest governance in the country, the financial viability of forest concessions, and district planning for forest restoration activities by using, adjusting, and testing available tools. These reviews will be integrated in the ongoing national forest policy dialogue and presented at a regional conference on the miombo ecosystem in Maputo.	\$117,500	04/24/16– 03/31/17
Forests, Resources, and Poverty in Sub-Saharan Africa: Geospatial Analysis for planning and Improved Decision Making P157310/TF0A4352	To develop and share innovative geospatial analysis on forest, resource, and poverty interactions in 20 countries in Sub-Saharan Africa to improve understanding and decisions about countries' development trajectory.	\$250,000	12/12/16– 06/30/18
Upscaling Nature-Based Flood Protection in Mozambique's Coastal Cities P123201/TF0A5808	To support the government of Mozambique in the upscaling of nature-based solutions for urban flood risk management, particularly in coastal cities, and leverage the lessons learned in Mozambique to support the future application of similar solutions in the wider Africa region.	\$250,000	08/16/17– 06/30/20

A Forest Sector Agenda 2035 for Mozambique P160033/TF0A5064	To influence forest policy and decision making in Mozambique. The activity will support the preparation of a Forest Sector Agenda 2035 for Mozambique which in turn will feed in to the preparation of Mozambique’s National Forest Program. The agenda will outline a set of objectives for forest and land use and economic development of the forest sector, detailing present and future trade-offs as well as potential conflicts.	\$610,000	03/07/17–08/30/19
Land Use Planning for Enhanced Resilience of Landscapes (Laurel) in Madagascar and Mozambique P160760/TF0A5809	To support integrated decision making for landscape management across sectors and levels of government in two pilot countries—Madagascar and Mozambique—through improved spatial data on land degradation, and through the development of prototype platforms for simulating, evaluating, and reorienting, as appropriate, land use and land use change processes.	\$937,000 (pro rated from a total activity cost of \$1,874,000)	09/12/17–12/31/19

UPTAKE, INFLUENCE, AND ENGAGEMENT

- Broke new ground in understanding how planted forests could be promoted in Mozambique. It unbundled the competitiveness challenges of commercial wood production in the country, to improve private sector incentives to invest in plantations (P149134).
- PROFOR activities were focused on exploring policy reform options such as the revision of forest legislation and strengthening forest governance (P129413, P160033).
- They have been a significant source of information for the Country Forest Note.
- PROFOR activities have facilitated positive engagement between the government and the private sector and between the poor rural communities and the government.

LEVERAGING INVESTMENTS

- The PROFOR activities have produced important information for the design of the MozFIP project (\$47 million).

- Under the umbrella of Agenda 2035, the findings of these activities will be consolidated to inform policies and actions to enable SFM, and orient long-term priorities for investments in the sector.
- A strong foundation for long-term engagement between the Bank and the client has been established (to undertake additional investments).

Sources: PROFOR activity progress and closing reports; Mozambique CFN; MozFIP PAD; Mozambique forestry team

5. MYANMAR: OPENING DOORS TO FOREST SECTOR ENGAGEMENT AND DIALOGUE

PROFOR began to reengage after more than 30 years of absence in the Myanmar forest sector in 2018 through the Country Environmental Assessment, which sought to critically assess the strengths and limitations of Myanmar’s environmental and natural resources management. As part of this assessment PROFOR supported a thorough assessment of the forest sector. A country forest note, which will give an overview of the forest sector and drivers of deforestation in Myanmar, is currently in progress and will be finished in 2020.

TABLE E.5: PROFOR PROJECTS IN MYANMAR

Project title and code	Objectives	Financing (US\$)	Date
Myanmar CEA Forest Sector Review P168254/TF0A6953	To improve participatory SFM and increase benefit from forests to communities in target areas.	\$221,000; \$261,000 in cofunding	10/2018– 12/2019
Myanmar Country Forest Note P169870/TF0A9672	To inform country dialogue on social and economic contributions from forestry and analyze cross-sectoral dimensions, with focus on forest tenure and wood fuel.	\$130,000	2/2019– 12/2019

UPTAKE, INFLUENCE, AND ENGAGEMENT

- The Country Environmental Assessment (CEA) was anticipated to start a dialogue on certain aspects of Myanmar’s forest sector, namely, community forestry and forest restoration, which are key policy shifts in Myanmar, aligned with its social and political transitions toward peace, democracy, and a market economy to facilitate social inclusion and peace.
- The CEA was finished in time to provide recommendations to the new Systematic Country Diagnostic (SCD) for Myanmar, which was drafted in 2019 and will subsequently lead to the Country Partnership Framework (CPF) that will guide World Bank operations in Myanmar for the next five years.
- The CEA Forest Sector Review has also furthered dialogue with the Ministry of Natural Resources and Environmental Conservation (MONREC) Forest Department, and the Ministry of Agriculture, Livestock, and Irrigation (MOALI).

LEVERAGING INVESTMENTS

- The dialogue that was bolstered by the CEA and CFN drafting process, as well as the recommendations provided by the CEA, has directly led to the development of a pipeline project on forestry in Myanmar, the \$100 million IDA Forest Restoration, Development, and Investment Project.
- Myanmar also discusses another loan from the French Development Agency (AFD) to support other regions

which also builds on the recommendation and design of interventions. Scope is still to be defined.

- Recommendations specifically on community forestry provided by the CEA were incorporated into the Peaceful and Prosperous Communities Project (\$200 million), and the Rakhine Development Project (\$100 million).

Sources: Interview conducted January 2020; project completion/progress report; World Bank Myanmar site (extracted March 2020)

6. RUSSIA: EARLY ENGAGEMENT ON POLICY REFORMS LAYS THE FOUNDATION FOR FUTURE SECTOR INVESTMENTS

In 2002, the president of Russia publicly committed on improving the investment climate for forestry and encouraging sustainable development of the sector. As a result, forests assumed center-stage importance in Russia’s reform agenda.

The Russian government sought help to remodel the institutional and economic framework of the sector, so that the forestry could benefit the country to its fullest potential. PROFOR, in close coordination with the Russia CMU, was able to respond immediately. Through continuous engagement between 2003 and 2005, it shared international best practices and helped lay the foundation for deep reforms for the sector, in a relatively short period of time. This was achieved in partnership with FINNIDA, GEF, the government of Russia, SIDA, and the World Bank.

TABLE E.6: PROFOR PROJECTS IN RUSSIA* THIS AMOUNT HAS BEEN ESTIMATED.

Project title and code	Objectives	Financing (US\$)	Date
Support for Russian Forest Sector Reforms	To support the ongoing Russian forest policy and institutional reform process (new Forest Code and associated regulations), which would favor transition to more sustainable and sound forest management.	\$140,000	2003–2005
Support for ENA FLEG	To (a) promote European and Central Asia and East Asia and Pacific client countries participation, including the implementation of background studies; (b) ensure collaboration among task teams for this initiative; (c) coordinate the process and provide guidance and assistance to the Secretariat of the conference; and (d) ensure the participation of the private sector and civil society.	\$350,000*	2/22/05–2/2/06
Enabling the Russian Forest Sector to Attain Sustainability Through Governance Reforms P118837	Apply the PROFOR forest governance assessment tool as a first step toward evidence-based reform of forest governance in the country.	\$250,000	11/01/11–06/01/12

UPTAKE, INFLUENCE, AND ENGAGEMENT

In February 2003, an international workshop on “Institutional Changes in Forest Management in Countries with Transition Economies” was held in Moscow, in conjunction with the National Foresters’ Congress in the Kremlin. It included representatives from 16 regions in Russia and from 18 other European countries. Decision makers within the Russian forest sector learned from the experience of Western European countries as well as from transition countries that had gone through recent policy and institutional reforms. The workshop recommendations informed policy makers on the process of forest institutions and policy reform. These recommendations were subsequently published and disseminated in English and Russian.

- In June 2003, a workshop on “Problems and Prospects of Forest Concessions in Russia” provided an opportunity to discuss forest concession arrangements and experience relevant to the Russian situation

and resulted in a publication on the topic. The recommendations from that workshop informed the drafting of the revised Forest Code for Russia. Discontinuing the system of noncompetitive allocation of leases was a key revision.

- The PROFOR-supported dialogue led to the launch of a primarily Russian-language publication series, “Changes in Forest Management in Transition Economies.” The series enabled government officials, policy makers, and practitioners in the forest sector of Russia and other countries with transition economies in exchanging experiences and lessons from recent and ongoing changes in the national and local management practices.²³

LEVERAGING INVESTMENTS

- What began as an ad hoc dialogue was transformed into a highly influential series of targeted, on-demand, thematic workshops and publications jointly sponsored

23 Six high-profile publications were produced between 2003 and 2005: Institutional Changes in Forest Management; Development of Forest Concessions; Fire Management at an Ecoregional Level; Federalism and Decentralization in Forest Management; Training Needs in Forest Sector Reform; and Public Enterprises for Forest Management.

by the World Bank, PROFOR, and the Ministry of Natural Resources, which provided up-to-date and vital inputs (based on global best practices) to the reform of policies and codes for the Russian forest sector.

- This engagement also promoted a healthy dialogue between the Bank and the Russian government and

paved the way for large investment loans for the sector (for example, Russia Forest Fire Response Project, P123923, \$33 million).

Sources: PROFOR activity; progress and closing reports

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