



## **MID-TERM REVIEW OF THE CAFI FUND FINAL REPORT**

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## ACRONYMS

ACTEDD	Congolese Agency for Ecological Transition and Sustainable Development
AFD	French Development Agency
CAFI	Central African Forest Initiative
CAR	Central African Republic
CARG	Rural Agricultural Management Committee
CAT	Technical Assistance Cell
CBPF	Congo Basin Partnership Facility
CLD	Local Development Council
CIRAD	Research Center for Agricultural Development
CIFOR	Center for International Forestry Research
CLIP	Free Prior Inform Consent
CNAP	National Land Use Planning Commission
CLAT	Local Land Use Planning Commission
CPAT	Provincial Land Use Planning Commission
CNC	National Climat Council
COMIFAC	Central African Forest Commission
CONAREF	National Land Reform Commission
CP/GTCR-R	Provincial Coordination of the REDD+ Climate Group – Renewed
CN/GTCR-R	National Coordination of the REDD+ Climate Group – Renewed
COFIL	Steering Committee
COPIRAT	National Inter-Ministerial Commission for Land Use Planning
CSO	Civil Society Organisation
DRC	Democratic Republic of Congo
EB	Executive Board of CAFI
ECOFAC	Central African Fragile Ecosystems Program
ENABEL	Belgian Development Agency
FAO	UN Food and Agriculture Organization
FCPF	Forest Carbon Partnership Facility
FIP	Forest Investment Program
FLEGT	Forest Law Enforcement Governance and Trade
FONAREDD	National Redd+ Fund (DRC)
FRA	Forest Ressource Assessment
FREL	Forest Reference Emission Level
FSC	Forest Stewardship Certification
GCF	Green Climate Fund
GDA	Sustainable Agricultural Development Program
GEF	Global Environment Fund
GIZ	German Agency for International Cooperation
GTCR-R	REDD+ Climate Group – Renewed (CSO umbrella organization)
HCS	High Carbon Stock
HCV	High Conservation Value
IGES	Green House Gas Effect Inventory

IP	Indigenous People
INERA	National Institute for Agronomical Studies and
IUFRO	International Union of Forest Research Organizations
JICA	Japan International Cooperation Agency
KOICA	Korean International Cooperation Agency
LAT	Land Use Law
LoA	Letter of Agreement
LoI	Letter of Intent/
LULUCF	Land use/Land Use Change
LUP	Land Use Planning
MDE	Major Deforestation Event
M&E	Monitoring and Evaluation
MEDD	Ministry of the Environment and Sustainable Development
MPTF	Multi-Partner Trust Fund
MRV	Monitoring Reporting and Verification
MTR	Mid-Term Review
NDC	National Determined Contribution
NFI	National Forest Inventory
NGO	Non-Governmental Organisation
NIF	National Investment Framework
PES	Payment for Ecosystem Services
PGDF	Sustainable Forest Management Program
PIREDD	Integrated REDD+ Program
PLAT	Local Land Management Plan
PMU	Project Mangement Unit
PNAT	National Land Use Policy
PRODOC	Project document
REDD	Reduced GHG Emissions from Deforestation and Forest Degradation
REDD+	Reduced Emissions from Deforestation and Forest Degradation through sustainable forest management, enhanced carbon stock and biodiversity conservation
RFN	Rain Forest Foundation Norway
RoC	Republic of Congo
SDG	Sustainable Development Goals
SESA	Social and Environmental Safeguards
SNORF	National Forest Monitoring System
SPAT	Provincial Land Management Scheme
SSTS	Satellite Land Surveillance System
STAT	Territorial Land Management Scheme
TOR	Terms of reference
ToC	Theory of Change
TWG	Technical Working Group
UNDP	United Nations Development Programme
UNFCCC	United Nations Framework Convention on Climate Change

UNCDF	United Nations Capital Development Fund
UNFPA	United Nations Fund for Population Activities
UN HABITAT	United Nations Human Settlement Programme
UNOPS	United Nations Office of Project Services
VPA	Voluntary Partnership Agreement
WB	The World Bank
WCS	World Conservation Society
WRI	World Resource Institute

## EXECUTIVE SUMMARY

### *Importance of the Congo Basin Rainforest*

Central Africa harbors the second largest tropical rainforest in the world, covering over 240 million hectares, behind only the Amazon basin. It is the home of over 60 million people as well as multiple species of plants and many animal species, including several endangered ones. Of the major tropical rainforests, it is still the one that has experienced the smallest loss of forest cover, but this could change dramatically if the ever-increasing need for food and income opportunities of the population of the Congo River Basin are not addressed.

As a response to this challenge and tacking an innovative holistic approach, a group of donors have partnered with six countries in the region to address the need to conserve this resource, vital to climate change mitigation. They put together a Fund called Central African Forest Initiative (CAFI) whose purpose is both to protect key forest resources and provide answers that create development opportunities for its partner countries and their forest dependent populations.

This Fund has been operational now for a few years and it was the desire of the CAFI Executive Board to review its progress. For this purpose, a Mid-Term Review (MTR) was commissioned.

### *Description of the MTR process*

Mandated by the CAFI Board, a mid-term review of the CAFI fund was due by 2020. A team of two consultants was hired to undertake this review. Their CVs are enclosed to annex D of this report. The original Terms of Reference (ToR) for this review called for missions to be undertaken to Geneva and Central Africa but this was not possible due to travel restrictions as a result of the covid19 pandemic. Therefore, the ToR could not be completed as originally drafted. The Inception Report of clarified the various limitations that the MTR would face and an explanation of what was possible and how this would be achieved. The whole review was carried out from the home bases of the two consultants in France and Colombia. All interviews were carried out via 5 different internet-based platforms (Skype, Webex, Zoom, MS Team and Whatsapp). The Inception Report was reviewed by a subset of the CAFI Executive Board called the Reference Group- composed of Norway, the EU, the UK and Germany - specifically designated for the MTR.

The review was divided into three stages.

- In stage I, the consultant submitted a chronological work-plan, reviewed over 90 documents and drafted 92 questions. They identified some 120 people to interview and prepared a draft of the Inception Report, which once commented on by the Reference Group and the CAFI Secretariat was finalized.
- During stage II, the consultants set up appointments and attempted to interview all the targeted persons. Of the 120 plus persons originally identified, they were able to secure interviews with 92 of them, some requiring more than one interview. The average interview lasted 1.5 to 2 hours. For these interviews and from the 92 questions drafted during stage I, 10 different questionnaires were prepared, targeting different categories of stakeholders (donor representatives/members of the EB, CAFI Secretariat staff, UNDP MPTF staff, government officials, implementing agency headquarters officials, implementing agency/PMU field officials, private sector representatives, NGO staff, Research Centers, Women's associations, indigenous people associations). Copious notes were taken by both consultants.



- During stage III, the consultants prepared a draft MTR Report, awaited comments, incorporated those that were relevant and prepared the final MTR report

### *Findings of the MTR*

Based on the documentation, interviews and own analysis and experience in environmental program evaluations, the MTR team was able to identify the strengths and weaknesses of CAFI as it operates today; establish some findings; propose concrete recommendations; and suggest some lessons to be considered in future programming stages.

Amongst the most important findings are:

- **The CAFI approach is judged by everyone involved, including the MTR Team, to be very relevant to the international environmental and climate agenda (including Nationally Determined Contributions – NDCs)**, as it responds directly to the international engagements that CAFI partner countries have agreed to abide by. At the same time, CAFI's approach seeks to promote sustainable development alternatives for forest-dependent communities and responds to most of the Sustainable Development Goals (SDGs). This dual approach to forest protection and community development makes CAFI very unique.
- CAFI has been very active in the DRC, and projects are beginning to be implemented in Gabon and are expected to begin this year in the Republic of Congo (RoC). However, activities in the other three partner countries (the Central African Republic, Cameroon and Equatorial Guinea) are all still at the level of policy dialogue. In the DRC, certain areas foreseen under the CAFI program, such as projects to support sustainable mining, infrastructure and to a certain degree energy are still to materialize. Moreover, the MTR Team feels that CAFI should incorporate projects designed to include new areas, such as biodiversity conservation and the promotion of payments for environmental services.
- The MTR Team was able to verify some **important accomplishments** to date. Amongst the major ones are :
  - CAFI has put together a credible forum of like-minded donors interested in the conservation of the environment and the improvement of people's livelihood in the Congo Basin.
  - This partnership works effectively at the Executive Board (EB) or central level and is supported by donor diplomatic and cooperation representations in partner countries.
  - CAFI has supported the drafting of the REDD+ National Investment Frameworks for the RoC. Additionally, CAFI is supporting the drafting on National Investment Frameworks for Cameroon, the Central African Republic and Equatorial Guinea.
  - Productive partnerships have been established with the various ministerial-level actors in the 6 partner countries.
  - As a result of the discussions with CAFI, several illegal forest concessions were annulled.
  - Letters of Intent outlining the policy reforms that partner countries will undertake as well as providing access to CAFI programming funds have been signed with the DRC, Gabon and the RoC.
  - Productive partnerships have been established with UN and Non-UN implementing partners.

- A total of 18 programs/projects have been approved and are being implemented (16 in the DRC and 2 in Gabon). Another is expected to start shortly in Gabon. In the RoC, calls for expressions of interest have already been completed.
  - Contacts with Research Centers of Excellence dealing with common themes of interest to CAFI have been established, although these could still be further developed.
  - Although the process of identification could be improved further, civil society organizations (CSOs), non-governmental organizations (NGOs), Private Sector, Indigenous Peoples organizations and Women's Organization have been identified in the DRC, RoC and Gabon with a view to ensuring wide social participation in the execution of CAFI-funded programmes.
  - CAFI has greatly increased the visibility of climate change and deforestation issues in the region
  - An important agreement, reached in 2019 through an addendum to the 2017 Letter of Intent, refers to result-based payments between the governments Gabon and CAFI financed by Norway. Gabon will be rewarded for a ten year-period, based on verified carbon results (forest emissions and absorptions).
- The Executive Board (EB) of CAFI is composed of very committed individuals with varied professional backgrounds. The EB would benefit from having available the best state of the art technical knowledge that is generated by top of the line research centers to assist it and the CAFI Secretariat in the policy level negotiations (of National Investment Frameworks (NIFs) and Letters of Intent, (LoI) and other policy documents), as well as in serving as a sounding board on issues related to the execution of projects.
  - Likewise, there is a general consensus, shared by the MTR Team, that the CAFI Secretariat has been instrumental in achieving some of the key achievements mentioned above. The dedication and vision of the members of the Secretariat are well recognized. One of the factors that has been crucial to their success has been their common professional origin (the core of the team comes from the UNDP REDD+ Unit) as well as their capacity to work with great flexibility, focusing on what needs to be done. However, as the Fund grows in terms of number of countries with CAFI programs and projects as well as in terms of funding, the current size and modus operandi of the Secretariat will require modifications. Additional professional and General Service posts will be required to:
    - support additional projects
    - provide a greater role for private sector participation
    - establish a field presence in partner countries with a view to improve the policy dialogue and project monitoring to accelerate the pace and quality of implementation (which is much slower than anticipated).
  - CAFI's Secretariat is currently hosted by the UNDP Bureau of Policy and Program Support (BPPS). A staff member of this Unit of UNDP is also a full member of the CAFI Board representing all UN agencies. Likewise, it is this Unit that provides technical support to all CAFI financed UNDP implemented projects. This creates, at the very least, the perception of a conflict of interest as the EB attributes projects to UN agencies for their implementation. This situation should be corrected.
  - Currently all CAFI projects are executed by either UN system agencies, the World Bank and some bilateral technical cooperation programs such the AFD, ENABEL, or JICA. The MTR Team

ascertained that the implementation of many projects is substantially behind schedule. Many stakeholders feel that the procedures of these agents are very bureaucratic, thus leading to unnecessary delays in contracting, purchasing inputs etc. The MTR Team is convinced that while there are other accompanying reasons, there is nonetheless some truth to this. In fact, the MTR Team noted that many programmes do not have a proper Monitoring and Evaluation framework that allows CAFI to properly follow their implementation and take timely corrective measures.

Moreover, these implementing organizations may not be the ideal ones to implement projects whose purpose is to work with indigenous peoples, women's groups or local forest dependent communities. These projects require a nimbler approach. The pool of UN and bilateral agents should be opened also to select international NGOs with a proven fiduciary capacity and track record in working with these groups.

- In the Democratic Republic of Congo (DRC) where most of CAFI's efforts have concentrated to date, the modus operandi includes an organizational layer that does not exist in other partner countries. A National REDD+ Fund (FONAREDD) was established prior to the existence of CAFI itself. It was originally designed to be a stand-alone fund to which donors could make contributions to finance REDD+ activities. In practice, the funds provided by CAFI to the DRC are the only significant funding FONAREDD has attracted. Attached to the Ministry of Finance, the FONAREDD has in effect become the counterpart institution of CAFI as well as a centralized coordinator of all ministries. It is now responsible for leading the vetting of proposed implementing agents and following the progress of CAFI projects. Based on the evidence reviewed by the MTR, interviews of implementing organisations and others, as well as on the objective delays that projects are experiencing, it is evident they have not fulfilled this last task as comprehensively as would have been required.
- With respect to the efficiency in the use of funding, the MTR Team concludes that the UNDP MPTF Office has been a key member of the CAFI system. As such, it has provided excellent services in terms of the efficient and timely reception and transfer of funds. Its services contribute greatly to ensuring financial transparency. At the project level, the MTR Team had some trouble dealing with measuring the efficiency of these initiatives. The measure of efficiency of course must be based on two main factors, the disbursement of funding for proper and timely activities and the quality of the ultimate products in relation to their cost. This was difficult to do, given that:
  - the project progress reports are rather general,
  - project Monitoring and Evaluation (M&E) frameworks, in many cases, are missing indicators and/or are not directly linked to CAFI's overall M&E framework.
  - periodic project audit reports are not always required by implementing agents and the MTR Team was unable to secure any.

The MTR Team concludes corrective measures need to be taken to ensure proper project reporting, monitoring and auditing.

What the MTR can say in regard to funding is that the needs to achieve the two desired CAFI impacts far exceed the current level of funding. It is very desirable that CAFI expands both its donor base as well as its overall level of funding. This will not be an easy task until potential donors can be assured of CAFI's capacity to use their funds in a timely manner.

- CFI has still to establish a fruitful partnership with the private sector. The MTR Team is convinced that CFI would benefit from the backing of large corporations that in recent years have been recognizing the importance of tackling climate change, and that CFI's negotiating position would be greatly enhanced by such backing. It also might prove to be a significant source of financing for CFI, if the right private sector partners are selected, that is to say those that will support wholly CFI's objectives and vision.
- The same holds true for partnering with the right CSOs (women's groups, local NGOs and indigenous peoples'/forest dependent communities). CFI has had success in ensuring that coalitions representing these groups participate at the national level. However, the MTR Team feels that at the local level, where it matters most, more could be done. Per example, if one considers the content of some project progress report on the issue of gender, the MTR Team identified one provincial REDD+ integrated programme (PIREDD) in DRC where some activities related to the prevention of violence against women were taking place. In the others, progress in this respect is measured in terms of how many women are employed in the PMUs, what percentage participate in the meetings of the local development committees set up by the PIREDDs or how many receive family planning benefits. The MTR strongly feels that it is very important to design gender specific socio-economic activities that provide women with gender education, access to services and sources of income. This also holds true for local forest dependent IPs.
- As noted, in partner countries, many ministries and government entities are involved in the execution of the overall CFI portfolio and its composite projects. This can and has led to some conflict as differing views and interests are expressed. The MTR Team feels it is important to convince partner governments that the natural counterpart of an initiative such as CFI is either the office of the Prime-Minister or within the Office of the Presidency. This would ensure proper and hopefully timely arbitration of varying ministerial points of view on a particular policy issue or project.

## CONCLUSIONS:

- **The MTR Team is convinced that CFI's approach combining forest protection and sustainable development is unique and the best approach to take.**
- **The EB and the Secretariat have achieved significant policy successes at the macro level and established important partnerships with Central African governments, with international and bi-lateral development agencies and the mechanisms necessary to start to implement projects at a decentralized level.**
- **There are undoubtedly things that can be adjusted to strengthen CFI and improve its structure; the technical advice available to it; its implementing arrangements; its partnership with the private sector and the NGO community; and its capacity to design and monitor projects that affect local forest-dependent communities, most specifically women and indigenous people.**

To address these points, and based on all the MTR Team has been able to ascertain during this review, it makes a series of recommendations as follows:

**ON RELEVANCE:**

**RECOMMENDATION No. 1 ADDRESSED TO THE EB:** Biodiversity and fragile large ecosystems should be the areas for project implementation targeted by CAFI. The Global Environment Facility GEF 6 and GEF 7 programs are also possible sources of additional funding that could be taken into account in the new phase of CAFI programming for DRC and the other partner countries.

**ON THE EB MANAGEMENT STRUCTURE:**

**RECOMMENDATION No. 2 ADDRESSED TO THE EB:** A Technical Advisory Committee should be established under the EB to advise on the content and milestones of future Letters of Intent, investment programs, policy documents and other matters, as required (see Chart 3 and 4 below). This Committee should be composed of experts from key related research institutions. Its function would be to advise the EB on other relevant experiences, as well as assist them in reviewing policy documents.

**ON THE CAFI SECRETARIAT:**

**RECOMMENDATION No. 3 ADDRESSED TO THE EB AND THE SECRETARIAT:** To strengthen the Secretariat two additional professional level (one to manage the policy dialogue and oversee projects in additional countries as they come on stream and another to deal with the incorporation of the private sector into the CAFI programs). Additionally, one general Service posts should be established in Geneva to take care of more routine correspondence drafting and recurring administrative tasks, so as to free professional staff to concentrate on the policy dialogue and program management. Additionally, that two professional posts at the P4 level should be established in the DRC and Gabon respectively. Their function will be two-fold: (a) to advise the EB through the Secretariat on the policy dialogue, to coordinate such a dialogue between the EB, the Secretariat the EB country resident diplomatic mission and the government and (b) to monitor on a regular basis the implementation of CAFI financed projects, advise on timely corrective measures when required and keep the EB and the Secretariat fully informed on their progress. While these field posts could sit either in an Embassy, a Government Office or a UN system agency, the incumbents should be independent of any oversight by FONAREDD or other government agencies, UN system agencies or Embassy structure. They should report directly to the Head of the Secretariat.

**RECOMMENDATION No. 4 ADDRESSED TO THE EB AND THE SECRETARIAT:** An organizational/management study should be carried out to determine how to best structure CAFI as it grows. For this purpose, a reputable consulting firm in the field of Human Resources Management should be hired. They should also assist the EB in the drafting of the corresponding Job Descriptions.

**RECOMMENDATION No. 5 ADDRESSED TO THE EB AND THE UNDP MPTF:** CAFI should begin immediate negotiation with the UNDP to have the CAFI Secretariat report to the UN MPTF which would host it within its purview, but still based in Geneva and under the same contractual provisions as those prevailing today. This arrangement would go a long way to avoid any perceived or real conflict of interest. Logically, the UNDP member in the CAFI EB should also come from the UN MPTF.

#### **ON THE PORTFOLIO OF POSSIBLE IMPLEMENTING AGENTS:**

**RECOMMENDATION No. 6 ADDRESSED TO THE EB:** The EB should request the Secretariat to identify a few large international NGOs that have experience executing projects in areas of CAFI's concern. Then invite them to make a presentation to the EB on their expertise, their track record and capacity to manage, audit and report on projects accurately, both on the substance and the efficient use of funds. Those found to meet these requirements should be invited to submit proposals in response to CAFI requests for expression of interest.

#### **ON THE AGENTS OF CHANGE:**

**RECOMMENDATION No. 7 ADDRESSED TO THE EB AND THE SECRETARIAT:** At the policy level, CAFI should seek partnerships with large corporations in the field of energy, mining and wood product imports. This with a view to creating greater awareness of the need to implement investments in their sector adopting environmentally friendly practices. At the local level, projects should involve the local private sector to generate environmentally friendly income opportunities for key groups such as women, youth, indigenous people.

**RECOMMENDATION No. 8 ADDRESSED TO THE SECRETARIAT AND IMPLEMENTING PARTNERS:** Beyond their participation in Local Development Committees, CAFI projects should include activities designed specifically to improve the socio-economic status of Women, Youth and IPs/ local forest dependent communities.

#### **ON THE CAFI M&E FRAMEWORK:**

**RECOMMENDATION No. 9 ADDRESSED TO THE EB AND THE SECRETARIAT:** The Secretariat should engage the services of an experienced consultant to review and update the M&E framework, populating it with relevant Outcomes and sub-outcomes. He/She should also produce a short manual on how to identify project outputs and indicators in project M&E frameworks and how to link them to CAFI overall Outcomes. This manual should be distributed to all implementing partners. Accordingly, all CAFI financed projects (ongoing and new) should be asked to produce project M&E frameworks that directly link its outcomes and outputs to the overall CAFI M&E framework. Implementing agents should then monitor and report on projects using this tool.

#### **ON THE ADEQUACY OF FUNDING FLOWS AND THE EFFICIENCY IN THE USE OF FUNDS:**

**RECOMMENDATION No. 10 ADDRESSED TO THE DONORS/EB:** The EB should encourage current EB members to back CAFI with more substantial contributions, as well as consider opening CAFI to partnerships with financial institutions and funds such as the WB and ADB, the GEF and the GCF as well as other potential donors, including the private sector, as long as they accept CAFI's vision and approach. The specific modalities to be considered could be to have these new partners as providers of direct financial contributions and/or establishing parallel financing programs that are negotiated as part of the CAFI package.

**RECOMMENDATION No. 11 ADDRESSED TO THE EB AND SECRETARIAT:** The EB should insist that, as a condition for securing financing, every CAFI project whose budget exceeds a certain threshold should be subject to a quality and financial audit once a year and the audit reports be made available to the EB. There are precedents for this in other UNDP programs where conditions for auditing have been tied to donor funding. Furthermore, if other non-un implementing agents

are given access to the expressions of interest, they should understand that they must factor in that an annual quality and financial audit must be carried out by a local reputable auditing agent such as Deloitte, Price Waterhouse or Ernst and Young.

**ON INTERMINISTERIAL COOPERATION:**

**RECOMMENDATION No. 12 ADDRESSED TO THE EB:** The CAFI EB in its dialogue with the partner governments [where this not the case already], should request that the institutional arrangements put in place to be CAFI's counterpart should be at the level of the Presidential Office or Prime Minister's Office.

The report below starts with a section on the background to CAFI, for those readers that might not be familiar with the history of this Fund. It also provides a section on the background to the MTR itself, for those who might want to know how this exercise was carried out.

It is then followed by a series of sections that support the MTR Team's findings and recommendations and finally a section that links each recommendation to a finding as well as a section on lessons learnt.

## **I. Background**

### **I.1 Background to CAFI**

During UN Conference of Parties (COP) meeting in Durban, in 2011, six Central African nations, five major donor countries and the European Union signed the Joint Declaration of Intent on REDD+ in the Congo Basin. Two additional donors (Korea and the Netherlands) joined subsequently. The purpose of this document was to provide support for policy and governance reforms designed to reduce deforestation in Central Africa and raise funds to implement those reforms and promote sustainable development in the forest arena.

Major bi-lateral and multi-lateral donors felt the need to establish a platform to coordinate their efforts, partner with national and regional governments, institutions, NGOs and CSOs to promote basin wide ownership of these initiatives, and promote upstream policy initiatives and management capacity, as well as simultaneously finance downstream time bound program/project initiatives that show how these policies can translate in concrete results.

Since September of 2015, the European Union, Germany, Norway, France, Netherlands, the United Kingdom as well as the Republic of Korea joined forces with the Central African Republic, the Democratic Republic of the Congo, the Republic of Cameroon, the Republic of Congo, the Republic of Equatorial Guinea and the Republic of Gabon, with Brazil as South-South partner, and signed a Joint Declaration that established the Central African Forest Initiative (CAFI).

#### **Potential for REDD+: Forest cover, deforestation rate and biodiversity in CAFI countries**

Reducing Emissions from Deforestation and Forest Degradation, and the sustainable management of forests, enhanced forest carbon stocks and biodiversity conservation (REDD+), is a forest-based climate mitigation mechanism under the UNFCCC to value the role of forests and incentivize actions to address the drivers that affect forest loss. These are not limited to the forestry sector but also include other sectors, as recognized in CAFI, such as Agriculture, Energy, Land use planning and tenure, Mining and infrastructure, Family planning and Governance of all stated sectors.

Using FAO figures, the ADB has estimated that a 50% reduction in the deforestation rate of the three main forestry basins (Amazon, Congo, Indo-Malaysian) most suited for REDD+ would generate \$5 to \$10 per ton of avoided CO<sub>2</sub> emissions. By avoiding deforestation, the Central African region has the potential to sequester around 20% of global carbon in the atmosphere by 2050<sup>1</sup>

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<sup>1</sup> Sohngen and Sedjo, 2006.



Among the 6 Central African countries, the Democratic Republic of the Congo plays a pivotal role in keeping sound global ecological balances. Indeed, it is one of the 10 countries with the highest biodiversity in the world. Its forests represent more than half of the world's second largest tropical forest massif. The DRC has a high forest cover of up to 60% of its territory, with a significant share of primary forests and a high deforestation rate of 1% per year (**Table 1**). The carbon sequestration capacities are therefore important, with rates going over 40 Gt of Carbon<sup>2</sup>.

**Table 1:** Forest cover, deforestation rate and biodiversity among CAFI countries (potential for REDD+)

CAFI countries	Population Millions	GDP \$ Billions	Land area 1,000 sq.km	Forest cover Million Ha	Forest area % of Land area	Deforestation rate Aveg. annual % 2010-2015	Terrestrial protected area % of Total land area
Cameroon	23.3	28.4	473	18	39.8	1.1	10.9
Central African Republic	4.9	1.6	623	22	35.6	0.1	18.1
Republic of Congo	4.6	8.6	342	22.3	65.4	0.1	35.2
Democratic Republic of Congo	77.3	35.2	2267	152.5	67.3	1.0	12.1
Gabon	1.7	14.3	258	22.9	89.3	-0.3	20.9
Equatorial Guinea	1.3	12.4	28	2.5	93	1.0	19

Source: <https://www.forestcarbonpartnership.org/country>

Based on Forest Resources Assessment (FRA 2015) of FAO (FRA 2020) still unavailable per country)

Of the aforementioned six Central African countries, Cameroon, Equatorial Guinea and the DRC have the most significant potential to **reduce** emissions, since the possible gains to be made from avoiding deforestation and forest degradation are greatest in countries with high to moderate forest cover and a high rate of forest loss (see developed methodologies in National REDD + strategies in Asia and the Pacific Progress and challenges, ADB the Climate Change Unit Department ADB HQ, 2010).

Countries included in the 'high-moderate forest cover/low deforestation rate' category such as Gabon, the Central African Republic and the RoC have also significant roles to play, through the reduction of forest degradation, especially in conserving biodiversity and vulnerable ecosystems, enhancing forest carbon stocks, and through the sustainable management of forests.

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<sup>2</sup> REDD + potential of the DRC, Ministry of the environment MEDD, Dec 2019.

Gabon and the Republic of Congo (RoC) share the same forest cover with an estimated 22 million of ha each, representing respectively 90% for the former country's land area and 65% for the latter country's land area. They both have a low annual deforestation rate below 0.3 % (0.07% for RoC). Both countries have oil-based economies and therefore, until recently, had not developed other potential economic sectors, such as agriculture. Despite timber being the third most important export in both countries, as stated, their forests are still relatively untouched.

In 2010 Gabon joined the Forest Law Enforcement Governance and Trade Program (FLEGT), the same year that it banned log exports. Gabon and the RoC are now engaged in fragile ecosystems conservation and sustainable management, covering an area of around 3 million hectares with High Carbon Stock (HCS) and High Conservation Value (HCV) ecosystems, such as mangroves, peatlands and inundated forests as well as savannahs.

#### Multilateral funding instruments for central African countries

The REDD+ preparedness phase was launched 10 years ago with three phases to be achieved: phase 1 Readiness, phase 2 transformational changes and phase 3 performance-based payments was supported by multilateral international agencies such as the World Bank, FAO, UNDP and UNEP.

CAFI is engaged in these three phases, depending on the countries. In the Central African Republic and Equatorial Guinea, it has supported the elaboration of REDD+ Strategies (phase 1). To support transformational changes (phase 2), it has developed supported the elaboration of four national investment frameworks (NIFs) addressing all drivers of deforestation and forest degradation according to their priorities (Table 2), and concluded three Letters of Intent LoI (DRC, Gabon and the Republic of Congo). As of now, sectoral or multi-sectoral projects are only implemented in the DRC and Gabon and are designed to achieve the milestones in the Letters of Intent. In Gabon, an agreement was reached on results-based payments (phase 3).

Most CAFI partner countries have benefited from other multilateral REDD+ support mechanisms, in addition to UNFCCC and EU related program such as FLEGT (Table 2 below). They now all have National REDD+ strategies.

Several multilateral REDD+ support mechanisms exist to build the conditions needed to achieve REDD+ payments. There are four main multilateral sources of support available to countries of central Africa:

- Forest Carbon Partnership Facility (FCPF) hosted by the World Bank;
- UN-REDD Program (UN-REDD) of FAO, UNDP and UNEP UN-agencies;
- Forest Investment Program (FIP) of the Climate Investment Funds; and
- Global Environment Facility Sustainable Forest Management and REDD+ Program (GEF-SFM/REDD+).

FCPF, UN-REDD and GEF6 REDD+ support mechanisms cover Cameroon, DRC and RoC.

**Table 2:** Multilateral funding instruments for CAFI Central African countries (REDD+, FIP, NDC, FLEGT)

	MULTILATERAL SUPPORT	UNFCCC Submissions	DEVCO/EU	CAFI

Funding instruments	REDD+ (FCPF) Readiness fund Carbon fund	FIP (CIF)	GCF	NDC Submitted 2015	FLEGT VPA	NIF (CAFI)
Cameroon	R-PP 2013 ER-PIN			Submitted	vpa signed 2011	NIF
CAR	R-PP 2013			Submitted	vpa signed 2012	NIF
RoC	Readiness package 2016 ERPD	RoC	RoC (FAO)	Submitted	vpa signed 2010	NIF and Lol
DRC	Readiness package 2016 ERPA 2018 FONAREDD 2015	DRC		Submitted	vpa on negotiation 2010	Lol I
Gabon	R-PP 2018			Submitted	vpa on negotiation 2010	Lol 1 and its addendum on Results based payments
Equatorial Guinea				Submitted		NIF
Milestones	National REDD+ Strategies developed	FIP only RoC DRC	GCF only RoC	Revision of NDC (2020- 2025)	Negotiating VPAs not yet in force	3 Lol 4 NIF

Source: <https://www.forestcarbonpartnership.org/country>  
<http://www.euflegt.efi.int/vpa>  
<https://www4.unfccc.int/sites/submissions/indc/Submission%20Pages/submissions.aspx>

### **FLEGT** - Forest Law Enforcement, Governance and Trade

Most Central African countries participate in the FLEGT program including Cameroon, CAR, DRC, Gabon and RoC, the exception being Equatorial Guinea. However, Voluntary partnership agreements (VPA), representing legally binding trade agreement between the European Union and a timber-producing country outside the EU, are not yet in force in any of the central African participating countries. The purpose of a VPA is to ensure that timber and timber products exported to the EU come from legal sources. The agreements also help timber-exporting countries to stop illegal logging by improving regulation and governance of the forest sector. It is particularly needed in the case of Gabon, Equatorial Guinea and Cameroon that have a growing timber processing industry and a net export of processed timber products.

There are strong linkages between REDD+ and FLEGT programs especially with the CSO, private sector platforms and environmental and social safeguards. REDD+ and FLEGT Programs have strengthened governance in the forest sector, clarifying land tenure issues, facilitating stakeholder engagement, increasing transparency and addressing illegal logging as a driver of deforestation and forest degradation. At the same time, they have the potential to promote sustainable production and consumption and promote improved local livelihoods.<sup>3</sup>

### *Payment for Environmental services (PES)*

CAFI is now encouraging inclusive solutions, such as PES, into additional co-benefit to REDD+ for communities and indigenous peoples. This mechanism allows users managing forest ecosystems to provide client beneficiaries with four types of services to relieve the pressure on ecosystems: (i) carbon sequestration; (ii) protection of water resources and watersheds, (iii) preservation and

<sup>3</sup> Four key areas of synergies are the following: (i) Enhancement of inclusive stakeholder dialogue, and empowering communities to exercise rights to resource (FLEGT and REDD+ have established successful models of multi-stakeholder participation), (ii) Improved cross-sectoral land use planning, which involves forestry, agriculture, and other land uses that drive deforestation, (iii) Strengthening the enabling environment for sustainable investment, (iv) Increased coordination between efforts to address governance

sustainable use of biodiversity and (iv) the preservation of landscapes (national recreational parks, eco-tourism).

While biodiversity and fragile ecosystems were not fully considered during the initial phase of CAFI, the situation is changing. There is for example a greater consideration of ECOFAC 7 (Ecosystèmes Forestiers d'Afrique Centrale/Forest Ecosystems in Central Africa) an EU-funded program to support conservation activities in the buffer-zone and the core zone of national and trans-national parks and nature reserves in CAFI's support to the Central African Republic. Consideration could be given to take into account the Global Environment Facility GEF 6 and GEF 7<sup>4</sup> programs in the new phase of CAFI programming for DRC and the other partner countries. GEF programs are now blending significant funds addressed to mitigate carbon emissions through REDD+ and NDC focus in African countries.

### ***Peatlands***

In 2017, a joint research team led by the University of Leeds and Congolese scientists discovered the world's largest tropical peatlands, located in the central Congo Basin and overlapping the Republic of Congo and DRC. They cover a vast zone of 145,500 square kilometers and are currently storing an estimated 30 billion tons of carbon, which require safe protection and management to avoid the release of large amount of GHG emissions. Consideration could also be given to establishing a working link between CAFI and the CongoPeat<sup>5</sup> working group.

### ***CAFI Donor contributions***

CAFI is still overwhelmingly financed by Norway, but more donors have joined. The first was France, followed respectively by the EU, South Korea, and Germany. There is a growing interest from FCDO (UK) and Netherlands (Table 3).

Norway's contribution at the time of writing was US \$ 236.2 million. Funding commitments from other donors are: Germany' US\$ 30 million (and more expected soon), France US \$ 6.5 million, South Korea US\$ 2 million, and the European Union US\$ 16.4 million to the CAFI Fund. This brought the CAFI Fund potential capital to US\$ 291.1 million as of 31 Dec. 2019.

**Table 3:** Donor contributions in Million US\$ (deposit, committed, pledge) for CAFI central African Countries Initiative to MPTF trust fund

DONORS	NOR	FRA	DE	EU	KOREA	NL UK	Total	Total cumulative
2015	9.4						9.4	9.4

<sup>4</sup> GEF6 and GEF7 integrates programs addressed to Mitigate Emission of GHG in the following priority sectors: Developing renewable energies and access to clean energies, reducing emissions from deforestation and forest degradation and sequester carbon in forest and agricultural projects, development of sustainable cities by energy efficiency in housing and sustainable urban transports and to adapt to climate change via GEF Programming Strategy on Adaptation to Climate Change for the Least Developed Countries Fund (LDCF) and Special Climate Change Fund (SCCF).

<sup>5</sup> <https://congopeat.net/fr/>

<b>2016</b>		36.8	3.1					<b>39.9</b>	<b>49.2</b>
<b>2017</b>		51.5						<b>51.5</b>	<b>100.7</b>
<b>2018</b>		46.6						<b>46.6</b>	<b>147.4</b>
<b>2019</b>		43.9	3.4		4.2			<b>51.5</b>	<b>198.9</b>
<b>Total</b>	<b>Deposit</b>	<b>188.2</b>	<b>6.4</b>		<b>4.2</b>				<b>198.9</b>
	<b>Committed</b>	<b>236,2</b>	<b>6.5</b>		<b>16.4</b>				<b>259.1</b>
	<b>Announced</b>			<b>58.26</b>		<b>2</b>			<b>319.36</b>

1 US\$ = 0.858177 € UTC exchange rate  
Source: annual CAFI and MPFT reports

The objective of the donor community in creating CAFI was “to recognize and preserve the value of the forests in the region to mitigating climate change, reducing poverty, and contributing to sustainable development. This objective will be attained through the Implementation of country-led, holistic low emissions development investment frameworks that include national policy reforms and measures addressing drivers of deforestation and forest degradation. The range of activities to be supported will depend on the specific context of the country and the dynamics of the drivers. The Initiative will be a forum of partnership and cross-country learning.”<sup>6</sup>

In order to provide a coordination mechanism for donors, to manage a common pool of resources, to harmonize the approval, disbursement, monitoring and reporting processes for funds allocated, the CAFI Trust Fund was established in 2015. The United Nations Multi-Partner Trust Office (MPTF-O) was chosen to house and manage this Fund.

**One of the factors that differentiate the CAFI Fund from other initiatives is that it is working both on policy dialogue and reform processes and investing in actions on the ground via time bound projects.** The fund has complementarities and synergies with the following programs, facilities and initiatives funded by various donors (EU, Word Bank, UNDP, multi-lateral GCF, African Union) CAFI also complements regional initiatives such as:

- AFR100<sup>7</sup> (the African Forest Landscape Restoration Initiative), a country-led effort to bring 100 million hectares of land in Africa into restoration by 2030
- The Congo Basin Forest Partnership (CBFP)<sup>8</sup> launched by former United States Secretary of State, Colin Powell, and the Central African Heads of State at the 2002 World Summit on Sustainable Development held in Johannesburg pressing the international community to support efforts towards conservation and sustainable forest management of Congo Basin forests, outlined in the Yaoundé Declaration adopted by the Heads of State in Yaoundé in 1999

<sup>6</sup> CAFI Declaration

<sup>7</sup> AFR100 contributes to the Bonn Challenge, the African Resilient Landscapes Initiative (ARLI), the African Union Agenda2063, the Sustainable Development Goals and other targets.

<sup>8</sup> The Congo Basin Forest Partnership is a member of the partnerships of the UN Commission on Sustainable Development and currently accounts 117 members including 10 Central African countries and nearly a hundred partners concerned with Congo Basin forest ecosystems including: ECCAS, COMIFAC, financial partners, Congo Basin civil society, international NGOs, multilateral organizations,

- The Katoomba group<sup>9</sup>, part of the Forest Trends Family of initiatives, an international network of individuals working to improve capacity related to incentives for ecosystem services and products (PES).

### **CAFI programs/projects**

CAFI has funded 19 projects plus 4 small preparatory grants. It has transferred funds for US \$137 million to date. Seventeen sectoral or multi-sectoral programs/projects are being implemented in the DRC, (2 have been delayed and 2 are being formulated). In Gabon, two multi-sectoral programs are being implemented. They relate to Land Use Planning and support to the Forestry sector.

**Table 4:** Portfolio of programs in million US\$ and implementing agencies for CAFI central African Countries Initiative (as of 31 Dec 2019)

Programs	DRC	Total (DRC) Approved/Transferred/Disbursed M US\$			GABON Approved	RoC CAR Eq. Guinea CAM	CAFI sec
		Approved	Transferred	Disbursed			
<b>Multi-outcome ("integrated") provincial Programs</b>	6 PIREDDs (in 8 Provinces) 87 M\$ + 4 M\$	<b>91</b>	57	11.6			
<b>Outcome 1 Agriculture</b>	Sustainable Agriculture Policy 3 M\$ (FAO) Savannah-based & degraded forests agriculture 15M\$ (2020 AFD)	<b>18</b>	1.1 8	0.3			
<b>Outcome 2 Energie</b>	Sustainable wood energy 15M\$ (UNDP, UNCDF)	<b>15</b>	9	0.5			
<b>Outcome 3 Forest</b>	NFMS 10 M\$ (FAO) PGDF delayed 12 M\$ (2020 AFD)	<b>22</b> <b>0</b>	<b>9</b> <b>0</b>	<b>7.4</b> <b>0</b>	1 P LUP and forest monitoring 18.4 (AFD)		
<b>Outcome 4 Mining &amp; infrastructure</b>	TORs not yet finalized	<b>0</b>	<b>0</b>	<b>0</b>			
<b>Outcome 5 Land use planning and tenure</b>	LUP Reform 8M\$ (UNDP) Land tenure Reform 7M\$ (UN Habitat)	<b>15</b>	<b>5</b> <b>5</b>	<b>2.1</b> <b>4.6</b>	(same as above)		
<b>Outcome 6 Demography</b>	Scaling up Family Planning 33M\$ (UNOPS, UNFPA)	<b>33</b>	<b>30</b>	<b>5.8</b>			
<b>Outcome 7 Governance</b>	Support CSO-GTCR-R, 3 M\$ (UNDP) IPs 2 M\$ (WB)	<b>3</b> <b>2</b>	<b>2</b> <b>1</b>	<b>1.1</b> <b>0.1</b>			
<b>Outcome 8 SUP</b>	Support FONAREDD 15.9 M\$ (UNDP)	<b>15.9</b>	<b>4.8</b>	<b>2.9</b>			

<sup>9</sup> The Katoomba Group's Legal Initiative works to clarify legal issues and address technical gaps by (1) developing country specific legal and policy information, (2) creating and sharing transactional tools, and (3) providing capacity-building around legal issues. <https://www.besnet.world/katoomba-group>

<b>Total Prog.</b>	15 P, 1P delayed, 1 P formulated	<b>214.9</b>	<b>132.4</b>	<b>36.8</b>	<b>18.4</b>		
<b>NIF (4 countries)</b>						<b>4</b>	
<b>Total approved (M\$)</b>							<b>237.3</b>
<b>CAFI sec</b>							<b>5.9 (UNDP)</b>

Source: CAFI and MPFT annual reports

The following table shows the state of advancement by country and year.

**Table 4:** Portfolio of programs in million US\$ and implementing agencies for CAFI central African Countries Initiative (as of 31 Dec 2019)

Programs	DRC	Total (DRC) Approved/Transferred/Disbursed M US\$			GABON Approved	RoC CAR Eq. Guinea CAM	CAFI sec
		Approved	Transferred	Disbursed			
<b>Integrated Programs</b>	6 PIREDDs (6 Provinces) 87 M\$ + 4 M\$	<b>91</b>	57	11.6	1 P LUP and forest monitoring 18.4 (AFD)		
<b>Outcome 1 Agriculture</b>	Sustainable Agriculture Policy 3 M\$ (FAO) Savannah-based degraded forests agriculture delayed 15M\$ (2020 AFD)	<b>18</b>	1.1 8	0.3			
<b>Outcome 2 Energie</b>	Sustainable wood energy 15M\$ (UNDP, UNCDF)	<b>15</b>	9	0.5			
<b>Outcome 3 Forest</b>	NFMS 10 M\$ (FAO) PGDF delayed 12 M\$ (2020 AFD)	<b>22</b> <b>0</b>	<b>9</b> <b>0</b>	<b>7.4</b> <b>0</b>			
<b>Outcome 4 Mining &amp; infrastructure</b>	TORs not yet finalized	<b>0</b>	<b>0</b>	<b>0</b>			
<b>Outcome 5 Land use planning and tenure</b>	LUP Reform 8M\$ (UNDP) Land tenure Reform 7M\$ (UN Habitat)	<b>15</b>	<b>5</b> <b>5</b>	<b>2.1</b> <b>4.6</b>			
<b>Outcome 6 Demography</b>	Scaling up Family Planning 33M\$ (UNOPS, UNFPA)	<b>33</b>	<b>30</b>	<b>5.8</b>			
<b>Outcome 7 Governance</b>	Support CSO-GTCR-R, 3 M\$ (UNDP) IPs 2 M\$ (WB)	<b>3</b> <b>2</b>	<b>2</b> <b>1</b>	<b>1.1</b> <b>0.1</b>			
<b>Outcome 8 SUP</b>	Support FONAREDD 15.9 M\$ (UNDP)	<b>15.9</b>	<b>4.8</b>	<b>2.9</b>			
<b>Total Prog.</b>	<b>15 P, 2 P delayed, 1 P formulated</b>	<b>214.9</b>	<b>132.4</b>	<b>36.8</b>	<b>18.4</b>		

<b>NIF (4 countries)</b>				<b>4</b>	
<b>Total approved (M\$)</b>					<b>237.3</b>
<b>CAFI sec</b>					<b>5.9</b> (UNDP)

Source: CAFI and MPFT annual reports

In the DRC, a joint action plan approved in 2019 helped open the possibility of second tranches of CAFI funding for the DRC under the Letter of Intent.

### ***Prospects***

- Negotiations have started with the DRC towards a new phase of partnership, that will consider the conclusions of an independent verification of the milestones of the Lol carried out in 2019 and is being updated in 2020.
- The RoC has developed its NIF, signed the Letter of Intent and defined its institutional arrangements. Expressions of interest have been requested from the pool of agreed Implementing agencies. Based on the replies received, a selection of potential agencies was made by the Republic of Congo and they are waiting for the endorsement by CAFI to start the process of drafting project documents for specific programs/projects.
- In Cameroon, CAR and Equatorial Guinea, policy level discussions are underway between these partner countries where deforestation is still uncontrolled. Improvements are still required on institutional arrangements and certain policy reforms.

## **1.2 Background to the MTR**

The general purpose of the mandated MTR exercise was to make an assessment of the performance of CAFI in terms of relevance, effectiveness, efficiency, if possible impact and sustainability. Specifically, three objectives were stated in the MTR Terms of Reference, as follows:

- to inform on revisions of the CAFI programming, structure of the Fund and its Executive Board, if needed, and how these influence and support countries. Therefore, the MTR will identify lessons of operational and technical relevance for future program formulation, implementation and monitoring;
- to promote learning, feedback and knowledge sharing through results and lessons learned among the Executive Board, Implementing Organizations and other partners; and
- to provide evidence of results to meet accountability requirements.

Two consultants were recruited to carry out the MTR in a totally independent review. In accordance with the MTR Terms of Reference (copied under Annex D to this report), the consultants concentrated on five categories of issues: Relevance, Effectiveness, Efficiency, Cross-cutting issues (gender, integration of social and environmental safeguards and others) and the likelihood of achieving the desired impacts. To support the MTR Team, the Executive Board named a Reference Group composed of EB members. As explained in the Inception Report, the ToR of the MTR could not be followed strictly for a series of reasons. The COVID 19 crisis, the gaps in the CAFI M&E Framework and the delays in CAFI's program implementation all posed limitations. The CAFI secretariat named a focal point to work with the MTR Team on a continuous basis. The MTR Team was expected to deliver the following:



- An Inception Report (delivered on June 7<sup>th</sup>. 2007)
- A draft MTR Final report (delivered on September 28<sup>th</sup> 2020)
- A Confidential Countries Report delivered on October 16<sup>th</sup>. 2020
- A final MTR Report with an Audit Trail. (the current report fulfills this deliverable)
- A short presentation to the EB and the Secretariat of its main findings and recommendations (if requested, to be delivered on an agreed future date)

The scope of the MTR covered the period between 2015 and the first quarter of 2020. The MTR encompassed CAFI's work with special emphasis on the work within the DRC, Gabon and the Republic of Congo, countries with which CAFI has signed Letters of Intent. Lastly, the MTR concentrated on the 7 pillars or axis of the CAFI Theory of Change, namely:

- 1- Sustainable agricultural Practices
- 2- Sustainable alternatives to wood energy
- 3- Appropriate legal framework for forestry institutions
- 4- Minimized footprint of future infrastructure and mining investments
- 5- Balanced sectoral interests in land use planning and tenure
- 6- Limit population pressure and the migration of population into forests
- 7- Improved inter-ministerial coordination and governance (including a fiscal regime that limits deforestation)

The MTR did not evaluate in depth each individual national project that CAFI approved. This, given that most of them are either just starting or are still in the very early stage, as well as the limitations outlined below. Rather it concentrated on the CAFI Fund's effectiveness as a partner in bringing about a high level policy dialogue, effecting policy change in the region, satisfying the aspirations of both its donors and recipients, creating an effective forum for the interchange of experiences and other macro-level contributions.

### ***Methodology***

The MTR methodology was based on the CAFI Theory of Change. Within the limitations explained in the next point, the evaluators attempted to establish advances that have occurred to date. To do this, the evaluators divided the task into three stages:

STAGE I or the Preparatory phase was home based and consisted of a desk review of the documentation made available. A list of these documents is included in ANNEX C to this report. During this same stage, the evaluators planned and designed a total of 92 questions that seemed relevant to the review and had them validated by EB reference Group in conjunction with the Inception Report. Based on these questions, the consultants developed 11 different questionnaires (in English and French) geared toward securing information from specific categories of CAFI stakeholders. These groups were: The Executive Board/Donors, the CAFI Secretariat, the UN MPTF, FONAREDD, the Headquarters of Implementing partners/observers in the CAFI EB, partner government staff, local staff of implementing agents/PMUs, the private sector, women's groups, relevant NGOs, indigenous people and local forest development communities,

STAGE II or the field work (carried out from home base, due to the COVID19 travel restrictions) This consisted of electronic interviews with all of the 11 groups mentioned in the previous paragraph, in the DRC, in Gabon and the RoC. A very large list of people to be interviewed was established at the inception of the MTR Team's operations. However, in practice, securing the

contact addresses and securing interviews with some of them was not possible. This being said, the Team did have the opportunity to interview a wide range of stakeholders in all the three countries with which CAFI has signed LoI. A list of the people that the MTR Team managed to interview is included under ANNEX B to this report.

STAGE III or the Report Drafting. From home base, the MTR Team put together a first draft of the MTR Report and submitted it to the Reference Group and the CAFI Secretariat for their input. They, in turn, submitted the agreed draft to the various stakeholders for their comments, using the Audit Trail format. The CAFI Secretariat collected those comments and sent them to the MTR Team in an Audit Trail Format. On this basis, the MTR Team finalized this report.

### ***Limitations***

The MTR Team faced from the outset certain limitations that it was forced to deal with. In reviewing the documentation available, the MTR Team identified some information lacunae, as well as other conditions that may limit somewhat its ability to respond to all the requirements of the ToR that required some clarifications as to where to best concentrate the effort of the MTR Team to maximize the usefulness of the review.

The first referred to the ongoing COVID19 crisis that is currently being experienced. This forced the MTR Team and the CAFI Secretariat to reconsider alternatives to travelling in person to the Central African Region. Video conferencing with stakeholders was judged to be the best alternative, even if not an ideal one.

The second had to do with the CAFI M&E Framework. The Framework has two expected Impacts. The first, “CO2 Emissions and Absorptions” has baseline and target indicators for emissions, but lacks them for absorption levels and data monitoring, which is to be expected since CAFI started supporting programme (as in Gabon and DRC) to determine these baselines. The second, “Poverty and Sustainable Development” has baseline indicators defined in terms of household income for the populations as a whole, but baseline income data for direct CAFI beneficiaries is not known.

The MTR Team also noted that many baselines and/or target indicators at the outcome level are missing. We believe this was due to the fact that at the time the CAFI Theory of Change (ToC) was drafted, the availability of reliable data was very limited. Starting project activities without data to determine your starting points and identifying what progress you expect to make over time, is far from ideal. However, the MTR Team is convinced that, had the promoters of the CAFI Fund waited until such data became available (which would need funding support to do so), irreparable damage to the forests of Central Africa may well have been the consequence. Indeed, in the process of our work, we noticed that even today, the deficiencies in terms of the availability of reliable data and sources, still persists.

The MTR Team wishes to emphasize that measurable and significant changes in carbon emissions, land-use and in socio-economic conditions are the consequence of establishing the necessary conditions to promote those changes (impacts). In practical terms that means:

- establishing a climate of trust and partnership links with the government and other key stakeholders in the sub-region;
- creating conditions for the formulation of policies that address the main constraints toward achieving the desired changes;
- where required, passing necessary legislation, make organizational changes and create systems of incentives and sanctions;

- raising the funding required to promote the policies and establish mechanisms for their delivery and transparent reporting;
- creating the capacity within governments (central and local) to manage the processes that will lead to the desired changes.

Given this, the MTR Team measured progress in other terms, by concentrating its main effort on the adequacy of the CAFI Trust Fund relevance, design, management structure, partnerships, and promotion of cross-cutting issues. This meant looking at how well CAFI has contributed to the establishment of the aforementioned goals. Wherever possible, based on the documentation and the interviews, give an informed opinion as to the advances in meeting the Impact Indicators, which do indeed exist, as well as to the progress toward the attainment of Outcomes when this was possible.

Third, conclusions greatly depended on the availability of a minimum of internet access of respondents to carry out the required interviews, and the availability of individuals for such interviews. While the number of interviewees was lower than planned, the MTR felt however it had access to a sufficiently ample sample of stakeholders.

These limitations required the MTR Team to use non-traditional means to carry out the MTR. As such, the original expectations had to be reviewed with the understanding that the timing and contents of the evaluation would deviate somewhat from what was originally anticipated in the terms of reference as designed. With this understanding, the MTR Team is convinced it is delivering a report which can make a significant contribution to CAFI's next stages.

## **II. CAFI DESIGN**

### **II.1 Relevance**

There are many research organizations such as University of Leeds, CIFOR, CIRAD concerned with the preservation of the forest and peatland ecosystems. There are also funding sources designed to finance forest preservation in the Congo Basin. In addition to the Carbon Fund and the UN-REDD programme mentioned above are the Adaptation Fund, the Green Climate Fund, the Global Environmental Facility, the Climate Investment Fund, the ADB's African Climate Change Fund, the EU's Global Climate Change Alliance and other multi-lateral and bi-lateral programs.

However, CAFI is unique in that it is working at two different levels. Firstly, on promoting policy dialogue and reform processes. Secondly, on investing in actions on the ground via time bound programs directed at local governments, the private sector, civil society and the local communities that are the real actors that implement or not those upstream policies.

CAFI's objectives and implementation strategies are consistent with existing country programs or other donor assistance frameworks, as well the objectives and priorities of the governments of the partner countries. Proof is that several CAFI financed programs/projects are building on existing programs implemented by multilateral (WB, FAO, UNDP) or bi-lateral agencies (AFD, JICA, ENABEL). Co-funding activities are also noted with several agencies (JICA, WB and AFD).

The MTR team has observed that, on paper, corporate mandates, strategies and programs of work of the implementing organizations are robust and consistent with the CAFI mandate and strategies, especially the social and environmental safeguards (SESA), the inclusion of vulnerable groups

(Women, NGO, CSO, IPs). For reasons already explained, the MTR team was unable to interview a desired number of PMU and local government staff or CSO representatives. This being said, what the MTR Team was able to ascertain from the project progress reports and the few interviews with these categories of stakeholders, is that there are few ongoing activities designed specifically to address the specific development needs of these groups.

The MTR team agrees that CAFI's objectives are aligned with the Central African countries and beneficiaries needs as embedded in the National investment framework (NIF), the institutional setting and consultation platforms. As stated in the previous paragraph, gender interests have, on paper, been adequately considered in the CAFI mandate and strategy at least in the CAFI TOR and project documents and the CAFI M&E framework. All the right intentions are there, but from the project progress reports, to date the PIREDDs are not implementing activities that can directly address the needs of local CSO stakeholders. Rather, the approach to date seems to be that the local development committees will carry out projects that benefit everyone in the community. The experience of the MTR Team in three continents and many projects, shows that this is not usually the case.

Based on the above and the documentary and oral evidence it received, the MTR Team can state that CAFI's Theory of Change (ToC) is aligned with the partner country's obligations under the instruments of the international climate change agenda, such as the 3 RIO Conventions, the UNFCCC Cancun safeguards, the convention on biodiversity CBD, the convention on soil protection UNCCD to which the partner countries are signatories. The same is true regarding the sustainable development agenda as CAFI seeks to make a contribution to SDGs 1,2,3,5,7,10,11,12,15, 16 and specially SDG 13<sup>10</sup>.

However, biodiversity and fragile ecosystems are not sufficiently considered under CAFI and in the implementation of its programs/projects. A landscape and ecosystem approach<sup>11</sup>, such as the one developed by CIFOR and the GIZ is missing. This landscape ecosystem approach is targeting forest largely degraded and promotes restoration measures involving the active participation of communities. Vulnerable terrestrial ecosystems (mangroves, peatlands) are also very important as they cover significant land area of RoC and DRC. The GEF-6 funding instrument tailored to environmental protection should be interconnected with CAFI Programs.

In its design, CAFI was conceived as contributing to two development goals.

The first is to reduce emissions from deforestation and forest degradation and increase carbon removal. Towards this, CAFI selected 7 areas of work, as follows:

1. Sustainable Agriculture
2. Sustainable Wood Energy
3. Sustainable Forest Governance
4. Improved Transport and Mining Infrastructure
5. Improved Land Use Planning and secure and transparent Land Tenure

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<sup>10</sup> The targeted SDGs are: (1) No Poverty, (2) Zero Hunger, (3) Good Health and Well-being, (5) Gender Equality, (7) Affordable and Clean Energy, (10) Reducing Inequality, (11) Sustainable Cities and Communities, (12) Responsible Consumption and Production, (13) Climate Action, (15) Life On Land, (16) Peace, Justice, and Strong Institutions, (17) Partnerships for the Goals.

<sup>11</sup> Integrated Landscape Approaches (ILA) provides a basic framework for balancing competing demands and integrating policies for multiple land uses within a given area. It includes a wide range of examples: forest landscape restoration to safeguard the provision of environmental services in China; REDD+ programs in Peru and Cameroon; efforts to make the production end of value chains more sustainable; and natural resource management schemes in Ghana, Burkina Faso and the Great Barrier Reef. [http://www.cifor.org/publications/pdf\\_files/articles/AREed1501.pdf](http://www.cifor.org/publications/pdf_files/articles/AREed1501.pdf)

6. Decreased demographic pressure
7. Improved governance and inter-sectoral coordination

The second is to do the above while achieving clear development co-benefits such as:

1. increase revenue,
2. improve food security,
3. enhance bio-diversity conservation,
4. improve the business climate,
5. increase land tenure security,
6. empower women and indigenous forest dependent people,
7. promote better respiratory health and
8. increase fiscal revenues.

The MTR Team can state that the design of CAFI, as reflected in its Theory of Change, was very ambitious and its comprehensive approach to the issues related to climate change and sustainable development, the correct one.

The MTR Team wishes to point out however, that to date, CAFI has not advanced in the area of Improved Transport and Mining Infrastructure or on the co-benefits of bio-diversity conservation. In addition, as already stated, very few activities have been carried out in support of improving the business climate, and not enough to empower women and indigenous forest dependent people or increasing the revenue of local communities or fiscal revenues.

## **II.2 CAFI Management Structure**

### **The Executive Board.**

At the top of the structure of CAFI is the Executive Board. It is composed of donor countries Norway, France, the United Kingdom, Germany, the Netherlands, the Republic of Korea and the European Union. The UNDP is a member representing all the UN implementing agencies. The UN Multi-Partner Trust Fund (MPTF), as the host of the financial agent of the CAFI Fund, is an “ex-officio” member of the Executive Board. Several organizations are also invited to EB meetings in an observer capacity. Amongst these, are other UN and Non-UN implementing agencies such as the FAO, the World Bank, (both of which are permanent observers) and others such as the Agence Française de Développement (AFD), the Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH (GIZ), which are also commonly called in as observers.

The MTR Team had the opportunity to attend two Executive board meetings and additional ad-hoc consultations as observers. It was also able to ask questions to many stakeholders regarding the composition and functioning of the CAFI Executive Board and had access to all EB related documentation. The opinions and information received were triangulated to ensure consistency/accuracy.

Based on all of this, the MTR Team concludes that the CAFI Executive Board is operating as designed. Its decisions are fully consistent with the Terms of Reference of CAFI and therefore with the international Environmental, Climate Change and Sustainable Development agendas. It guides effectively the process of leading the policy dialogue with partner countries; reviews and approves Letters of Intent, which are agreed political frameworks that bind partner countries to CAFI as well as their stated targets; studies and approves the criteria for the independent reviews of the National Investment Frameworks on the basis of which CAFI funds are targeted; reviews the performance

targets of the partner countries; reviews and authorizes the disbursement plans of the CAFI Fund and makes adjustments as required; commissions the required evaluations of the CAFI FUND and in general, guides and reviews the work of the CAFI Secretariat.

While, as stated, there is a general opinion that the EB is performing to high standards, a number of interviewees felt that possible implementing organizations participating as observers in the Executive Board could pose questions of conflict of interest, since the EB plays a role in assigning funding. The MTR Team did note that agencies have been excluded from accessing certain documentation or accessing EB sessions where program allocation discussions occurred. The MTR does not pronounce itself on this point, but rather raises it, as something the EB may wish to consider at a later date.

The MTR is convinced it is important that when EB members are called by their governments to undertake a different post, there is a process that guarantees that the new incumbent is fully briefed so as to avoid losing acquired knowledge that is of great value in contributing effectively to the workings of the EB.

The MTR Team noted that there are no research centers of excellence as members of the CAFI EB. It noted that individual EB members do consult in an ad-hoc manner, research centers in their respective countries on CAFI issues. The MTR Team is convinced that, while increasing the size of the EB to include new membership is not desirable, the EB might wish to consider establishing formally a Technical Consultative Committee to which it could refer key documents and proposals for review and recommendation when judged appropriate.

The MTR Team also noticed that the private sector had not been mobilized a CAFI partner. Several major corporations investing in the mining, energy and wood products trade, such as, to give but a few examples, Shell and BP, Goldcorp or IKEA to name but a few have communicated the importance of “going green”. Securing the explicit support of such companies endorsing CAFI’s objectives and modus operandi would, in the opinion of the MTR Team, greatly enhance the negotiating position of CAFI vis-a-vis partner countries. Eventually, even having the private sector contribute financially to the CAFI Fund itself could perhaps be envisioned

Consistent with the above points, the MTR makes recommendations designed to strengthen both the EB access to very specialized technical expertise, as well as create a private sector support group (see recommendations 2 and 7 under the corresponding chapter below).

**The Secretariat.** Supporting the EB is the CAFI Secretariat. It is currently composed of 3 permanent staff, 2 Junior Professional Officers (JPOs) and limited general service staff based in Geneva, Switzerland and 1 UNV based in Brazzaville, Republic of Congo. A fourth professional level in Geneva position was approved by the EB, but is still to be recruited. Further additional proposed posts are currently being considered.

The functions of the Secretariat are to: support the development and submission of National Investment Frameworks (NIFs); facilitate the policy dialogue between partner countries and the CAFI Executive Board; support the strategic dialogue between partner countries, implementing organizations and the CAFI Executive Board, including the development of Letters of Intent; support monitoring and evaluation (M&E) efforts, including progress reports and financial reporting; prepare and organize Executive Board meetings; and manage knowledge and support South-South cooperation and exchanges through coordinated efforts with the Executive Board, partner countries and other CAFI stakeholders.

The MTR Team was given the ToR of CAFI and of the Secretariat, as well as a wealth of other relevant documentation on which to form an opinion on its effectiveness. It interviewed virtually all the Secretariat staff at least once and in some cases more than once. It further interviewed donor members of the CAFI EB, UN MPTF staff, UNDP HQ staff, WB and FAO staff, FONAREDD staff, government staff, relevant international NGO staff, staff of research centers of excellence and implementing agency staff all of which shed light on the workings of the Secretariat. The opinions and information received were triangulated to ensure consistency/accuracy.

The CAFI Secretariat is unanimously perceived as being extremely motivated and dedicated to ensuring that CAFI objectives are met. Simultaneously though, there is also clearly the opinion that the Secretariat's human resources are already overstretched to handle the current volume of work, much less to cope with the expected growth, as the programs in Gabon and the RoC grow and other partner countries are incorporated. The current Secretariat staff are short in the number of staff requiring at least two additional professional posts in Geneva; one to deal with new programs and one to work on bringing in the private sector (international and local) as CAFI partners in promoting a more sustainable developmental approach to investments in mining, infrastructure, energy, plantation agriculture and wood harvesting. Likewise, at the HQ level, the MTR noticed that professional staff time is used for repetitive activities such as drafting routine correspondence. At least one more post at a G6/G7 post should be hired in order to free professional staff to concentrate on other tasks.

Moreover, there is also the wide belief that the Secretariat has, as is natural at this stage of CAFI's lifecycle, concentrated on promoting the policy level dialogue, identifying the right partners to do so, and establishing the right policies and legal instruments. However, the Secretariat appears to have lacunae as to the implementation of the field projects and programs. After reviewing the CAFI M&E framework and interviewing implementing agency staff and CSO, IP and Women's representatives, as well as analyzing the work of TERE in DRC, the MTR Team shares this concern. In the MTR Team's view, there is a need to have a solid field presence to ensure that the projects move along at a faster rate of implementation and that their Outputs and Outcomes can easily be linked to the CAFI M&E framework. Based on the information gathered and its analysis, the MTR Team is convinced that there should be a Secretariat presence in the DRC covering that country and the RoC, another in Gabon covering that country and Equatorial Guinea and eventually another to cover Cameroon and the CAR. This presence should be at the P4 level and these posts would assist both the Secretariat and the EB member country Heads of Mission in the policy dialogue, but just as importantly, monitor on a constant basis the implementation of projects to ensure the quality of outputs and their timely delivery.

The Secretariat has done a great job functioning as a team. The common work background of its members, the personal relationships they have established, their commitment to a shared vision and their willingness to put in long hours and cover one for the other as the work required have all been incredible assets. However, as the Secretariat grows, the MTR Team is convinced that it is important to structure its work in a more organic approach. It is important to hire a consultant to draft clear Job descriptions for all posts, existing and new. This will be basic to work in a larger and more decentralized environment.

The MTR Team noted that there were concerns that conflict of interests may arise as a consequence of the various roles that UNDP plays in the overall CAFI scheme. It is a member of the EB. It hosts the CAFI Secretariat, all of whose members hold UNDP contracts. It hosts the UN MPTF which is CAFI's fiduciary agent. Finally, it implements many CAFI programs and projects in the field. While the MTR Team is well aware that UNDP is a highly decentralized organization and that different units

within UNDP are responsible for each of these functions, it too agrees that the current arrangements are not optimal. Actions need to be taken in this respect.

Consistent with the above points, the MTR makes recommendations on both the staffing and the institutional placement of the CAFI Secretariat in the corresponding section of this report (see recommendations 3,4 and 5 under the corresponding chapter below).

**The UN MPTF.** This Unit, currently managed by UNDP, as CAFI's fiduciary agent, is tasked to assist "... the UN system and national governments in establishing and administering pooled financing mechanisms—multi-donor trust funds and joint programs—to collect and allocate funding from a diversity of financial contributors to a wide range of implementing entities in a coordinated manner." It does so, under instructions of the CAFI EB and in close cooperation with the CAFI Secretariat.

For the DRC, the UN MPTF established (prior to the existence of CAFI) another Trust Fund called "Fonds National REDD+" or FONAREDD, through which CAFI funds are channeled.

The MTR Team had the opportunity to review a series of documents that shed light on the effectiveness of the work of the UN MPTF Office including of course the Standard Memorandum of Understanding with CAFI, the Administration Agreement with World Bank, and the generic Administrative Support Services Agreement with UN agencies, the UN MPTF latest consolidated Financial Report as of 31 December 2019 and of course the CAFI Fund annual reports for 2017, 2018 and 2019. It also accessed the FONAREDD's annual reports, the consolidated Financial Reports and the various program and project progress reports.

The MTR Team also questioned members of the EB, the CAFI Secretariat, UN MPTF staff, WB staff, FAO staff, AFD staff, FONAREDD staff and implementing agency local staff to gain insight on the efficiency with which CAFI funds were being managed.

The MTR Team noted that there is a general consensus that the UN MPTF is efficient in managing, disbursing and accounting (at the global level) for CAFI funds. The UN MPTF financial transactions are audited by the internal auditors of UNDP. The MTR Team agrees with this perception. However, at the project level, it was noted that the project funds are not systematically subject to financial or quality audits. Each implementing agency applies its own financial rules and when projects are audited, the reports are not systematically shared with the UN MPTF.

Consistent with the above points, the MTR makes recommendations on both the staffing and the institutional placement of the CAFI Secretariat in the corresponding section of this report (see recommendation 11 under the corresponding chapter below).

**The FONAREDD.** This Fund, a structure that is specific to the DRC, was established in 2015, as a stand-alone Fund, designed to attract funding for REDD+ investments. The fund has not attracted any significant financing outside of the financial resources that CAFI has channeled through it. In time, it has additionally filled the need to coordinate inter-ministerial actions designed to reduce emissions from deforestation and forest degradation and is attached to the Ministry of Finance. CAFI has contributed US\$ 200 million to finance policy formulation and to the formulation of sectoral programs and integrated, multi sectoral decentralized provincial programmes called PIREDDS. The FONAREDD aspires to expand its resources from other sources such as the Green Climate Fund.



FONAREDD is guided by a series of management structures.

- At the top is the Steering Committee (“Comité de pilotage”, or COPIL) which de-facto is the Executive Board of FONAREDD. This Committee is chaired by the Minister of Finance, and Co-chaired by the Minister of Environment and sustainable development (MEDD). It includes representatives of sectoral ministries at the Minister level (Agriculture, Energy, Land use Planning and Land Tenure) as well as a representative of CAFI and of the donor community. A representative of an umbrella organization representing civil society, the “Groupe de Travail Climat Rénové” (GTCR-R) also sits on meetings of this Committee. The Purpose of the COPIL is to provide guidance to FONAREDD programs and projects; to review and validate all documents related to FONAREDD; approve proposed financial allocations; approve project roadmaps; and to review the program/project progress reports and reports of the Technical Committee and provide guidance as to their follow-up.
- To advise the COPIL on technical matters, a Technical Committee has been established. Its functions are to select project proposals from possible implementing partners, as well as to review project proposals, roadmaps, project documents, project progress reports and other related documents. This Committee is chaired by a representative of the Ministry of the Environment. The Coordinator of the FONAREDD Secretariat, the Deputy Coordinator, the Director of the National Green Climate Fund Authority, a representative of NORAD, a representative of UN REDD, a representative of CAFI, a representative of the World Bank, a representative of GTCR-R and an international expert are all members of the Technical Committee.
- FONAREDD has also a small secretariat, currently composed of thirteen technical and operational staff. Their function is to manage the day to day management of funding, follow the implementation of the roadmaps, prepare requests for expressions of interest, prepare management tools, follow the progress of the projects it finances using CAFI funds, participate in the oversight committees created by the implementing agencies, monitor and evaluate those projects, to disseminate lessons learnt and report on the use of funds.

The ToR of the MTR Team did not include an evaluation of the FONAREDD structures. However, in order to understand the effectiveness of the projects and programs financed by CAFI in the DRC and thus their contribution to the achievement of CAFI’s Outcomes, the MTR Team had to understand FONAREDD’s operations and the effectiveness of its support functions.

To do this, the MTR Team has had at its disposal the ToR of FONAREDD, the Protocol and Memorandum of Understanding between the Government of the DRC and the UNDP on behalf of the UN MPTF, the FONAREDD Operations Manual, the DRC REDD+ Investment Plan, the CAFI Lol with the DRC and the Independent verification of the Milestones of the Letter of Intent (carried out by TERE). The Team also interviewed the CAFI EB, members of the CAFI Secretariat, UNDP, WB and FAO staff at headquarters level, staff of the MPTF, senior staff of FONAREDD, staff of the implementing agencies in the DRC and staff of TERE.

As stated, the FONAREDD was not intended to function as an arm of the government of the DRC, but rather as a Fund (partnership) where the interests of the DRC and those of the international climate and development agenda would meet.

Based on all the information described above, the MTR Team found that there is a general consensus that FONAREDD has functioned more as a government counterpart unit to CAFI and served to bring together various ministries and civil society institutions in the DRC at the level of the policy

discussion. In this sense, it has been a useful partner for CAFI in the execution of projects that are designed to produce policy documents and legal frameworks at the national level.

The situation differs when we talk of the projects receiving financing from CAFI being executed outside of Kinshasa. Once an implementing agency is selected, its project proposal approved and the project document drafted and signed, FONAREDD has had limited intervention in their monitoring and evaluation. The reasons for this limitation have to do with the country's geography, but also very much with the FONAREDD Secretariat's real operational capacity.

At the time this report is written, the FONAREDD Secretariat has, in real terms, two nationals and a JPO to follow the M&E frameworks and project quality control (although there apparently plans to recruit additional staff). A second JPO has been assigned to support the gender component of projects. Therefore, not surprisingly, the MTR Team was appraised that very few projects had received monitoring visits that included FONAREDD staff. The only information that FONAREDD (and CAFI) has regularly in regard to the progress being made by those projects, comes from the implementing agency Project Progress Reports. Therefore, the information they contain on progress made, outputs achieved and the quality of those outputs, must be accepted at face value. Even the Independent verification of the milestones of the Letter of Intent carried out by TERE, was entirely performed based on these documents and interviews carried out in Kinshasa. Due to the COVID crisis, the 2<sup>nd</sup> verification being carried out as we write this report is being done via internet and is again based on Project Progress Reports without the benefit of field verification.

During the Mid-Term Review the MTR Team was made aware that the government of the DRC had established another agency called the Congolese Agency for Ecological Transition and Development (ACTEDD). It is attached directly to the Office of the President of the DRC, who will preside its steering committee. Its ToR appears to overlap with FONAREDD's coordination function. The MTR Team was made aware that the Head of that agency had recently invited FONAREDD to meet and discuss their respective roles on at least two occasions. FONAREDD had yet to respond to these invitations. The MTR Team is very aware that deciding who plays the coordinating role in the DRC is strictly a sovereign decision of its government. However, the MTR Team is convinced that CAFI should be aware of this situation, as it may have implications for CAFI's program in that partner country.

Based on all the evidence available to it, the MTR Team is of the view that is important for CAFI to envisage having its own field presence, both in the DRC and other partner countries to monitor its programs in conjunction with partner governments. Therefore, a recommendation to this effect is made in the corresponding section of this report (see recommendation 3, under the corresponding chapter below).

**Implementing organisations.** The UN MPTF was created to establish funds that could be accessed for implementation only by agencies of the UN System. This has subsequently been amplified to include non-UN agencies. In the case of CAFI, in addition to the UNDP, FAO, UNOPS, UN HABITAT, UNCDF, UNFPA and the World Bank, other non-UN agencies have been given access to implement CAFI financed projects. These are all bi-lateral donor agencies such as the AFD, ENABEL and JICA.

The MTR Team had access to all the project documents and annual progress reports for these projects and had interviews with the EB, the CAFI Secretariat, UNDP, FAO, WB and AFD headquarters staff, UN MPTF staff, FONAREDD senior staff, GTCR-R members (IP, Gender and Private Sector), selected Research Center staff and UNDP and FAO staff in the DRC.

## ***Overview of programs portfolio***

All CAFI partner countries, excepting the DRC and Gabon, received preparatory grants to develop their REDD+ NIF and some additional project proposal.

In terms of large programmes:

- In Gabon only one project has recently become active, another is about to start and a third is scheduled to begin operations shortly.
- In the DRC there are 16 ongoing programmes. Most of these have started late in relation to the anticipated inception time and as reported in the TERA report on the advancement of milestones up to 2018, most were experiencing delays in their implementation. Of the 29 milestones, 17 were partially achieved (some of them still substantially behind), 7 showed no progress and one was judged to be irrelevant. Only 4 milestones had been reached. TERA points to a series of reasons why the attainment of various milestones is delayed. Amongst these are that some milestones are drafted in a somewhat vague language and without clear indicators; that the time required for the recruitment and contracting processes of agencies were not accurately anticipated; that, in the case of PIREDDs, difficulties in operating in such a large country with poor infrastructure were not fully considered when establishing timelines; and that the effect of internal politics and the slow process of recruitment of staff in programme management units, as well as staff turnover, were underestimated.

It is not up to the MTR Team to further evaluate progress on these milestones. TERA is currently undertaking a second evaluation of progress toward the attainment of the milestones in the DRC. It is however the opinion of the MTR Team, based on its work, that while the situation may have improved somewhat, the key issues identified by TERA are still to be fully dealt with.

The MTR Team is convinced that some aspects can be dealt with at this time. The first refers to the need to establish an independent field presence of the CAFI Secretariat to accompany the implementing agents in their task. The lack of continuous monitoring of projects has led to a situation where the EB and the UN MPTF are informed of the deficiencies and delays in a post-facto manner, too late to be able to take corrective measures in a timely manner.

The MTR Team is convinced by the evidence it gathered, that the ultimate beneficiaries of CAFI Impact 2 “Poverty and Sustainable Development” were still to receive the benefits anticipated in the various PIREDD project documents. In consulting various civil society organisations, they agreed that most of the results achieved so far refer to the institutional strengthening of local governments and/or the bureaucracy of the CSOs representative organizations. Many international NGOs are more agile, better suited to work directly with beneficiaries and indeed do have the necessary fiduciary capacity. The MTR Team further notices that indeed the UN MPTF is currently working with international NGOs as implementing agents and that the FONAREDD has already expressed interest in considering such an option for the CAFI fund. Other interlocutors with which the MTR Team has interviewed in the DRC, the Republic of Congo and Gabon, have expressed support for this option. At this stage such a process should only be opened to selected international NGOs that poses the necessary substantive and fiduciary experience. Local NGOs can be subcontracted, as needed by the international NGOs as do currently the UN implementing agents.

Consistent with the above points, the MTR makes recommendations to address these points. (see recommendations 3,8 and 11 under the corresponding chapter below).

**Agents of Change** (local govt. private sector, local NGO representing Women, IPs/Local Forest Dependent Communities): The MTR Team interviewed a small number of PMU staff in the DRC and Gabon and would have desired to meet with more, but was unable to secure the necessary contacts in a timely fashion.

Policies are of use when they are implemented and result in real change. The MTR Team did meet with key private sector representatives in the DRC and Gabon, with large coalitions of NGOs dealing with gender issues in DRC and the RoC and Indigenous Peoples representatives in the DRC and RoC. The MTR Team was not able to meet with local authorities in the DRC as it was unable to secure names and contacts to do so in spite of having requested this from a couple of implementing organisations.

From these interviews and the documents that the MTR Team received, several conclusions were reached :

- The extent of local government participation in CAFI decentralized projects in the DRC (PIREDD) varies widely. This is mainly due to the weak institutional capacity of these governments.
- Private sector involvement in CAFI is limited to the participation of large federations of industrialists through FONAREDD governance structures. From the evidence received, there is little involvement of the private sector in the DRC PIREDDs.
- With regard to gender, all the project documents have general paragraphs stating that gender issues will be considered. One would expect the PIREDDs to be where specific activities to promote socio-economic activities for women are designed. However, a review of the annual progress reports shows that gender progress is measured by how many women are employed in the PMU or what percentage of participants in the meeting of the local development committees are women and in some cases on selective family planning related activities. The MTR Team was told that the choice of women's groups at the PIREDD level is not done on the basis of true representability. The MTR Team could not ascertain the veracity of this information
- As with gender, all the project documents have general paragraphs stating that indigenous people's rights and interests will be considered. Again, one would expect the PIREDDs to be where specific activities to promote human rights and socio-economic activities for IPs are designed. However, a review of the annual progress reports shows that there are very few activities specifically designed for IPs and again their involvement is measured by their participation in the meeting of the local development committees. The ones that are being carried out refer to training on the prevention of violence against women (Mai Ndombe PIREDD) and some activities on health related to family planning. The MTR Team was told that CAFI and FONAREDD are developing stricter and better-defined gender related indicators to be adopted this year.
- At the local level a standardized methodology and criteria should be used for the selection of representative groups of IPs and women.

The MTR Team makes recommendations on to address the aforementioned points. (see recommendations 7 and 8 under the corresponding chapter below).

## II.3 CAFI M&E framework

The MTR Team had the opportunity to review the CAFI M&E Framework in its revised version of 25 October 2019. This revision was drafted after consultations with some bi-lateral experts and based on the experiences achieved so far with the CAFI program in the DRC. It foresees that CAFI will make significant contributions to two desired Impacts:

- Reduce emissions and maintain or increase absorptions (within the Congo Basin)
- Reduce poverty and promote sustainable development

In terms of the specific Outcomes that CAFI is to achieve, they are 7, i.e one each for the areas on which CAFI works, as follows:

- "Agriculture encroaches less on forest lands"
- "Consumption of unsustainable wood energy decreases"
- "Forest governance and management are improved"
- "Impacts of mining and hydrocarbon activities are minimized"
- "Land use planning takes into account forests contribution to climate change, and land tenure is improved"
- "Demographic pressure on forests decreases"
- "Governance of the [climate change] process is effective, multi-sectoral and multi actor"

The M&E Framework includes 7 Outcomes with 33 direct Outcome indicators. It also includes 11 Output statements and 29 Output (product) Indicators several of which are further subdivided.

- None of the 33 Outcome Indicators have both complete baseline and completed target data for the three countries who currently have signed Letters of intent with CAFI. That is in part explained by the fact that some programs are just getting underway in Gabon and are still in the design stage in the Republic of Congo.
- The Outcomes and Outputs that have a baseline or targets for one country are not necessarily easily measurable
- 23 indicators state that no baseline data is available, and 13 target indicators are described with a single word such as "Increase", "Decrease" "Reduction" (from what to what??) or "Improvement" (without stating what constitutes an improvement). This is due to the fact that the CAFI Executive Board has chosen to depend on programmes it supports to establish baselines; but this has greatly limited the MTR Team's capacity to evaluate where we are in relation to what was planned in the ToR.

The MTR Team understands well that, in the region, there is a great shortage of reliable data on which to establish baselines, which is why CAFI is funding forest monitoring programmes. Without this, it is also difficult to establish what are realistic targets. Furthermore, the MTR Team recognizes that, if CAFI had waited until such a time as this data became available before initiating operations, the delay and the corresponding detriment to the forests, peatlands, savannahs and the living conditions of people in the region would have further deteriorated. The MTR was made aware that plans to estimate results without relying on indicators have been initiated through a perception-based methodology developed by CIFOR. The MTR Team agrees with this methodology, as an interim measure. In the medium term, we believe that it is important to tie CAFI's M&E into a system. For this reason, we make recommendation number 9 below.

Furthermore, the M&E frameworks of CAFI-financed programs/projects should derive from CAFI's M&E framework. As several of the programs/projects were designed prior to the formulation of CAFI's M&E framework, this is not necessarily the case.

All future programs/projects should contain an M&E framework that links its indicators directly to those of the overall CAFI M&E framework. The MTR Team has been made aware that in at least three CAFI EB decisions, FONAREDD has been asked to ensure this is done, without success. This reinforces the MTR Team's conclusion that a CAFI field presence is required. In the meantime, the MTR Team would propose that the implementing organisations agencies be made aware that no further funding tranches will be forthcoming until this requirement is met.

All of these voids in the M&E Framework have resulted in the MTR Team not being able to complete certain desired aspects in this report, e.g. ratings table which would require metrics derived from complete measurable baseline and target indicators.

While it is a fact that we do not have, at this stage, a complete M&E framework, this does not mean that important achievements have not been reached by CAFI, nor that the MTR Team cannot report on them based on qualitative assessments. Indeed, very valuable advances have been made and Outputs produced, as can be seen in the following section of this report. Again, the MTR Team makes recommendations on to address the aforementioned points (see recommendation 9 under the corresponding chapter below).

### **III. CAFI RESULTS**

#### **III.1 Effectiveness, Policy and Capacity Development**

In order to speak to the effectiveness of CAFI's interventions, it is important first to understand that CAFI must be viewed as a system that includes, not just Donors, the Secretariat, the UN MPTF, Government Ministries and entities (national and regional) and implementing agencies. It also includes CSOs, NGOs, the private sector and ultimate beneficiaries such as Indigenous Peoples, Local Forest Dependent Communities and Women's groups.

One must also understand that CAFI operates at two different levels:

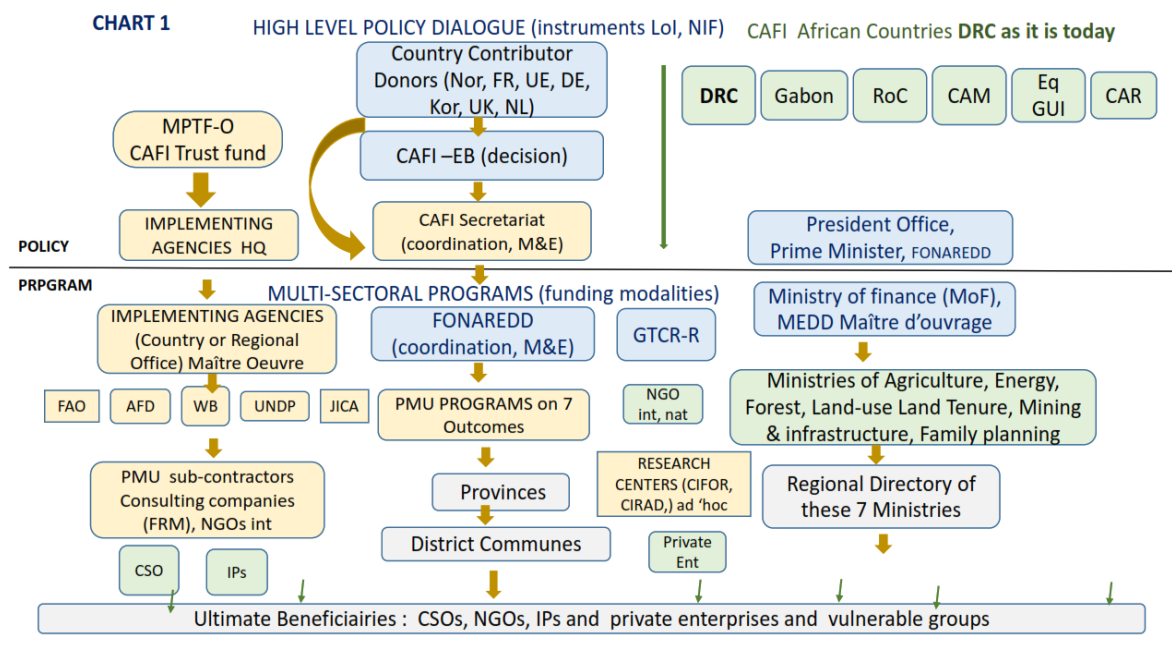
- A policy level, which includes the creation of partnerships and allegiances to further CAFI's goals and the negotiation and financing required for the production of policy documents and legal instruments in support of those goals.
- A program/project level. This includes both financing sectoral activities that flow from the policy level as well as decentralized projects to bring some of the benefits of the CAFI initiative to local actors with a view of improving their livelihoods and showcasing what can be accomplished. This last aspect is of great importance, as it is intended to show that it is very possible to carry out the necessary development initiatives while promoting conservation and sound environmental practices. This is a unique characteristic of CAFI.

The following charts were conceived to attempt to show the relationships of this System as it currently operates. The first shows the System, as it operates in the DRC and the second as the System is starting to operate in Gabon.

Later on in this report, under the section on recommendations, the MTR Team has included two other Charts that reflect the way the MTR Team feels the CAFI operating environment could be best organized in the DRC and in other partner countries in the future.

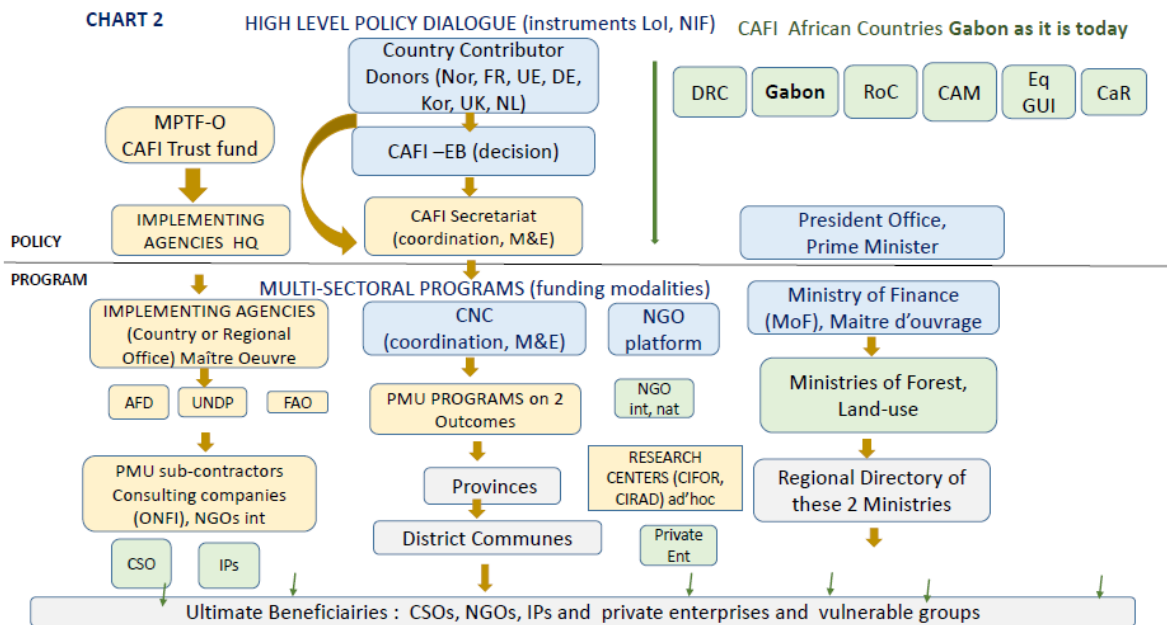
## CHART 1 CAFI AS IT CURRENTLY OPERATES IN THE DRC

In DRC CAFI has two pillars (divided in two parts upper and lower in the diagram marked by a line): 1-High-level policy dialogue with different instruments (LoI, NIF) 2- Sectoral or multi-sectoral programs covering outcomes of the LoI. The programs are implemented by implementing agencies (FAO, AFD, WB, UNDP, JICA) and sub-contractors (FRMI, NGOs). They carry out activities for and with CSOs, IPs etc. They do this through a PMU. In theory, the implementing agencies are coordinated by FONAREDD. Locally, representatives of Ministries (agriculture, energy, forest land use, land tenure, mining & infrastructure, family planning) are involved also at the provincial/local level. NGOs, research centers private sector and GTCR-R are associated with the different stages of program implementation. The Chart can also be divided into three columns. The one on the left shows the implementing structure. The middle one shows the funding and control structure. The right one the government partner structure.



## CHART 2 – CAFI AS IT CURRENTLY OPERATES IN GABON

In Gabon, the only operational difference, albeit an important one, is that the counterpart to CAFI is directly the office of the Prime-Minister. It is different from the structure of the DRC in that there is no equivalent organization to FONAREDD involved.



From this vantage point, we can start to address the effectiveness of CAFE. As stated in the previous section, a traditional approach to the evaluation of the effectiveness of CAFE cannot be carried out because of the current lack of appropriate baseline and target indicators. However, the MTR Team is able to point to many important advances that CAFE has made during the last 4 years.

### **Overall Results on Macro Policy Dialogue, Partnerships and Agreements**

- CAFE has put together a credible forum of likeminded donors interested in preserving the forests and improving people's livelihood in the Congo Basin.
- This partnership works effectively at both the EB or central level and is supported by donor diplomatic and cooperation representations in partner countries.
- CAFE has supported the drafting of the REDD + National Investment Frameworks for the RoC and Gabon. Additionally, CAFE has supported the drafting on National Investment Frameworks for Cameroon, the Central African Republic and Equatorial Guinea, which are now in a final stage.
- Productive partnerships have been established with the various ministerial level actors in the 6 partner countries.
- As a result of the discussions with CAFE, several illegal forest concessions were annulled in the DRC.
- Letters of Intent outlining the policy reforms that partner countries will undertake as well as providing access to CAFE programming funds have been signed with the DRC, the RoC and Gabon.
- Productive partnerships have been established with UN and Non-UN implementing partners.
- A total of 17 programs/projects have been approved and are being implemented (16 in the DRC and 1 in Gabon) and in Gabon, two more are about to begin implementation. In the RoC, calls for expressions of interest have been already made and proposals received.
- Contacts with Research Centers of Excellence dealing with common themes of interest to CAFE have been established, although these could still be further developed.
- Although the process of identification could be improved further, CSO, NGO, Private Sector, Indigenous Peoples organizations and Women's Organization have been identified in the DRC, RoC and Gabon with a view to ensuring wide social participation in the execution of CAFE.



- CAFI has greatly increased the visibility of climate change and deforestation issues in the sub-region.

While the above results are not necessarily reflected in the M&E framework, they are nonetheless remarkable achievements.

### ***Operational level results***

As stated above, at this level there are 17 CAFI financed projects that are operational. Of these, 16 are located in the DRC and one in Gabon. A second project for Gabon has been approved but is yet to start operations and a third is scheduled to start operations later this year. In the RoC, still at the level of negotiations with the Government on the selection of agencies to develop programs, following the call for expression of interest.

Results at this second level can be further segmented into projects designed to implement policy decisions (such as support documentation, legal instruments) and those that are multi-sectoral and to be executed in a decentralized setting (called PIREDDs in the case of the DRC). We shall describe both of them by expected Outcomes, as follows:

#### **Sustainable Agricultural Practices**

The objective of CAFI for this outcome, as stated in its ToR, is to ensure that sustainable agricultural practices lead to less land conversion and increased food security. Two outputs are foreseen in the CAFI M&E framework: (1) rural development is better supported and structured; and (2) CAFI support to the agricultural sector reduces poverty. This axis receives CAFI support to the tune of US \$ 33 million towards two sectoral projects and all PIREDDs. Up to the June 2020, all of these projects are restricted to the CAFI program in the DRC.

**DRC - PROJECT “Sustainable Agricultural Policy” implemented by FAO. Budget US \$ 3 Million. Duration 36 months. Start date 30/07/2019. Estimated completion date 30/5/2022.**

With regard to the first, “Sustainable Agricultural Policy” the main successes of this project achieved so far are:

- Reconfiguration of CEMALA (Cellule d'Elaboration des Mesures d'Application de la Loi Agricole) into a multi-stakeholder platform for the development and monitoring of a sustainable national agricultural policy.
- Establishment of Technical Working Groups (TWG).
- Elaboration of the terms of reference for the realization of the updated diagnosis of the agricultural stakes and opportunities.  
Setting up, within the Ministry of Agriculture, of a Technical Unit bringing together 5 experts (2 seniors and 1 assistant and 3 juniors) who will serve as the nucleus in the process of agricultural policy formulation and monitoring and capacity building.
- Finalization of the terms of reference for the elaboration of a basic reference frame for the sedentarization of agriculture.

- Preparation of a Memorandum of Understanding with the National Institute for Agronomic Studies and Research (INERA) for the elaboration of this reference frame.
- Acquisition and provision of computer equipment for the Archives and New Technologies Branch of the Ministry of Agriculture, to host the website.
- Recruitment of a Web Designer/Consultant to set up the website of the Ministry.

**DRC - PROJECT “Savannah-based and degraded forests agriculture” implemented by the AFD. Budget US \$ 15 million. The project was approved on November 26, 2019.**

This project is just starting and there is nothing to report yet.

Six other decentralized integrated projects or PIREDDS also have an important agricultural component and as such, are designed to make also significant contributions towards sustainable agriculture, forestry and energy. The implementation of these projects is behind the foreseen schedule. Some activities in earnest started in 2018. While most outputs are still to be produced, some modest achievements have been made so far. Amongst them are:

- A Sustainable Agricultural Management Program validated by a PIREDD COPIL
- Mai Ndombé and Orientale PIREDDs have set up a support structures for agricultural development
- diagnostics to better understand the agricultural value chains is available and accompanied by an action plan in Mai Ndombé, and a similar one has been initiated in Orientale; several small nurseries have been established.

For more information on what the PIREDDs are doing on agriculture, please refer to ANNEX A below.

Of course, several other cross-cutting projects have activities that support this axis, such as Land Use Planning, Land Tenure, the Forest Monitoring System, Family Planning and others. We report on the achievements of these projects under separate headings below.

In interviews with the various stakeholders regarding the agricultural component of CAFI’s program in the DRC, a series of important points were made.

A key one, heard several times, was that neither the Ministry of Agriculture nor FONAREDD really has the means to properly monitor activities taking place outside Kinshasa. Another was that the implementing agencies chosen, were very bureaucratic in their approach, leading to what many felt were unnecessary delays in the implementation of activities at the field level. These points also apply to projects in other sectors. The complaints the MTR Team heard, referred to delays due to agency recruiting staff selection and procedures; agency contracting rules and regulations that require the intervention of agency units that are located in other countries within the region or even centralized in the agency’s headquarters; a lack of appropriate and regular monitoring of project activities at the project sites; and insufficient contact with the CSOs (representative groups of forest dependent community members, locally representative women’s groups, local private sector etc.). The MTR Team was also able to identify that the complexity of some of the operations, as designed, is not fully understood by all stakeholders. Per example, the MTR Team was told that for the implementation of the Mai- Ndombe PIREDD project a consulting firm (Forest Resources Management) as well as local staff had to be recruited. This meant that close to 100 people possessing several different profiles needed to be identified and recruited.

A complaint was also heard in regard to spoiled seeds and seedlings having been provided to local farmers by the PIREDD Oriental project. Apparently, this was due to the cumbersome process to

secure certification. This has delayed the implementation of the project and a discussion is currently underway to determine who will pay to replace these inputs.

### ***Sustainable Wood Energy***

**DRC - PROJECT “Sustainable wood energy program” is implemented by UNDP and UNCDF. These UN agencies have associated to the implementation of this program two NGOs, the CIRAD and the Global LPG-Partnership. Budget US \$ 15 million. Duration 60 months Start date 01/12/2018 Estimated completion date 01/12/2023**

The objective of CAFI for the first Outcome, as stated in its ToR, is to ensure that sustainable alternatives to current wood energy practices are adopted. Three Outputs are foreseen in the CAFI M&E framework: (1) increase the availability of improved energy solutions; (2) increase the production of sustainable fuelwood; and (3) increase employment in the improved energy solutions sector.

It is designed to be implemented in 48 months. The counterparts are the Ministry of Water Resources and Electricity, the Ministry of Hydrocarbon, Ministry of the Environment, the Ministry of Gender and Family and the Ministry of the Budget and Foreign Trade. Other Congolese CSOs are also involved such as the Congolese Alliance of Households and Improved Fuels (AFCA).

In spite of trying, the MTR team was not able to interview government staff from the Ministries, only the implementing agency and a newly established agency ACTEED dealing with green development and energy efficiency. The level of disbursement of funds, to date, is very low around US\$ 1.4 million or 10% of the budget. There is an urgent need to implement the foreseen activities at a much faster pace.

The MTR team found that the PRODOC and annual reports are not sufficiently detailed in terms of the objectives, results, management plan and clarity of outputs. In this respect we refer the reader to the Results Framework (pages 123 through 128) of the Project Document where it is clear that there are a lot of baseline and target indicators missing or vague.

For such a complex economic sector connected with LUP, rural development and enterprise activities (including mining and logging operations) it is important to use lessons learned from other countries regarding methodologies developed to assess the demand of wood-fuels, GPL or renewable energies. Therefore, relevant renewable energy studies should be taken into account. Such studies, developed in several countries on both energy efficiency and estimating the production of wood-fuels, charcoals and their demand in the context of growing population are widely available. (see recent wood-fuel studies in Madagascar developed by the ASA program<sup>12</sup>; others in Morocco<sup>13</sup> and Togo and the Wood-fuel Integrated Supply/Demand Overview Mapping,

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<sup>12</sup> To cite the article Charpin M., Legeay D., Rabemanantsoa N., Richter F., 2019. Caractérisation des filières bois-énergie et élaboration du schéma d’approvisionnement en bois-énergie de la région Analamanga, Madagascar. Bois et Forêts des Tropiques, 340 : 13-25. Doi : <https://doi.org/10.19182/bft2019.340.a31704> all reports are available on <http://asa.bace.mg/les-axes-dactivites-asa/filiere-bois-energie-reboiseme>.

<sup>13</sup> Jorez J-P., Guidal A., Gardette, E (2014-2017). HCEFLCD National and regional wood-energy production & consumption’ study in Morocco for the HCEFLCD Haut-Commissariat des Eaux et Forêts et de la Lutte Contre la Désertification. 2 volumes and Excel Files for demand and offer of wood-energy. <http://www.eauxetforets.gov.ma>

(WISDOM) program implemented by the FAO in several countries<sup>14</sup>).

Several feasibility studies are to be developed including: one on wood-fuels, another on GPL and a third on renewable energies (Micro-hydro).

The wood-fuel feasibility study should document the consumption of wood-fuels by the urban and rural population in order to establish a current baseline. The supply chain and market for wood-fuels, charcoals in the cities and rural areas, the market price and the flow of wood-fuel supply and the kind of cooking stoves used by the population in main cities should also be documented. The second study should assess the market of GPL in Kinshasa and in the provinces. The third, is to conduct feasibility studies on micro-hydro potential in different pilot sites in order to provide electricity to: Mabinza (1,2 MW) for Ketu in Bas Uele; Mambase (around 200 KW) center of Irumu in Ituri; Yame (232 KW) for Bambuzi in the Tshopo; Wede (less 100 KW) for Banalia in Haut Uele.

Of course, a project favoring efficient cooking stoves to be disseminated at large scale can have a significant impact on the rate of forest degradation. Establishing fuelwood plantations, both as a mean to provide activities for local communities and vulnerable groups (IPs, women) and to increase the supply of fuel wood from sustainable plantation resources, is very desirable.

The MTR evaluation team found that this strategic sector is behind schedule, lacking a reference study on supply and demand for wood-fuel and charcoals at national and provincial level. This study is essential to develop wood-fuel plantations in the most adequate place and to distribute improved cooking stoves at the right beneficiaries. Access to electricity is very limited outside urban main areas and therefore renewable energies in enclave zones require fast development in order to reduce forest degradation.

Sparse work has been carried out to date by the PIREDDs on this Outcome. The Mai Ndombé PIREDD has started small wood-fuel plantations using Acacia and the Kwilu PIREDD has trained operatives on charcoal production from Acacia and the Orientale PIREDD has started the process of procurement of improved cook-stoves to be distributed to the population.

### ***Sustainable Forest Governance***

The objective of CAFI for this Outcome, as stated in its ToR, is to ensure that forestry sector institutions has the capacity and the legal framework to promote, monitor and enforce sustainable forest management. The Output foreseen is to (1) ensure that the monitoring of timber legality is effective.

Two forest governance projects are addressed in DRC. Another program is to take place in Gabon, combining a multi-sectoral approach to land use planning and national forest monitoring.

**DRC - PROJECT “National Forest Monitoring System” (NFMS) is implemented by FAO. with a foreseen duration of 48 months. Budget US\$ 10 million in two phases. Duration 48 months. Start date 01/01/2017. Estimated completion date 31/12/2020**

Its main counterpart is the Ministry of the Environment and Sustainable Development. FAO and the

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<sup>14</sup> Masera O., Ghilardi A., Drigo R., Trossero M. A. A GIS-Based supply demand mapping tool for wood-fuel management (developed by FAO) <https://doi.org/10.1016/j.biombioe.2006.01.006> over 40 publications in 20 developing countries available on <http://www.wisdomprojects.net/global/pub>

government have involved as partners in the program's implementation the Forest Satellite Observatory for Central Africa (OSFAC) as well as the Wildlife Conservation Society (WCS) and the World Resources Institute (WRI).

The MTR team found during the interviews a solid degree of commitment of FAO staff. Despite repeated requests, the Team was not able to interview government staff of the MEDD to ascertain their opinion on how this program reflected their expectations and their level ownership, their views on the future sustainability of the program's proposed Outcomes, or the adequacy of the improved tools provided to monitor major deforestation by other related programs, such as the to the NFMS by Satellite Land Surveillance System (SSTS), the National Forest Inventory (IFN), the Forest Reference Emission Level (FREL), the program of the Green House Effect Inventory (IGES).

According to the independent verification and interviews undertaken, project activities are well advanced under this program, as most of the activities are scaled-up versions that are continued from a previous program. The MTR team found that the PRODOC and annual reports are sufficiently detailed and informative.

While forest degradation and deforestation are still prevalent in DRC at a high rate (1%), it is important to have operational instruments to control the forest cover and biomass loss, the occurrence and scale of events of deforestation using satellite imagery in a vast country where many provinces are still enclaved and remote.

The FREL Forest Reference Emission Level (t Co2 eq. year) was estimated to 979 MtCO2 equivalent for 2015, 1,028 MtCO2eq. for 2016, 1,078 MtCO2eq. for 2017, 1,128 MtCO2eq. for 2018 and 1,177 MtCO2eq. for 2019 as submitted to UNFCCC gateway.

The following forest governance instruments are in place and operational at the MEDD:

- SSTS and SNSF National Forest Monitoring System web-gateway has been improved using a different methodology to process interpret satellite imagery and publish them on-line. However, the staff of the DIAF (Division of forest mapping of the MEDD) still require further training to master the new approach developed by FAO.
- The national forest inventory (NFI) is not yet completed in some remote provinces such as Nord-Kivu, Maniema, Tanganyika and Kasai, but some adjustments were made to overcome this gap of data.
- Monitoring of major deforestation events (MDE) were supported by the WRI. The proposed methodology is currently being adjusted and synergies will be made with the GDA program on sustainable agriculture managed by FAO. Spatial layers of major deforestation events (MDE) will be transmitted to territorial inspectors to assess the type of MDEs observed in the field.
- The inventory of GHG (IGES) is still delayed and is currently expected to be completed in 2020. However, there are some still some uncertainties. They refer to how well the staff of MEDD (specifically those of the DIAF and DDD) will be able to apply these tools to monitor forest parameters after FAO ceases. CAFI should ensure that the required technical staff are well-trained and agreements reached to ensure their permanence in their respective units.

The expected results of this program include monitoring the changes in forest cover (Terra Congo); an inventory of forest carbon that allows the proactive monitoring of major deforestation events; a data base that

meets UNFCCC criteria in order to allow access to results-based payments related to reductions in deforestation; revised Forest Reference Emissions Level (FREL) submitted to the UNFCCC and the first Biannual update report drafted for the UNFCCC. Seventeen Indigenous micro-projects were validated by IPs to participate in the national forest inventory (to be completed covering 85% of the country). The National Forest monitoring system is partially operational. However, 2016-2018 data is still pending, and newest data on forest cover for the period 2014-2016 and major deforestation events are not accessible to the public, awaiting validation by the MEDD.

A process to launch of the reform of the Forest policy was initiated, but the process requires more time than originally foreseen. A forest sector roadmap was negotiated with the government to support the key policy processes and reinforce the legality of the forest sector through a legal review of the concessions.

**DRC - PROJECT "Sustainable Management of Forests" (PGDF) is implemented by AFD. Budget US \$ 12 million. Additionally, the project has US \$ 4 million in co-financing from AFD. Starting date 23/07/2020. Estimated Completion date 23/07/2024.**

The project was supposed to start at the same time with the national forest monitoring system's program implemented by FAO. The PGDF program was delayed due to delays in meeting preliminary conditions by the Ministry of Environment and Sustainable Development (MEDD) who had issued new logging concessions that were in contradiction with the moratorium that had been approved.

The MEDD had attributed several illegal logging concessions over the years. Three concessions for a total of 650,000 hectares in Equateur, Tshuapa and Tshopo Provinces in 2015. In July 2016, a coalition of international NGOs informed the CAFI secretariat and Executive Board that the moratorium set in 2005 was breached. The CAFI Secretariat and the EB carried out further investigations and discussions with the MEDD and DRC government, to obtain the cancellation of these illegal concessions by ministerial decree.

The result was that the Sustainable Management of Forest Program (PGDF) was delayed for a year and half, conditional to the review of the legality of logging concessions.

After negotiations between the MEDD, the CAFI secretariat and the EB and other stakeholders, it was decided that the EU delegation in DRC fund a mission to evaluate the legality of all logging concessions given since the moratorium. The TORs have been finalized and the mission will take place before the end of this year.

The MTR team was able to interview the AFD both at headquarters level and their country representative in the DRC, but it was not possible to assess any activities, as the program has just been signed by AFD and is due to start before the end of the year.

Expected results of this program include: (i) the elaboration of a strategy to strengthen the economic governance of the sector; (ii) the elaboration of a transparent and participatory Forest policy; (iii) the sustainable management of forests by communities and territorial entities; (iv) ensure that

management of large forest concessions is performed in accordance to Congolese law; (v) strengthen the capacity of local forest administrations.

In Gabon, the LUP strategy has linked the land use planning policy sector with the monitoring of the forest and forest governance. A project is being financed in support of this strategy.

**GABON – PROJECT “National Land-use planning and forest Monitoring System to promote sustainable development strategies” It is implemented by the AFD. Budget US \$ 18.4 Million. Duration 60 months  
Start date 19/09/2018 Estimated completion date 31/08/2023**

The project promotes sustainable development strategies for Gabon” implemented by the AFD. Its duration is estimated at 60 months. For the government, the agency in charge is the National Climate Council (CNC), and two agencies, the Gabonese Agency for Spatial Observation and Studies (AGEOS) and the National Parks Agency (ANPN) as well as two NGOs the Network of Civil Society Organizations in Pro of a Green Economy in Central Africa (ROSCEVAC) and Gabon, My land My right, are also intended to play a role.

The MTR team found that the project document is well-detailed and clear (in both its objectives and management plan). During the interview with country counterpart the CNC and the PMU, the MTR team ascertained that the staff has been recruited and PMU is well established. However, only a small part of the required amount to initiate activities in earnest was transferred by AFD headquarters to the PMU. The MTR Team was told, that the causes of this inconvenience had now been corrected. The first steering-committee meeting was held in August 2019.

There are a series of activities that need to be started in order to promote forest governance. They are in the process of completion. A draft forest strategy was presented to the Council of Ministers; the dialogue with the EU-FLEGT program was renewed; datasets for Forest Reference Emissions level were prepared, as well as biannual update reports; national communications were harmonized. An audit of concessions and a review of a forest management plan, is being prepared in order to improve forest governance.

There are several tools (FREL, NFI, EMD, IGES) to promote sustainable forest governance in DRC, but ownership and the capacity to independently use those tools still needs to be reinforced in order to secure future CAFI’s investments.

Similar activities are carried out in Gabon under the National Observation System for Natural Resources and Forests (SNORF) to update the FREL, and the NFI, but with advanced funding from the government resources pending the further release of funds by AFD headquarters.

In Mai Ndombe PIREDD some 600 local (village level) development committees (LDCs) are reported to have been established, some production of acacia seedlings has taken place and 540 Ha. of cassava have been planted. Sites were identified in Mongala for tree seedlings. In general, activities on community forestry are at an initial stage in most of the PIREDDs.

### ***Improved Transport and Mining Infrastructure***

The objective of CAFI for this outcome, as stated in its ToR, is to ensure that future infrastructure and mining projects minimize their overall footprint. The sole Output for this outcome foresees that the impact (footprint) of infrastructure and mining activities on the forest are anticipated and minimized.

**No programs are yet approved for this Area. However, for reasons explained in the following paragraphs, it is an important area for CAFI and work on it should be started as soon as possible.**

The Congo Basin CAFI partner countries are well endowed in minerals and hydrocarbons. Per example, the DRC is an important producer of copper, cobalt, diamonds and gold with an estimated 2 million people involved directly or indirectly in mining. It also produces 25,000 barrels of oil per day in offshore deposits. However, there are at least two other potential basins with oil in the country as well as a potential to produce 30 billion cubic meters of methane and natural gas. Gabon is a world leader in the production of manganese and Potash, uranium, niobium, iron ore, lead, zinc, diamonds, marble, and phosphate deposits have also been discovered, of which several deposits are being exploited commercially. The country is the eighth largest producer of oil in sub-Saharan Africa and has extensive oil and gas reserves. The Republic of Congo has known deposits of iron ore, diamonds, phosphate, potash and gold (some already being exploited) and is a major oil producer with large oil and gas deposits. Equatorial Guinea is an important oil and gas producing nation. The areas under production are for the moment limited to off shore operations around Bioko island and the Rio Muni continental shelf. In the mainland some artisanal gold operations exists as well as the potential for the production of columbite-tantalite. The Central African Republic has deposits of Gold, Diamonds, Uranium and Iron and exploration for hydrocarbons has taken place, interrupted by civil unrest. Cameroon has deposits of bauxite, cobalt, gold from lode deposits, granite, iron ore, nepheline syenite, nickel, rutile, uranium and of course is an important producer of hydrocarbons, 90% of which come from off shore deposits. As such, the potential for the mining and hydrocarbon sector to deforestation is quite large.

In conceiving the interventions CAFI would support in the Congo Basin, it was foreseen to work on this potential driver of deforestation. In the DRC, the Terms of Reference for a program to establish a regulatory framework was designed have been finalized and submitted to the Ministries of Mines and Hydrocarbons for consultation, but consensus on it still has to be achieved. Unfortunately, no other CAFI financed programs within the region nor other activities related to transport and mining infrastructure, are operational. It would appear to be quite important to start to work on this axis as in the RoC there are 15 mining permits already agreed to and awaiting financing and/or the provision of support infrastructure such as improved port facilities and energy sources.

The MTR Team learnt that while environmental impact studies are required for mining projects, they are financed by the mining enterprises themselves and the consultants that carry out these studies are chosen by the potential mining company. Studies are reviewed by government officials who in many cases lack the knowledge to properly analyze these reports. It would be ideal that all consulting firms that are chosen to carry out environmental studies for investment programs proposed IN ALL SECTORS, be scrutinized by a committee composed of 3 or 4 internationally recognized research center staff that can make recommendations to the respective government entities that are to approve or reject those studies.

The MTR Team was made aware that there were several instances of trans-border deposits per example ones rich in iron ore as well as phosphates between Gabon and Cameroon and Gabon and



the RoC. Therefore, the promotion of unified fiscal and regulatory regimes might be something CAFI might want to promote.

Mining activities requires energy and access roads that have an effect on forest resources, biodiversity and other economic sectors. It would be appropriate for CAFI to start to incorporate the mining sector into the CAFI programs, at all levels, and as soon as possible.

#### Improved Land Use Planning and transparent Land Tenure

The objective of CAFI for this outcome, as stated in its ToR, is to ensure that land use planning decisions ensure a balanced representation of sectoral interests, keep forests standing, and better tenure security does not incentivize conversion by individuals or communities. A single output is foreseen in the CAFI M&E framework: (1) improved governance allows the participatory elaboration of development plans at different levels, based on specific mappings.

**DRC – PROJECT “Land Use Planning Reform” is implemented by the UNDP, with the support of a consortium of consultants (IDEA and AED) and the WRI. Budget US\$ 8 million. Duration 48 months. Start date 19/04/2017. Estimated completion date 18/04/2021.**

The program has three objectives: 1-develop institutional LUP governance structures at central and provincial level, 2-elaborate strategic land use policy called PNAT and a draft land use planning law (LAT) and 3- develop demonstrative pilot activities in some provinces using methodological guides.

Based on the documentation reviewed and the interviews, the MTR team found a good level of ownership of the process by representative government staff from LUP Ministry, the FONAREDD technical committee and non-state actors represented in the GTCR-R. The two final products: the National Land-use Policy (PNAT) and the draft LUP Law were issued in August 2020 without the final endorsement of all the parties. There were objections voiced CSOs and NGOs, as well as some reticence from members of the FONAREDD technical committee, the CAFI EB and the CAFI Secretariat.

The background documents, diagnosis and strategic lines used to elaborate the PNAT National Land-use Policy as well as the draft of LUP Law (diagnosis and strategic lines) were validated end of 2018 through a series of workshops.

The PNAT and draft LUP Law were drafted in 2019 and presented to the different stakeholders in the course of five workshops organized in Kinshasa, Kananga, Lubumbashi, Goma and Kisangani, with wide attendance. The purpose was to consult all stakeholders in the 26 provinces, including such stakeholders as the private sector, CSOs, traditional leaders, local NGOs and the PIREDDs.

The PNAT has 7 axis: 1 - Promotion of integrated infrastructure in the national territory ;2 – Research on the rational and equal distribution of basic social services throughout the national territory; 3 – Reinforcement of urban networks and integrated economic competitiveness; 4 - Development and agro-rural management system that reinforces complementarities between cities and rural areas; 5 – Environmental sustainability and resilience to climate change; 6 – Planning and prioritizing land use and land use change LULUCF; 7 - Improving the judicial and institutional framework for land use in the country.

The draft LUP law (LAT) is to be applicable to both the central government and the provincial decentralized administrations in respect of the following themes: (i) Land use change; (ii) Promotion of planning, optimization and balance of land use; (iii) The conservation of ecosystems and related services; (iv) The reinforcement of territory competitiveness; (v) National integration ; (vi) the reduction of territory disparities; (vii) The development of cities and sub-urban zones; (viii) The compatibility of development and rural land use.

To oversee land-use issues, an inter-ministerial steering committee, (COPIRAT) was established as a national consultative body. It includes the Ministry of Land Use, all related sectoral ministries, CSOs, funding partners, NGOs and the private sector. While, the COPIRAT has not yet been legally formalized by the government, it is providing guidance to the technical committee and the sectoral and inter-sectoral thematic groups.

Technical expertise was recruited to support and reinforce the institutional capacity allowing respectively: regular functioning of CAT (providing office and staff facilities), support to the SG/AT of commodities (material, travel per diem); mobilize international expertise to support and coordinate the project team; state of equipment of CAT assisted by WRI to produce maps and training assessment plan for the land-use ministry : production of first draft of methodological guides for participatory zoning of rural territory for the PIREDD; starting two studies of agricultural capacity and national forest resources in DRC.

An advocacy campaign was launched by the Ministry of Land-use to inform government institutions (presidency, prime-minister's office) to solicit their support to validate PNAT and LAT with a large media coverage and communication materials distributed.

The CNAT will design provincial CPAT and local CLAT land-use structures of the LUP Ministry to develop the land-use policy. First consultations with actors were made at provincial level to elaborate diagnosis and scenarios for the National Land Administration Scheme SNAT and for the SPAT (Schema provincial AT) and PLAT (plan local AT). Through the PIREDDs, three Land use provincial schemes and seven territorial plans were developed, and 98 simple management plans validated.

A draft of Methodological guides to elaborate SPAT and PLAT were prepared by a consortium of experts and distributed to stakeholders in Kinshasa and all provinces covered by PIREDDs in order to get their inputs and feed-back.

During the interviews, the MTR team ascertained a good level ownership of the LUP process by both governments participants and non-state actors, but as could be expected, each stakeholders has its own agenda and therefore required that these strategic multi-sectoral documents include the interests of all of them, most especially the vulnerable groups (Women and IPs). The vulnerable groups involved did not have the technical knowhow to ascertain if the documents produced ensure that adequate social and environmental safeguards are taken into account during the land use planning exercises.

The PNAT and LAT were finalized. The PNAT was approved in August 2020 and the LAT submitted to parliament, but as stated above, they did not receive the endorsement of all the stakeholders whose concerns were not addressed, including some NGOs of the GTCR-R and the CAFI secretariat and the EB. The future of this policy and its accompanying legislation is still to be determined. It is important that CAFI ensure their total compliance with the Lol.

Land use planning is well integrated in all the 6 PIREDD with the development of provincial land use scheme (SPAT) and territorial land use scheme (STAT) and draft tenure edicts in villages territories. Draft Letters of Agreement (LoAs) with local sectoral authorities on subjects such as agriculture energy and land tenure have been signed with Local Development Committees(LDCs).

**DRC – PROJECT “Land Tenure Reform” is implemented by UN-Habitat in partnership with the Ministry of Land Tenure, the National Land Tenure Reform Commission (CONAREF), the Global Land Tool Network (GLTN) and an NGO, CODELT. Budget US\$ 7 million. Duration 36 months. Start date 01/01/2017. Estimated completion date 31/12/2020.**

The expected results are: to strengthen the capacity of the National Land Tenure Reform Commission (CONAREF) so as to prepare and implement a tenure reform program; support communities to elaborate methodological guidance to strengthen the cadaster, and capitalize on lessons learned in pilot experiences (on conflict resolution and harmonization of secure tenure) in order to feed into a land tenure policy document and its associated legal text. Such a text should be prepared in participative manner.

An effective plan was designed to reinforce capacities and development of new competences of the technical staff of the National Land Tenure Reform Commission (CONAREF) and other actors. A manual of administrative and financial procedures and technical tasks for the personnel of CONAREF was drafted and is pending validation by the COPIL. A communications strategy was designed in conjunction with an implementing plan and validated by the PMU of the UN-Habitat.

Two coordination pilot initiatives were set up in Ituri and Mai Dhombé, with the support of the respective governors. Thematic groups were established in three more provinces, as a result of an interprovincial forum and workshop on drafting the land tenure reform program. All the activities proved effective as a result of the work of the UN-Habitat team, supported by CODELT, a local NGO.

The land tenure policy reform was drafted by a multi-disciplinary experts’ team integrating all concerns of stakeholders and related documents such as: (i) a validated strategic work plan to formulate the land tenure policy; (ii) a state of art legal, thematic and institutional land tenure sector; (iii) a series of studies and experiences on land tenure of Indigenous people and women’s groups. The draft of the land tenure policy reform was endorsed by the technical staff of the CONAREF and is waiting to be validated during the next COPIL. Multi-stakeholder consultations in the provinces will take place to complement and approve the final document.

Reference studies on land tenure and tools were identified and tested in two pilot provinces in order to elaborate a land tenure information system and community land tenure registers (SIL) addressed to the communities. Progress was slowed down due to the vast territories to be surveyed in provinces, but the community land tenure registers now in place (SIL) are allowing the securing of traditional land tenure rights that are integrated into the cadaster system in use in DRC.

The methodological guide will contain legal tool models (communal land tenure register) and a land tenure charter or natural resources local agreement) managed by a local land tenure committee (CFL). The experimentation of SIL in two pilot sites in 2019 will serve to improve the final methodological guide thanks to lessons learned in the field.

The MTR team concludes that reasonable progress has been made under this program, but the financial needs of the country far exceed the available resources available, given that the country has 26 provinces and a large part of its population is settled in rural areas. These communities must have their property rights assured, as this relates directly to their livelihoods. The MTR team has been informed that funds were not released on time to support the experts' team of UN-Habitat, given that the project's finances are managed by UN-Habitat's headquarters in Nairobi. Engagement of provincial actors are key element of the success of that reform and trust among implementing agencies and governmental institutions CONAREF needs to be improved.

**GABON – PROJECT “National Land-use planning and forest Monitoring System to promote sustainable development strategies” is implemented by the AFD. Budget US \$ 18.4 million. Duration 60 months. Start date 19/09/2018. Estimated completion date 31/08/2023.**

Two Outputs are foreseen under this project: 1- an operationalized Land-use policy (PNAT) and a National Forest Monitoring System (SNORNF). The coordinating agency is the National Climate Council (CNC). A series of partners are also involved. The Gabonese Agency for Space Studies and Observations (AGEOS), the National Parks Agency (ANPN), as well as two NGOs, the Network of Civil Society Organizations for a Green Economy in Central Africa (ROSCEVAC) and Gabon, My Land My Rights.

The MTR team found that the project documents are detailed and have clear objectives, and management plans. The PMU is well established, staff recruited, and is functional. The first Steering-committee was held in August of 2019. The initial budgetary transfer was for US\$ 400,000 fell well short of what as required. The MTR Team was informed that this point caused some friction between the AFD and the government. However, the problems that caused this shortfall in funding seems to have been corrected now.

Early expenditures were used on the preparation and clearance of documents between AFD and the government of Gabon and its collaborating entities, as well as in setting up the PMU. The PMU staff was selected and recruited and the bidding documents for the purchase of required material and vehicles in order to operationalize the program, have been prepared. Due to the limited funds available (as described in the previous paragraph), the process of issuing purchase orders is on stand-by.

#### Decreased Demographic Pressure

The objective of CAFI for this outcome, as stated in its ToR, is to ensure that population growth and migration to forests and forest fronts are slowed down. Two outputs are foreseen: (1) Access to contraceptives is improved and (2) Understanding of migratory movements that impact forests is improved.

**DRC – PROJECT “Scaling up Family Planning in the Democratic Republic of Congo” (PROMIS) is implemented by UNOPS as trustee of the funds as well as UNFPA as procurement agent for contraceptives and in association with the Tulane Educational Fund, d.b.a. of Tulane University. Budget US \$ 7 million Duration 36 months Start date 30/10/2019. Estimated completion date 30/10/2022.**

The project will be implemented in 10 of the 26 provinces of the DRC and will cover at least 152 health zones. Contraceptive procurement funds for this project have been donated to ensure adequate stocks of contraceptives. With this funding, the implementing organizations proposed to scale up the services of family planning in the DRC. To do this, they intend to diversify the channels for offering FP services to the population, with special attention paid to the communal offer, coupled with the activities designed to strengthen national and provincial health authorities in skills designed to improve their coordination, leadership and monitoring and evaluation capacity.

As can be expected, given that the project implementation started in October of 2019, few activities have been undertaken to date and only US\$ 5.8 million of the US\$ 33 million allocated to this project has been spent.

The various PIREDDs also are destined to play a role in support of this Outcome. However, to date only a few activities have been started in two PIREDDs. One could mention the following activities: the MSI and Tulane University have trained 2,981 providers in the provision of FP services in the community and at the level of health structures; five Implementing partners in seven provinces have carried out service family planning delivery activities that generated a total of 52,344 Year/Couple Protection (CPA); representatives from all the PIREDDs participated in the National Conference on family planning held in Kinshasa in December 2019; a workshop organized by the PMOs of PROMIS to begin the work of collaboration in the provinces; presentation and discussion workshops on the PROMIS project were organized with the partners and national and provincial governments to improve understanding and collaboration between all the stakeholders involved in the PROMIS project.

#### Improved governance and inter-sectoral coordination

The objective of CAFI for this outcome, as stated in its ToR, is to achieve better inter-ministerial coordination and governance resulting in permitting and fiscal regime of economic activities that do not push economic actors to forest conversion and illegal activities. The outputs are foreseen are: (1) the accessibility to information is improved; (2) effective inter-sectoral coordination is achieved; and (3) the risks of corruption are prevented.

A new CAFI Manual of Operations and TORs have been discussed among EB members to improve governance and effectiveness in the current decision and management structures of CAFI, the MTR team is proposing a slight change in the structure to reinforce the two pillars roles of CAFI an affective high-political dialogue and ownership of Lol and NIF and a better coordination and monitoring of designed programs at country level to have more effective activities on the ground directed to beneficiaries and vulnerable groups. The amount of fund disbursed at the end of 2019 is still very low 36.8 M\$ corresponding to 17.1% compared to the approved budget 214.9 M\$ and the transferred funds 132.4 M\$ 61.1%.

The new partnership CAFI (2020-2030) with DRC is still under discussion with new ambitions taking into account the lessons learned from the initial phase. Biodiversity are better integrated with potential environmental revenues (PES) for the vulnerable groups in addition to REDD+ benefits.

**DRC – PROJECT “Support to the FONAREDD Secretariat” is implemented by UNDP. Budget US \$ 15.9 million. Start date 30/12/2016. Estimated completion date 30/12/2020.**

FONAREDD has received an important budgetary support from CAFI. This has allowed it to acquire staff resources and other key inputs. At the policy level, it has established some important structures, such as the COPIL and the Technical committee. At the central level it has also incorporated platforms to secure the views of CSOs and the Private Sector. However, as stated, in terms of timely and effective monitoring key projects such as the PIREDDs, the MTR Team observed serious shortcomings. As such, CAFI country presence needs to be increased in all the Central African countries to improve the inter-sectoral policy dialogue and project monitoring.

### The PIREDD Concept

Six decentralized projects have been approved in the DRC. They are called PIREDDs and cover several provinces which have important forested areas. They are at different points in their implementation. They have been assigned budgets totaling US \$ 90 million (close to half of CAFI's overall budgetary assignments to date). Most are still in the early stages. They are meant to contribute to all the Outcomes mentioned above. In the previous section, some of the activities carried out so far are mentioned. Additionally, Table 6 annexed to this report shows their key contributions so far. The information contained therein comes mainly from implementing agency periodic progress reports. The MTR Team wished to interview all the PIREDD Project Management Units as well as local government counterparts, but as stated elsewhere in the report, in spite of repeated requests this did not materialize.

### III.2 Efficiency

In the management of funds, one must first consider if the transfer of funds is an efficient process. As stated above in section II.2 above, based on all the evidence available, the UN MPTF is doing a very efficient job in transferring funds to the implementing partner.

Then we must consider efficiency in the use of these funds. In this sense, efficiency refers to the acquisition and use of resources over time to produce products of certain quantity and prescribed characteristics. It can be measured using several different criteria.

- i) securing the right amount of financial resources for the overall objective.
- ii) expenditures as a percentage of total funds allocated.
- iii) comparing the amount originally allocated to the achievement of certain project outcomes (budget) and the actual amounts required, as revised over the project/program life.
- iv) products and has to do with measuring the actual expenditures on the production of each output, versus the quantitative and qualitative parameters as originally designed.

Based on the above, the MTR findings are :

- In terms of funds secured to meet the overall objective, the CAFI Fund was slated to have a minimal capitalization of US \$ 500 million by the end of the phase 1 period 2016-2025 (source: CAFI Joint Declaration). In reality as of June of 2020, the fund has firm commitments for US\$ 280,161,405 and actual deposits are US \$ 202,724,953 (source: MPTF Gateway). This means that at the mid-point of its phase 1 or 54 months into its existence, it has reached only 56% of the funding that was expected to be received during this period. Given the expectations that the MTR Team perceived during its interview

phase, CAFI's current funding availability is insufficient to meet the expectations of partner countries. If CAFI is to expand its operations into new countries and fulfill the future expectations of countries with which it has already signed Letters of Intention, then it is important that the minimum funding originally envisioned (US \$ 500 million) be secured in the next biennium.

- In terms of expenditures as a percentage of total funds allocated at the mid-point of CAFI's phase 1, (in June 2020) CAFI had approved budgets for US \$ 178,105,431 and expenditures amounted to US \$ 47,645,133. (source: MPTF Gateway). This gives an expenditure to budget ratio of 27%. Such a ratio is in good measure, the result of delays in the initiation and implementation of projects. As stated, the MTR Team attributes these delays to two different factors. The first has to do with an overly optimistic project timetable, given the constraints that in terms of human resources, and infrastructure deficiencies and other factors that exist within the partner countries. To this one has to add the bureaucratic requirements of both the implementing agents and the central and local partner country governments. The second factor in the delay in project implementation relates to the weakness of the capacity to follow the monitoring process of projects.
- In terms of comparing original budgets to current budgets, the MTR Team did not have enough information to review this aspect for all CAFI financed budget, but did ascertain that in some cases the amounts originally budgeted were insufficient to produce the desired outputs and therefore budgets had to subsequently be revised upwards.
- In regard to measuring the actual expenditures on the delivery of each outcome, versus the quantitative and qualitative parameters as originally designed, the MTR Team cannot pronounce itself, as this would have required at the very least, having access to annual detailed expenditure reports by outcome as well as audit reports for each of the ongoing projects. In fact, according to several implementing agency procedures, annual audits are not required for all projects and audits when carried out, are done by their internal auditors. Neither could the MTR Team really fully rely on the work of TERE, as their report contained data on the milestones in the DRC up to 2018 and was based on interviews carried out in Kinshasa, as well as the progress reports submitted by the implementing agencies themselves, without any external on site verification (monitoring or audit).

The MTR Team thus can address only some of the issues raised above. However, it is making recommendations that it is convinced could improve those issues it can address. This is reflected in the corresponding section of this report.

### **III.3 Likelihood of impact**

#### **Impact Goal 1 - "Reduction of Emissions and Absorptions"**

The MTR team considers that it is too soon to make a pronouncement on the potential impact of CAFI on reducing deforestation and forest degradation.

As described in the first part of our report, most of the Central Africa region has contributed little in the past years to global emissions of GHG from deforestation and forest degradation.

However, there are some sharp contrasts in countries with high forest coverage and a high annual rate of deforestation (1%). This is the case of DRC and Cameroon, where forest loss is accelerating.

In DRC, most of the forest loss is attributed to small scale farming or slash-and-burn agriculture combined with growing wood energy requirements and artisanal logging, while in Cameroon it is both subsistence and commercial agriculture (oil palm, rubber, cocoa) that are the main drivers of deforestation. In these two countries there is a need to reinforce actions directly addressed to communities, so that their behavior can be modified and clear incentives provided to deliver benefits over time. All the economic activities financed by CAFI should be targeted and coordinated to deliver a holistic response.

In the other countries, such as Gabon, the Republic of Congo and Equatorial Guinea, while some degradation of forests has occurred as a result of – sometimes illegal - logging operations, little deforestation has been observed (see Table 1 above), so the objective must be to support this trend and provide incentives for good forest management (FSC, FLEGT VPA, HCV and HCS) as well as prevent future risks (illegal logging, forest fires etc.).

As stated in the DRC's National REDD+ strategy and included as a CAFI M&E indicator, the DRC forest cover should not be less than 63.5 % of the national land territory. This may no longer be a reasonable indicator of impact, given that the figure of forest cover in 2015 was 67.3%. At the estimated rate of loss of forest cover of 1% per year, it is estimated to already be below this target in 2020 (see Table 1).

While the conception of local development committees is a very positive contribution to ensuring a participatory approach to project implementation, the inclusion of vulnerable groups in those committees is not enough. This participation should ensure that program activities under CAFI, specifically those multi-sectoral ones implemented through the PIREDDs, should be addressed to vulnerable groups (women, IPs, local communities). Empowering them and delivering direct economic benefits as well as social improvements such as wood-fuel community plantation schemes, improved cooking stoves, access to roads, social services, improved seeds and seedlings, access to agricultural services like credit, inclusion in farmer's associations, etc. should be a priority.

National policy documents such as the land-use plan and corresponding instruments (policy and law) must be operationalized and complemented at the decentralized level. The PIREDDs have an important role to play in achieving this.

#### *Impact Goal 2 "Poverty and Sustainable Development"*

CAFI, in its design, has included projects designated as PIREDDs dealing in an integrated approach, with the promotion of downstream co-benefits or results that affect directly the lives of forest dependent populations. Of the 6 such projects designed for the DRC during this phase, one was started in November 2017, two in May of 2018 and the rest in mid-2019. There are few results in terms of poverty reduction that can be measured or reported to date. Some refer to the establishment of governance structures such as some village local development committees and rural agricultural management committees.

Additionally, some initial results have been achieved in the establishment of nurseries and in seed reproduction and distribution. Similarly, some activities, mainly directed at training, have been undertaken regarding demographics and family planning. It is therefore too early to reach any



meaningful conclusion as to the likelihood of CAFI making a significant contribution to this impact goal.

What the MTR Team can state is, that in order to do so, CAFI must begin to work in much closer collaboration with the private sector, women's groups, local youth and forest dependent community dwellers. These are the true agents of change that can ensure the real implementation of upstream policies. Similarly, CAFI's Secretariat must have the means to accompany the project implementation process and for this, which requires a field presence. Furthermore, the CAFI EB should ensure that, when the choice of executing agent is made, the best arrangement for each specific project is made, looking, when appropriate, beyond the UN system and bi-lateral programs of CAFI Board Members, but also at international NGOs with reputable experience and a sound fiduciary capacity.

### **III.4 Sustainability and up-scaling**

#### ***Political Sustainability***

The level of ownership and appropriation of CAFI's objectives is satisfactory among its governance structures (CAFI Secretariat, EB, government and implementing agencies), but not evident from local communities, CSO, and NGOs.

However, while the socio-political climate in some CAFI countries has improved in the last few years overall in the sub-region it remains fragile. From the interviews carried out during the MTR, it is clear that not all government ministries appear to be willing to work together in order to meet joint objectives. The MTR Team was made aware of this in at least three countries.

The current institutional framework for high-level political dialogue and multi-sectoral programs (CAFI Sec, EB, implementing agencies, FONAREDD in the DRC, National Climate Council in Gabon) on which CAFI is structured, requires adjustments at the mid-term, to ensure the future sustainability of CAFI's objectives and accomplishments. Political support from all stakeholders (donors, governments and agents of change) should continue to be forthcoming, if expected results are secured in an effective and timely manner. To that effect, the MTR Team has made specific recommendations (see recommendation 12).

#### ***Institutional Sustainability***

The monitoring capacity of the CAFI Secretariat and FONAREDD (for the DRC) should be reinforced to guide and monitor the implementation of sectoral and multi-sectoral projects, so as to insure their effectiveness, efficiency and ultimate impact. For this, a local presence of CAFI staff seems to be required. The MTR Team makes a series of recommendations to improve this in the corresponding chapter below.

#### ***Financial Sustainability***

As stated in this report, the required amount of funding to make a solid contribution to the two desired Impacts outlined by CAFI far exceeds the US\$ 250 million that currently can be counted on at the time of writing. Based on the aspirations of stakeholders as expressed in the various interviews undertaken and the MTR Team's own appreciation, it is not unreasonable to estimate

that the figure required will be several times the current availability of CAFI funding. To reach such levels of funding a series of actions need to be taken such as:

- diversify the donor base which is still heavily dependent on only one donor;
- Increase the current level and speed of disbursements by the implementing agents several fold in order to demonstrate capacity to receive and manage, in a timely and efficient manner, a much higher level of resources;
- improve the quality and timeliness of project proposals ensuring that, when drafted, these proposals have a linked detailed M&E framework, with clear desired outcomes and baseline and target indicators and that CAFI has its own capacity to accompany regularly implementing agents to monitor these projects;
- invest in sectors that up to now have received little attention such as mining, energy, infrastructure, and biodiversity conservation.

### ***Environmental Sustainability***

As mentioned before, while deforestation in the sub-region is still manageable, there are worrying signs for some countries, such as Cameroon and the DRC. Signals that drivers of deforestation are gaining strength cannot be ignored. The capacity of CAFI to have a sustained impact on coverage and quality of forests and climate change contention is tied to the previous three dimensions of sustainability.

### **III. 5 Visibility and communications**

The CAFI secretariat has been involved with many global events attracting the attention of donors and potential partners and getting clear messages on the objectives and achievements of CAFI in Central Africa for the last two years.

An Annual Forum gathering Governments and NGOS was organized in 2018 on land use planning. A first “CAFI dialogue” (held in April 2019) was organized and facilitated by the CAFI secretariat and hosted by GIZ with 20 INGOs and country representatives. Drivers and trends of deforestation and forest degradation were openly discussed to share facts, studies and field experiences and debated to reach a common approach of understanding and consensus and promote transparency on CAFI’s interventions, programs and policies.

CAFI’s Secretariat has contributed to key events at the climate conference held in Abu Dhabi facilitating a session on NDCs in Central Africa during the FERN-hosted “dialogue on Forests in NDCS” with the participation of the EU and the French Ministry of Environment. This CAFI’s event contribution has helped to prepare the UN climate action summit held in September 2019.

The CAFI Secretariat has contributed at the United Nations Secretary-General Climate Action Summit to the presentation of the stake and value of Central African forests in the global policy and climate agenda at the General Assembly and several side-events attended by heads of state and governments including DRC, Germany, France and the Republic of Congo, as well as the UN Secretary-General. This was coupled with a signed agreement between Gabon and CAFI.

The CAFI Secretariat has facilitated and coordinated the climate event including messaging delivered in media coverage attracting world attention and concerns on Central Africa.

CAFI's online presence was greatly amplified in the last two years to raise awareness and support among a larger audience. Several documents, articles, LoI, NIF were regularly posted in two languages on CAFI's website ([www.cafi.org](http://www.cafi.org))

The CAFI Secretariat is participating in early 2021 at IUFRO congress where the Korean Forest Service will present a joint presentation of the update and achievements of CAFI in Central African region.

During 2020, due to the world epidemic COVID 19, most of the global events including the Oslo Tropical Forest Forum (NOR), COP 26 in Edinburgh (UK), Nature Congress on Biodiversity in Marseille (FR), COP of the Biodiversity Convention in China were postponed to 2021 and therefore, CAFI participation in these events could not take place.

### **III.6 Governance, Institutional and Socio-Economic Transformation**

As already stated, a new CAFI Fund Manual of Operations and revised Terms of Reference have been discussed among EB members with a view to improving the governance and effectiveness of the current decision and management structures of CAFI. The MTR Team is suggesting some recommendations that impact the structure of CAFI in order to reinforce the two functional level roles of CAFI (1) an affective high level political dialogue and an improved coordination and (2) monitoring of programs at country level. The purpose is to have a more effective set of activities directed to beneficiaries and vulnerable groups.

The MTR Team judges these suggested changes as necessary, given that the amount of CAFI funds spent at the end of 2019 was still very low. Expenditures of US\$ 36.8 million corresponds to only 17.1% of approved budgets (US\$ 214.9 million). In the opinion of the MTR Team, the level of resources required to achieve the two impacts to which the CAFI Fund aspires to make a significant contribution will require several times the current availability of CAFI funding. Securing such a level of funding from donors when expenditure levels are so low will be very difficult.

A new partnership between the DRC and CAFI for 2020-2030 is still under discussion. The MTR Team is convinced that it is important to accelerate actions in the areas of Energy, Mining (which is yet to start) as well as include new actions in the area of biodiversity conservation which could be key to future income for local communities through payments for environmental services.

### **III.7 Governance**

In addition to the projects mentioned in section the DRC there are two projects in support of CSOs and Indigenous Peoples respectively.

**DRC - PROJECT "Support to Civil Society" is implemented by the UNDP which has associated the Renewed REDD+ Climate Working Group (GTCR-R) a platform composed of a coalition of 480 national CSOs and NGOs. Budget: US\$ 3 million. Duration - 48 months. Starting date: 22/12/2016 Estimated closing date; 21/12/2020.**

The GTCR-R is an important stakeholder, as it represents the voice of many NGOs. It is represented in the FONAREDD's Steering Committee, as well as in its Technical Committee. Its representativeness at the national level is well recognized. The MTR Team found that advances had indeed been made in organizing and training the staff of the GTCR-R at the central level, providing

the organization with furnishings and equipment, carrying out workshops and securing a web site. At the decentralized level, several provincial committees have been established.

The GTCR-R platform, created to raise the voices of the diverse Congolese NGOs and vulnerable groups, has gained authority and legitimacy in participating in institutional reforms such as the PNAT land use planning reform and the land tenure reform.

Since 2017, GTCR-R has reinforced its governance structures COPIL and national coordination (NC/GTCR-R) and control commission (COCO), network of NGOs improved and consolidated, increased participation in REDD+ international Forums and in oversight of the design of implemented projects to be coordinated by FONAREDD.

In 2018, the GTCR-R has amplified the operational governance structures with the followings activities: (i) improved participation in the technical Committee of the FONAREDD and the COPIL; (ii) partnership with GTCR-R and EFI in increasing capacities for the independent evaluation of REDD+ and support the multi-actors framework on sustainable forest management; (iii) continuous support with religious authorities and other CSO involved with key sectors of REDD+ in order to establish strategic partnerships with GTCR-R; (iv) increase administrative and accounting capacities and competences (V) production of consultation guide on stakeholders in the implementation of programs coordinated by FONAREDD.

The MTR Team was unable to secure interviews with those decentralized provincial committees so it cannot pronounce itself on their representativeness or effectiveness, but several persons interviewed did indicate that there was a dichotomy between the GTCR-R at the central level and at the local level in this respect. In the opinion of the MTR Team, once a field presence of the CAFI Secretariat is established, one of the first tasks should be to ensure that the PIREDDs are indeed designing projects in support of local communities in a participatory fashion and with the right CSOs.

**DRC – PROJECT “Support to Indigenous Peoples” is implemented by the World Bank. The WB has associated as an implementation partner the Caritas Congo Sable. His project has been integrated into a larger WB program. BUDGET: U\$ 8 million of which a CAFI contribution of US\$ 2 million. Duration - 48 months. Starting date: 4/4/2017. Estimated completion date: 31/7/2021.**

The value of forests for indigenous peoples stems from their cultural, social, and spiritual relation with the forest, as well as their dependence on the forest for food, fuel, and other needs. Poverty is more pervasive in forested areas, where many people have limited or no access to basic services and markets. Vulnerable people there are living on less than the poverty line, that is to say on less than \$1.25 a day.

The role of IPs in ensuring forest conservation cannot be overstated. The WB has spent relatively few funds against CAFI’s contribution. As of the end of 2019, expenditures against the approved

funds was less than 1%. While this is due to the fact that the WB has front loaded its own funding of activities, this gives a distorted image of CAFI expenditures. CAFI should request that its contribution be spent proportionately over time.

Other CAFI projects have indeed made some important contributions toward the welfare of IPs such as: the production of a second draft note on land tenure that was prepared with IP participation; the preparation of a specific plan on IP tenure rights; and 17 micro=projects for IPs were validated.

With the inevitable deterioration of watersheds as a result of climate change, the MTR Team is convinced that IPs may benefit from payments for environmental services. CAFI could explore assisting them to access this possible source of green income.

As with the case of CSO representation, once it has established a field presence, the CAFI Secretariat should ensure that the PIREDDs are indeed designing projects in support of IPs in a participatory fashion and with the right IP representation.

#### **IV. FINDINGS AND RECOMMENDATIONS**

##### **ON RELEVANCE:**

**FINDING:** The CAFI design and approach is considered highly relevant. It is considered to be totally in line with both the international climate change agenda, as well as with the stated objectives of the partner countries. CAFI's approach is viewed as a unique financing mechanism in that it operates both at the policy level (forum for the policy dialogue and the provision of financing for the production of key policy documents and laws) and at the decentralized level engaging with local forest dependent communities, women's groups and the private sector aspiring to improve the livelihood of local forest dependent communities by promoting sustainable development activities that minimize carbon emissions. However, the MTR Team concludes that there is a need to incorporate into CAFI the protection of biodiversity and fragile ecosystems which are not currently part of CAFI's portfolio. Reference to the landscape and ecosystem approach developed by CIFOR could be integrated into CAFI programs, especially the PIREDDs.

**RECOMMENDATION No. 1 ADDRESSED TO THE EB:** Biodiversity and fragile large ecosystems should be the areas for project implementation targeted by CAFI. The Global Environment Facility GEF 6 and GEF 7 programs are also possible sources of additional funding that could be taken into account in the new phase of CAFI programming for DRC and the other partner countries.

##### **ON THE EB MANAGEMENT STRUCTURE:**

**FINDING:** In general, the EB is judged to work well. However, the MTR Team noted that the substantial experience of prestigious Research Centers is not systematically tapped into. When this is done, it is on an ad-hoc basis by an individual EB member but not systematized. The MTR Team, based on the information gathered and its analysis, is convinced that it is important to set up a Technical Advisory Committee to the EB that could advise on the content and milestones of future Lols, investment programs, policy documents etc. This Committee could also assist in the selection of expertise to support the "double blind" review process.

**RECOMMENDATION No. 2 ADDRESSED TO THE EB:** A Technical Advisory Committee should be established under the EB to advise on the content and milestones of future Loin, investment programs, policy documents and other matters, as required (see Chart 3 and 4 below). This Committee should be composed of experts from key related research institutions. Its function would be to advise the EB on other relevant experiences, as well as assist them in reviewing policy documents.

**ON THE CAFI SECRETARIAT:**

**FINDING:** There is a consensus that the Secretariat has, up to now, done an extraordinary job in promoting the CAFI approach and objectives. Nonetheless, there is also a consensus that the current structure of the Secretariat has reached its limit in terms of the workload it can manage in an efficient manner. As new projects come into existence in Gabon and the RoC, as the policy dialogue with the CAR, Equatorial Guinea, and Cameroon progresses, as a second phase is negotiated with the DRC and as new projects are formulated and executed, the current structure of the Secretariat will be quickly overwhelmed. Additional staff in Geneva will be required.

**RECOMMENDATION No. 3 ADDRESSED TO THE EB AND THE SECRETARIAT:** To strengthen the Secretariat two additional professional level (one to manage the policy dialogue and oversee projects in additional countries as they come on stream and another to deal with the incorporation of the private sector into the CAFI programs). Additionally, one general Service posts should be established in Geneva to take care of more routine correspondence drafting and recurring administrative tasks, so as to free professional staff to concentrate on the policy dialogue and program management. Additionally, that two professional posts at the P4 level should be established in the DRC and Gabon respectively. Their function will be two-fold: (a) to advise the EB through the Secretariat on the policy dialogue, to coordinate such a dialogue between the EB, the Secretariat the EB country resident diplomatic mission and the government and (b) to monitor on a regular basis the implementation of CAFI financed projects, advise on timely corrective measures when required and keep the EB and the Secretariat fully informed on their progress. While these field posts could sit either in an Embassy, a Government Office or a UN system agency, the incumbents should be independent of any oversight by FONAREDD or other government agencies, UN system agencies or Embassy structure. They should report directly to the Head of the Secretariat.

**FINDING:** The CAFI Secretariat has functioned well. It is staffed by a dedicated and knowledgeable staff that have worked with each other well before the establishment of CAFI and thus have a personal bond and share a vision. They complement each other well. As the programs and Secretariat grow and new staff is added, there will be a growing need to formalize the functions within the Secretariat.

**RECOMMENDATION No. 4 ADDRESSED TO THE EB AND THE SECRETARIAT:** An organizational/management study should be carried out to determine how to best structure CAFI as it grows. For this purpose, a reputable consulting firm in the field of Human Resources Management should be hired. They should also assist the EB in the drafting of the corresponding Job Descriptions.

**FINDING:** The CAFI Secretariat is hosted by and reports to the UNDP Bureau of Policy and Program Support (BPPS). It is this Bureau that is representing the UNDP on the CAFI EB where

decisions on choices of implementing agents are made. It is also involved with environmental and climate change projects and advises the UNDP field offices on their execution, including those financed by CAFI. All of this has led to the widespread belief that there is an inherent conflict of interest that reflects on the Secretariat's perception as a neutral arbiter in the agency selection process. The MTR team agrees that keeping the Secretariat hosted by the BPPS is not desirable. The MTR Team has ascertained that the UN MPTF Office (the CAFI Fund Administrative Agent), is currently hosting the secretariats of several of its trust funds. It is therefore entirely feasible that the CAFI Secretariat be administered by this more neutral unit.

**RECOMMENDATION No. 5 ADDRESSED TO THE EB AND THE UNDP MPTF:** CAFI should begin immediate negotiation with the UNDP to have the CAFI Secretariat report to the UN MPTF which would host it within its purview, but still based in Geneva and under the same contractual provisions as those prevailing today. This arrangement would go a long way to avoid any perceived or real conflict of interest. Logically, the UNDP member in the CAFI EB should also come from the UN MPTF.

#### ON THE PORTFOLIO OF POSSIBLE IMPLEMENTING AGENTS:

**FINDING:** Currently, the choice of CAFI project implementing partners is limited to selective UN Agencies, the WB, JAICA, ENABEL and AFD. This gamut offers ample choice for the execution of policy related projects. When executing "downstream projects", where it is important to work closely with civil society, local private sector, forest dependent communities and indigenous populations, experience with some of these agents has shown that they do not always possess the best speed of execution, institutional flexibility and implementing modalities. In the course of the MTR, it became evident that many sources believed that NGOs, and reputable research centers could and should be invited to bid on CAFI expressions of interest. The MTR Team is convinced that a few international NGOs that have a proven fiduciary capacity and a positive track record implementing "downstream projects" may have in many cases a comparative advantage could make a positive contribution to CAFI's program.

**RECOMMENDATION No. 6 ADDRESSED TO THE EB:** The EB should request the Secretariat to identify a few large international NGOs that have experience executing projects in areas of CAFI's concern. Then invite them to make a presentation to the EB on their expertise, their track record and capacity to manage, audit and report on projects accurately, both on the substance and the efficient use of funds. Those found to meet these requirements should be invited to submit proposals in response to CAFI requests for expression of interest.

#### ON THE AGENTS OF CHANGE:

**FINDING:** CAFI has not partnered sufficiently with the private sector more specifically the mining, energy and infrastructure sectors) at either the policy level or in the implementation of downstream projects.

**RECOMMENDATION No. 7 ADDRESSED TO THE EB AND THE SECRETARIAT:** At the policy level, CAFI should seek partnerships with large corporations in the field of energy, mining and wood product imports. This with a view to creating greater awareness of the need to implement investments in their sector adopting environmentally friendly practices. At the local level, projects should involve the local private sector to generate environmentally friendly income opportunities for key groups such as women, youth, indigenous people

**FINDING:** The participation of representative groups of women and IPs/local forest dependent communities at the local level, to date, has been rather limited to their membership in Local Development Committees and punctual activities.

**RECOMMENDATION No. 8 ADDRESSED TO THE SECRETARIAT AND IMPLEMENTING PARTNERS:** Beyond their participation in Local Development Committees, CAFI projects should include activities designed specifically to improve the socio-economic status of Women, Youth and IPs/ local forest dependent communities.

#### **ON THE CAFI M&E FRAMEWORK:**

**FINDING:** The current version of the CAFI M&E framework was revised in 2019. As stated in the report, it has voids that, if not corrected, will make it very difficult to have a measure of concrete progress. The framework lacks some baseline and associated target indicators. The framework, at this point, in some cases does not provide for concrete results at the output level. More importantly the framework does not capture other important contributions CAFI has already made. Lastly, the M&E frameworks of CAFI financed projects are not systematically linked to the overall CAFI M&E Framework thus making it difficult to make a link (create a causal pathway) between project outputs and CAFI Outcomes.

**RECOMMENDATION No. 9 ADDRESSED TO THE EB AND THE SECRETARIAT:** The Secretariat should engage the services of an experienced consultant to review and update the M&E framework, populating it with relevant Outcomes and sub-outcomes. He/She should also produce a short manual on how to identify project outputs and indicators in project M&E frameworks and how to link them to CAFI overall Outcomes. This manual should be distributed to all implementing partners. Accordingly, all CAFI financed projects (ongoing and new) should be asked to produce project M&E frameworks that directly link its outcomes and outputs to the overall CAFI M&E framework. Implementing agents should then monitor and report on projects using this tool.

#### **ON THE ADEQUACY OF FUNDING FLOWS AND THE EFFICIENCY IN THE USE OF FUNDS:**

**FINDING:** In interviewing different stakeholders there is a general opinion that in order to really make an impact on CAFI's two main objectives, the flow of resources required greatly increases the current amounts committed and pledged. To date only three donors (Norway, France and the European Union) have deposited funds. So far, over 90% of CAFI funding is still provided by a single donor. We are aware that there are pledges from other donors, but even with these contributions CAFI's current projected funding will fall short of the expectations of partner countries. Efforts need to be made to secure financial resources at a level compatible with the aspirations of partner countries and the donor base needs to be substantially expanded.

**RECOMMENDATION No. 10 ADDRESSED TO THE DONORS/EB:** The EB should encourage current EB members to back CAFI with more substantial contributions as well as consider opening CAFI to partnerships with financial institutions and funds such as the WB and ADB, the GEF and the GCF as well as other potential donors, including the private sector, as long as they accept CAFI's vision and approach. The specific modalities to be considered could be to have these new partners as providers of direct financial contributions and/or establishing parallel financing programs that are negotiated as part of the CAFI package.



**FINDING:** CAFI financed projects are not currently subject to systematic annual quality and financial audits. UN implementing agencies audit projects randomly, and ONLY through their internal audit units. Furthermore, these audits, when they occur, are mainly financial and the audit reports are normally confidential. This does not allow for any scrutiny as to the cost of inputs or activities undertaken or their quality to ascertain value for money at this level.

**RECOMMENDATION No. 11 ADDRESSED TO THE EB AND SECRETARIAT:** The EB should insist that, as a condition for securing financing, every CAFI project whose budget exceeds a certain threshold should be subject to a quality and financial audit once a year and the audit reports be made available to the EB. There are precedents for this in other UNDP programs where conditions for auditing have been tied to donor funding. Furthermore, if other non-un implementing agents are given access to the expressions of interest, they should understand that they must factor in that an annual quality and financial audit must be carried out by a local reputable auditing agent such as per example Deloitte, Price Waterhouse or Ernst and Young

#### **ON INTERMINISTERIAL COOPERATION:**

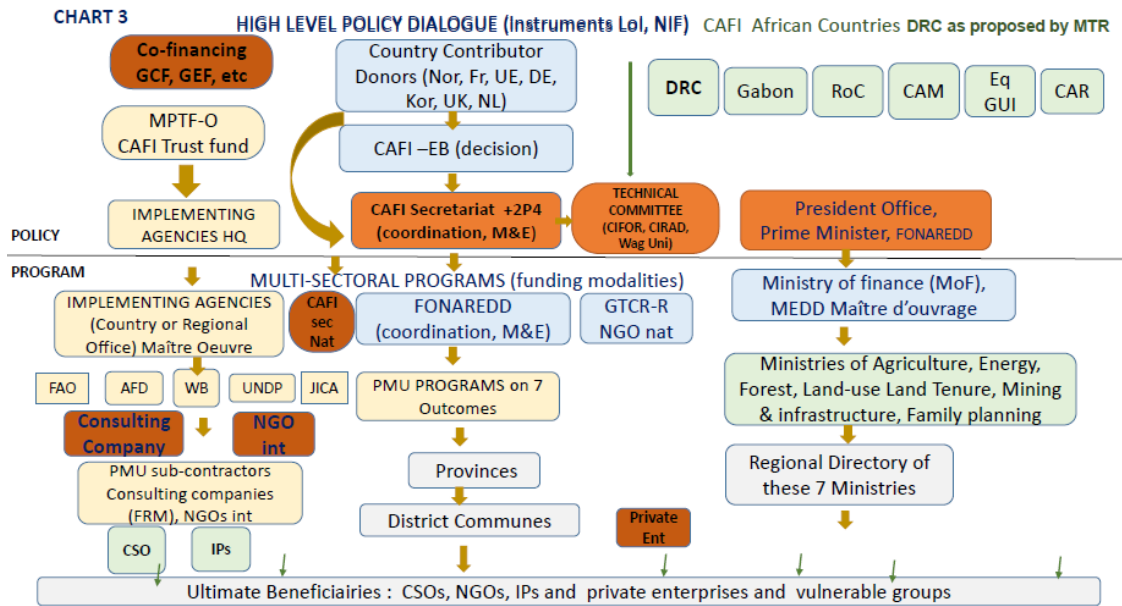
**FINDING:** During the interviews the MTR Team noted from several sources that there were differences of optics between ministries of partner countries that were not solved through the existing intergovernmental mechanisms set up to manage counterpart aspects of CAFI programs. Having one Ministry as counterpart, no matter which, will tend to complicate both the policy dialogue as well as project implementation, as competing ministerial interests will not favor fast and decisive decision taking. Individual line ministries need to have more ownership of the specific programs within their purview and at the same time, any need for arbitration should occur at a supra-ministerial level. This is already the case in Gabon and RoC.

**RECOMMENDATION No. 12 ADDRESSED TO THE EB:** The CAFI EB in its dialogue with the remaining partner governments, should request that the institutional arrangements put in place to be CAFI's counterpart should be at the level of the Presidential Office or Prime Minister's Office.

As some of the Recommendations above have implications on the way the CAFI System is organized, we include here Charts 3 and 4 which highlight the proposed changes that the MTR Team is suggested.

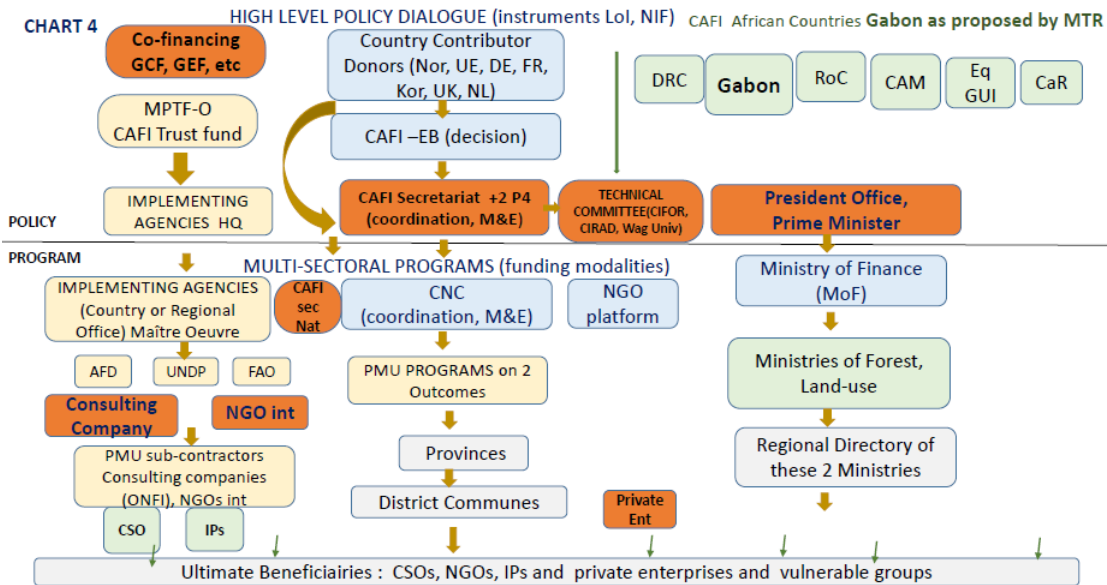
#### **CHART 3 - CAFI AS IT IS SUGGESTED IT OPERATES IN THE DRC**

This chart differs from CAFI's current set up in the DRC (see Chart 1 above) in that it recommends the following: 1- seeking to incorporate funds such as GCF, and GEF as potential sources of co-financing; 2- Creating a Technical Committee to advise the CAFI EB; 3- Strengthening the CAFI Secretariat both at the HQ and field levels; 4- Opening up the process of selection of implementing partners to international NGOs.



**CHART 4 - CAFE AS IT IS SUGGESTED IT OPERATE IN GABON AND OTHER COUNTRIES**

The recommendations are similar to CHART 3 above, except that in Gabon and in other future partner countries there is no equivalent to FONAREDD.



## V. LESSONS LEARNT

In addition to those that are evident in the Findings/Recommendations above, the MTR, drew a few lessons that could be useful for the next phase of CAFE. The MTR lists and explains the main ones below.

Programs designed to protect forests, that focus only on conservation measures, fail to recognize:

- the need to secure support of the private sector, whose investments can lead to great loss of forested areas,
- and
- the importance that local population (indigenous or not) plays in deforestation and forest degradation.

LESSON No.1: CAFI can be a very good example of linking conservation and development. As results are attained, the achievements of this program should be made widely available.

There are delays in the execution of CAFI projects in the DRC. Delays in getting projects started in Gabon. Delays in the process of selection of implementing agencies in the RoC. Delays in the negotiation of the terms for Lol in Equatorial Guinea, the CAR and Cameroon. There are several reasons that account for these delays, amongst which are, per example:

- The process of securing the necessary political support and reaching consensus both within government structures, as well as between the governments and CAFI, was more complex than anticipated;
- Implementing agency procedures prove to be more complex than anticipated;
- Endorsement of the CAFI financial grant by the country partner takes longer than anticipated;
- The geography and infrastructure of partner countries is not conducive to rapid project implementation;
- Setting up the different governance structures at national level, incorporating CSO and NGO platforms, involving provincial or regional governments and local committees requires more time than anticipated-

LESSON No. 2: The design of CAFI was over-optimistic in terms of the time frame in which milestones could be reached. CAFI must be viewed as a long-term endeavor and adequate time must be allocated to each stage. More realistic timeframes, that take into consideration: 1- the dynamics of the decision making processes of both partner countries and implementing partners; and 2- the geographic and social contexts in which CAFI operates, should be considerations when undertaking future programming exercises.

It is very difficult to value the advances that CAFI has achieved to date, as the tools necessary to do so, are either incomplete or non-existent.

LESSON No. 3: A complete M&E system linking the overall M&E Framework expected Outcomes to project outputs is crucial to evaluate progress in meeting the Theory of Change. The process of identifying baseline and target indicators should occur prior to the drafting of project documents or completed within the first three months after the project's inception.

It is also difficult to evaluate the efficiency in the use of CAFI funds when financial reports are provided at the aggregate level and there are no auditors reviewing expenditures and providing information on the quality of the inputs acquired and the outputs produced by projects. This is further complicated when there is no periodic monitoring of projects by other partners.

LESSON No. 4: A proper monitoring plan, to be carried out by partners that are not directly involved in the implementation of projects, as well as ensuring and adequate project financial auditing plans are key to providing donors with the assurances they require.

In the course of the MTR, there was a general perception that the way two policy reforms were conducted in DRC, land use planning reform and land tenure reform, have been unprecedented and that interesting lessons can be extracted to shape support in other CAFI countries.

LESSON No. 5: LUP and Land Tenure reforms were carried out in a rather coordinated and inclusive manner. The participation of civil society organizations, as well as of representatives of indigenous peoples, is key to securing wide support for these delicate reform processes. The model developed by CAFI/FONAREDD in the DRC should be taken into consideration when carrying out similar reforms in other partner countries.

#### **ANNEXES TO THIS REPORT:**

ANNEX A – Key Activities Carried Out by the PIREDDs

ANNEX B- List of People Interviewed

ANNEX C - List of Documents Received/Reviewed

ANNEX D - ToR of the Mid-Term review

## ANNEX A – KEY ACTIVITIES CARRIED OUT BY PIREDS

Table 6: PIREDDs interventions in the 7 outcomes of CAFI in DRC (as of December 2019)

PIREDD	Mai Ndombé 30 M\$ implemented by WB (started Aug 2018) Duration 60 months Start 18/05/2018 End 18/05/2023	Ex-Orientale Bas-Uele, Ituri, Tshopo 33 M\$ implemented by UNDP (started May 2018) Duration 60 months Start 30/11/2017 end 31/12/2023	Equateur 10 M\$ (4 CAFI + 6 Sweden) implemented by FAO (recently started Nov 2019) Duration 48 months Start 27/08/2019 End 26/08/2023	Sud-Ubangui 7 M\$ implemented by WB & co-financing PARRSA 120 +75 total 175 M\$ Duration 48 months Start 05/05/2018 End 31/12/2022	Mongala 7 M\$ implemented by ENABEL recently started Aug 2019 Duration 48 months Start 09/08/2019 End 08/08/2023	Kwilu 4 M\$ implemented by JICA (+3.4 M\$ JICA) recently started April 2019 Local NGO to implement activities Duration 60 months Start 01/01/2019 End 26/08/2024
<b>Description Province</b>	Province near Kinshasa main city Inongo	Divided in 3 Provinces in 2015, Kisangani main city, Bas Ule bordering CAR and Ituri Uganda	Province border with RoC share a large peatland area, Mdamhaka main city	Province bordering CAR and RoC with large market for agricultural products exports	Province enclaved Lisala main city	Province near Kinshasa Kilwit main city
<b>Outcome 1 Agriculture</b>	10,000 ha coffee, cocoa, rubber and oil palm in savannahs 1,650 ha of oil palm Set-up oil palm 16 ha in communities of Kutu territory 720 ha oil palm plantations in 32 territory with 220 nurserymen structured value-chain with NGO partnership	Fertilizers, pesticides inputs to be delivered to farmers Production and deliver 71,300 kg seeds (rice, maize and peanut and 550 kg of seeds coffee robusta	Order supply for seedlings (maize, oil palm, coffee, cocoa, cassava)	225 ha planted with coffee, 105 ha cocoa Identify plant breeders for coffee and cocoa	8 banana breeders trained 2,300 banana seedlings produced (2 ha) 42,000 fruit tree seedlings produced (60 ha) 6 pineapple producers identified	45 nurseries established 64 nurserymen trained and equipped in 32 villages
<b>Outcome 2 Energy</b>	Kutu territory set-up 34 tree nursery <i>Acacia varzizila</i> ; production of acacia seedlings in 33 sites with 190 nurserymen 673,433 seedlings; agro-forestry plantations of acacia – cassava on 33 sites for 540 ha collaborating with 1,460 households	Start procurement for improved cook-stoves to distribute to communities	No activity	No activity	No activity	Training provided to produce 450 ha Acacia plantation agro-forestry and charcoal
<b>Outcome 3 Forest</b>	Structured 600 local development committees (LDC) among 1,300 villages	No activity	No activity	Liaison with Observatoire Satellite des Forêts d'Afrique Centrale (OSFAC) No activity (foreseen community forestry)	Two sites identified for the production of tree seedlings	No activity

<b>Outcome 4 Mining &amp; infrastructure</b>	240 km of priority roads ; 36 new bridges, 2 metallic bridges to rehabilitate, 6 km embankment, 1 ferry and 2 new wharf, with feasibility studies EIA and SESA for ferry and wharf, buy building materials to improve roads by HIMO for communities	No activity	No activity	No activity	No activity	No activity
<b>Outcome 5 Land use and tenure</b>	Meeting (draft PDD) to precise methodology of selection of targeted territories. Land Use with the LCD local development Plan (PDD) Gazette 130 Territories and start operating des PSG	3 SPAT provincial LU schema 7 STAT territorial LU scheme 3 draft tenure edits 131 villages territories 15 drafts Load (Agar, Eni, LU, plan, tenure)	Liaise with IPs first mission for LUP and land tenure (FPIC)	Set-up LU Plan in territories local development plan 100 LDD (PDD) section	Prevision to secure land rights of IPs	Collaborate with UN-Habitat and CONAREF to secure land tenure
<b>Outcome 6 Demography</b>	Increase from 5 à 10% of contraceptive and awareness campaign of 180,000 HH in family planning, to prevent Ebola and Aids	Strategy developed with PROMIS family planning	Participated actively in workshop of PROMIS family planning	No activity with IPs	No activity	No activity
<b>Outcome 7 Governance</b>	Support IPs with ONG OSAPY Structured 4 CARG rural agriculture management councils Territory and 14 CARG section 16 Agreements signed with technical services of Territories	Create and regenerate Multi-actors and multi-sectors platform 3 provincial consultation framework CPCOD, CPOD, 5 local framework CL, 23 local framework CL (for go technical services) Fund raising to include Haut Uele	Launch agreement with WWF Plan to reinforce rural agriculture management councils (CARGs) and local development committee (LDC)	4 CARG set-up 66 cooperatives UOP and 534 OP Reinforcing isn't capacities 4 INST (8 inspectors' rural dev, 9 brigade agronomists, 26 supervisor sections Partnership with INERA, ONAPAC, FFN, ACE	Identification of agricultural products market chain Contact made with local development committee (LDC) Consult and diagnosis with 23 community groups in 67 villages Lisala, 15 groups in 74 villages Bumba, 6 groups in 37 villages Bongandanda	34 local development committees (LDC) established 10% of Women participation Liaise with provincial governor (MoU)

Source: CAFI Implementing Agencies' annual progress reports

## ANNEX B – LIST OF PEOPLE INTERVIEWED

NAME/GROUP	ORGANIZATION	TITLE	PURPOSE/OBJECTIVE	DATE/GVA. TIME
Ms. Estelle Fach	CAFI Secretariat	Specialist, Forest Resource & MTR focal point	1 <sup>st</sup> interview (many more unscheduled)- Pre-approval of Inception Report Outline, Work-plan, Country Report Outline, request documents	13 July at 4PM (9AM) Several meetings
Ms. Berta Pesti	CAFI Secretariat	Secretariat Head	interviews - Information and exchange of views	19/05/2020 Several meetings
Reference Group	NORAD, GIZ/BMZ (German Min. of Coop), EU DEVCO, FCDO	4 MTR Accompanying Members on behalf of CAFI EB	Approval of Inception Report Outline, Work-plan, Country Report Outline + Information and exchange of views	Tuesday 16 May at 3AM
Executive Board 15 and EB 16			CALL WITH CAFI SEC	29/03 to 01/04/2020 22 /06 to 25/06/2020
Ms. Leslie Ouarzazi	CAFI Secretariat	Technical Advisor	1 <sup>st</sup> interview - Ascertain info on operations in RoC, RDC, Cameroon and CAR	28/5/2020 3/6/2020 3PM
Ms. Amarys Preuss	CAFI Secretariat	UNV /VNU	Ascertain info on operations in RoC	Tuesday August 18, 11:30 Brazzaville
Ole Olhoff	CAFI Secretariat	JPO		29/5/2020
Ms. Christine Langevin	consultant	CAFI Secretariat	Ascertain info on operations in DRC, RoC, CAR	27/5/2020
Mr. Pierre Bardoux Chesneau	UNDP MPTF OFFICE	Portfolio Mgr.	Info on operations of the Trust Fund	Friday June 5 at 2PM (7AM NYT) via ZOOM
Ms. Lucile Broussolle	European Union	Environment and Natural Resources, Brussels	Ascertain info on overall CAFI operations, partnership, donor relations.	Tuesday 9 June 5 pm (10 am) Thursday 11 at 3PM (8am)
Mr. François Busson	<i>CAFI Sec consultant and former EU focal point</i>		Ascertain info on operations	Tuesday 9 June 15:30 (8:30 am)
Mr. Philippe Lacoste	French Ministry of Foreign Affairs (MEAE)	Director of Sustainable Development	Ascertain info on overall CAFI operations, partnership, donor relations.	Wednesday 17 June 7 AM (not in the call)

Stephanie Pallier	French Ministry of Foreign Affairs (MEAE)			
Mr. Ghousébash Gaffar	French Ministry of Foreign Affairs (MEAE)	Unit Head	Ascertain info on overall CAFE operations, partnership, donor relations.	Wednesday 17 June 7 AM (not in the call)
Ms. Justine de Boisfleury	French Ministry of Foreign Affairs (MEAE)	Forestry Advisor	Ascertain info on overall CAFE operations, partnership, donor relations.	Wednesday 17 June 7 AM Via Webex
Mr. Reinhard Wolf	GIZ	Sector Program International Forest Policy	Ascertain info on overall CAFE operations, partnership, donor relations.	Thursday 4 June 2 PM
Ms. Lena Siciliano Bretas (former CAFE focal Point)	BMZ former Germany CAFE Focal Point	Land Rights and Forests	Ascertain info on overall CAFE operations, partnership, donor relations.	Thursday 4 June 2PM (7AM Cali)
Dr. Iven Schad	BMZ	Country Desk Officer for Cameroon	<i>Has been posted before at the German Embassy in Cameroon</i>	Wednesday 10 June 5PM (10 am)
Ms. Barbara Steinbrinker	BMZ	Country Desk Officer for DRC	Ascertain info on overall CAFE operations, partnership, donor relations.	Wednesday 10 June 5PM (10 am)
Dr. Christian Ruck	GIZ	CBFP-Facilitation	Ascertain info on overall CAFE operations, partnership, donor relations.	Viewed during EB
Mr. Per Frederik Pharo	Norwegian Ministry of Climate and Environment	Head of NICFI, advisor to the Minister of Climate	Ascertain info on overall CAFE operations, partnership, donor relations.	Viewed during EB
Mr. Andreas Dahl-Jørgensen	Min. of Climate and Environment, Norway's International Climate and Forest Initiative (NICFI)	Deputy Director, Acting head in 2017-2018 and part of 2019	Ascertain info on overall CAFE operations, partnership, donor relations.	Viewed during EB
Ms. Mette Møglestue	NORAD	Director Department of climate, Energy and Food Sec.	Ascertain info on overall CAFE operations, partnership, donor relations.	



Ms. Sigrid Nagoda	NORAD		Ascertain info on overall CAFE operations, partnership, donor relations.	Tuesday 9 June 8 PM
Mr. Jostein Lindland	Min. of Climate and Environment, Norway's International Climate and Forest Initiative (NICFI)	Congo Basin advisor	Ascertain info on overall CAFE operations, partnership, donor relations.	Friday 12 June 3pm
Ms. Ellen Henrikke Aalerud	NORAD		Ascertain info on overall CAFE operations, partnership, donor relations.	Tuesday 9 June 8 PM
Mr. Lars Andreas Lunde	NORAD	Climate, Forests, Green Eco	Ascertain info on overall CAFE operations, partnership, donor relations.	Viewed during EB
Ms. Carola Van Rijnsoever	Netherlands Min. of Foreign Affairs	Director, Department for Inclusive Green Growth	Ascertain info on overall CAFE operations, partnership, donor relations.	Thursday 18 <sup>th</sup> . At 3PM (7AM Cali) Not available
Mr. Felix Hoogveld	Netherlands Min. of Foreign Affairs	Coord. Policy Advisor	Ascertain info on overall CAFE operations, partnership, donor relations.	Friday 19 <sup>th</sup> . At 2PM
Mr. Thomas Pichet	United Kingdom, FCDO	Climate and Environment Advisor	Ascertain info on overall CAFE operations, partnership, donor relations.	Monday June 15, at 5PM (10am) Skype thomas.efi
Ms. Gaia Allison	United Kingdom, FCDO	Climate and Environment Advisor	Ascertain info on overall CAFE operations, partnership, donor relations.	Monday June 15, at 5PM (10am) Skype gaia.allison
Mr. Jae Yong Kim	Korea Forest Services	Program Officer Global Forest Resources Division	Ascertain info on overall CAFE operations, partnership, donor relations.	Wednesday 4 AM
Ms. Astrid Agostini	FAO Forestry Dept.	Dep.Dir, Forest and Resources Div.	Ascertain info on overall relationship with CAFE, FAO operations, partnerships with Govt's, disbursement	Friday 26 June 2PM (7AM)

			arrangements, relations with CSOs, NGOs, Indig. Communities	(not available in the call)
Ms. Maria Ruiz Villar	FAO Forestry Dept.	REDD+ Team	Ascertain info on overall relationship with CAFI, FAO operations, partnerships with Govt's, disbursement arrangements, relations with CSOs, NGOs, Indig. Communities	Friday 26 June 2PM (7AM)
Mr. Tim Clairs	UNDP BPPS/NCE Geneva	Prin. Tech. & Policy Adv.	Ascertain info on overall relationship with CAFI, UNDP operations, partnerships with Govt's, disbursement arrangements, relations with CSOs, NGOs, Indig. Communities	Monday June 15 at 11AM (4 AM) Skype timclairs
Mr. Loic Braune	World Bank	Sr. Nat. Resources. Mgmt. Specialist	Ascertain info on overall relationship with CAFI, World Bank operations, partnerships with Govt's, disbursement arrangements, relations with CSOs, NGOs, Indig. Communities	Monday June 15 9 AM (2AM for Eric) Skype loic.braune
Mr. Mathieu Auger Schwartzberg	AFD Agric. Division	Task Team Leader.	Ascertain info on overall relationship with CAFI, AFD operations, partnerships with Govt's, disbursement arrangements, relations with CSOs, NGOs, Indig. Communities	Friday 19 June 15.00 (8AM Cali)
Mr. Christophe du Castel	AFD, Environment	Sr. Prog. Advisor	Ascertain info on overall relationship with CAFI, AFD operations, partnerships with Govt's, disbursement arrangements, relations with CSOs, NGOs, Indig. Communities	Friday 19 June 15:00 (8AM)
Ms. Leslie Ouarzazi/Ole Olhoff	CAFI Secretariat	Technical Advisor/JPO	2 <sup>nd</sup> . Interview to ascertain info on the CAFI Prog. In DRC	Friday 21 August 11:00
Mr. Felicien Mulenda	FONAREDD	Head of FONAREDD Executive Secretariat	Ascertain info on operations of FONAREDD	Wednesday July 1 15:30 (8:30AM)
Ms. Mirey Atallah	FONAREDD Executive Secretariat	Principal Advisor of the FONAREDD	Ascertain info on operations of FONAREDD	Wednesday July 1 15:30 (8:30AM)

		Executive Secretariat		
Mr. Fabian Kayla	French Embassy		Ascertain info on CAFI in DRC	
Mr. André Fache	EU delegation DRC	(EEASKINSHASA)	Ascertain info on CAFI in DRC	Wednesday 29 July 10 Kinshasa (4AM)
Mr. Jacques de Dixmude Arnold	EU delegation DRC	(EEASKINSHASA)		Wednesday 29 July 10 Kinshasa (4AM) WEBEX
Ms. Hilde Dahl	Ex- Royal Norwegian Embassy		Ascertain info on CAFI in DRC	Thursday August 13 14:00 Oslo time Whatsapp
Pr Jean de Dieu MINENGU	Ministry of Environment MEDD ACTEED		Ascertain info on CAFI policy dialogue and programs in the DRC	Monday 10 August at 11 Kinshasa (5AM)
Prof Baidon Ngoy Kitua	Ministry of Land Management		Ascertain info on CAFI policy dialogue and programs in the DRC	Friday August 14 <sup>th</sup> . 15:00 Kinshasa (9AM) ZOOM
Floribert Nyamwoga	Ex- Land Reform Commission (CONAREF) Ministry of Land Affairs		Ascertain info on CAFI policy dialogue and programs in the DRC	Friday 14 August at 14:00 Kinshasa (8AM) Whatsapp
Focal Point	World Bank Kinshasa	Implementing Agents	Understand progress & problems in the implementation of programs for which they are responsible (01,04,06).	No answer
Cleto Ndikumagenge	FAO Kinshasa		Understand progress & problems in the implementation of programs for which they are responsible (02,10,11).	Wednesday July 15 at 16 Kinshasa (10 AM)
Henri Paul Elomaikoleki	FAO Kinshasa		Ibid.	Wednesday July 15 at 16 Kinshasa (10 AM)
Aristide Ongone	FAO Kinshasa		Ibid.	Wednesday July 15 at 16 Kinshasa (10 AM)
Laurent Rudasingwa	DRR UNDP	Implementing Agent		Wednesday 15 July 1:30 Kinshasa (7:30)
Etienne de Souza	UNDP Kinshasa	Implementing Agent	Understand progress & problems in the implementation of programs for which they are responsible (03,05,07,12)).	Wednesday 15 July 1:30 Kinshasa (7:30)

Ms. Mathilde Gautier	AFD Kinshasa	Implementing Agent		Tuesday 11 August 16:00 Kinshasa (10AM) Whatsapp
Mr. Guy Kajemba	Président GTCR-R Groupe de Travail Climat REDD		Ascertain views on CAFI's Effectiveness/Efficiency	No answer
	Vice-President GTCR-R			No answer
Gabriel Mola	Federation des Industriels du Bois			Friday 17 at 11 AM Kinshasa (5AM)
Mr. Keddy Bosulu/Rigobert Mola	REPALEF (Indigenous People Proj)		Ascertain views on CAFI's Effectiveness/Efficiency, degree of inclusion and alignment with OBJECTIVE of Indig. Peoples.	Wednesday 15 at 15:00 Kinshasa (9AM) (bad connexion)
Chouchouana Losale	Coalition des Femmes Leaders pour l'Environnement et le Développement Durable			Tuesday 14 at 11AM Kinshasa via Skype (5AM)
Raphael Mboyoy	CN-REPALEF-RDC		Indigenous People and GTCR	Thursday 9 at 12 Kinshasa time (6AM) via Zoom
Vangu Clément	Coordonnateur National de l'UC-PIF			Friday 24 July 10 Kinshasa (4AM)
Mr Philippe Collas	Chef de Projet PIREDD Mai Ndombe			Friday 24 July 10 Kinshasa (4AM)
Yannick Lwamba	Expert Suivi et Evaluation FIP-RDC			Friday 24 July 10 Kinshasa (4AM)
Agustin Mpoyi	Principal Technical Advisor CODELT			Tuesday August 18th 10AM (4AM) Skype
Paulin Osit	Focal Point Staff of Min. of Agric. of DRC		Ascertain views on CAFI's Effectiveness/Efficiency in promoting the Ministry's Objectives	Tuesday 28 July 10 AM Kinshasa (4AM) on ZOOM
Mr. Yann Petrucci	TEREA Consultant evaluation milestones		To discuss the findings of the LOI milestones Eval.	Wednesday 17 June 15:30 (8:30 AM)

Ms. Berta Pesti	Head, CAFE secretariat and Focal Point for Gabon		2 <sup>nd</sup> . Interview to ascertain info on the CAFE Prog. In Gabon	Several meetings
Nicolas La Ternec	AFD	Program Advisor	Ascertain info on operations of Programs 1 “ National Land Use Planning and Monitoring to Promote Sustainable Development Strategies for Gabon” and 2 “Reducing Emissions Through Improved Sustainable forest management: Implementation of a national scale certification process in Gabon”	Tuesday 21 July 9 Libreville (3AM)
Fred Ntoutoume	AFD	Program Advisor CAFE 1 and new CAFEv2	Ascertain info on operations of Programs 1 “ National Land Use Planning and Monitoring to Promote Sustainable Development Strategies for Gabon” and 2 “Reducing Emissions Through Improved Sustainable forest management: Implementation of a national scale certification process in Gabon”	Tuesday 21 July 9 Libreville (3AM)
Dr. Ludovic Ngok Banak/ Ms. Alvina OKOME MBEGA	Coordonnateur du programme CAFE/Gabon Conseil National Climat	Main Implementing Agent	Ascertain info on operations of Program 2 and to ascertain views on CAFE’s Conseil National Climat Effectiveness/Efficiency in partnership with the CNC.	Friday July 10 at 12 Libreville (6AM)
Mr. Tanguy Gahouma	Gabonese Agency for Studies and Spatial Observation (AGEOS)	Implementing Agent	Ascertain info on operations of Programs 1 and to ascertain views on CAFE’s Effectiveness/Efficiency in partnership with the AGEOS	Friday 10 at 12 (6AM)
Francis James	UNDP Resident Representative		Implementation modalities	Friday August 7 15 Libreville (9AM)
Ms. Rosalie Matondo	Ministry of the Environment	Minister	Ascertain an overview of CAFE policy dialogue and operations.	Wednesday 29 July 11:30 Brazzaville (5:30AM)
Ms. Emma Ngouan-Anoh	UNDP RoC		Future implementation arrangements	Friday 24 July 16:00 Brazzaville (10AM)

Mr. Florent Lager	Mining Federation		Private sector perspectives	Thursday 6 August 17 Brazzaville (11AM)}
Ms Nina Cynthia alida kiyindou	Observatoire congolais des droits de l'Homme (OCDH)		Expand Women's representativity	Tuesday 21 July at 11 :30 AM Kinshasa (5:30 Am)
Ms. Estelle Fach	CAFI Secretariat	Focal Point	2 <sup>nd</sup> . Interview To ascertain info on the CAFI Prog. In EG	Thursday 13 August 10:00
Mr. Miguel Lubabahosi		Director General Planning	Ascertain advances towards the Lol	Thursday 13 August 11:30 Malabo (5:30)
Mr. Gabriel Nguia Ayecaba		Director General of Environmental Conservation	Ascertain advances towards the Lol	Friday August 7 10 Malabo (4AM)
Leslie Ouarzazi	CAFI Secretariat		Ascertain info on status of CAFI policy dialogue in Cameroon and confirm details on DRC & RoC	Friday 21 August at 11AM (4AM) Skype or Whatsapp
Mr. Haman Unusa	Min. of the Environment, Protection of Nature and Sustainable Development	Deputy Director of Environmental Planning/CAFI Focal Point	Ascertain an overview of CAFI policy dialogue and operations.	Friday 21 August at 14AM (4AM) to be postponed 31/08
Ms. Christine Langevin	CAFI Secretariat		Operational issues	
Mr. Gildas Tola Kogadou	Government Focal Point		Government perspective on future of CAFI in CAR	Monday 10 August 15:00 Bangui (9AM) skype
Mr. Lionel Diss	Rainforest Foundation		NGO perspective	Monday June 29 15:00
Dr. Robert Nasi	CIFOR Director General		Technical Support available to CAFI	Thursday July 2 11 AM (4AM)
Dr. Alain Karsenty	CIRAD		idem	Friday July 3 15:00 (8AM) Skype
Pr. Simon Lewis	Lead CONGOPEAT LEEDS University UK		Idem + info on peat lands	Friday July 3 15;00 UK (9am)
Dr. Greta Dargie	Researcher CONGOPEAT LEEDS University UK		idem	Friday July 3 15;00 UK (9am)

Ms. Emma Stokes	WCS regional director, Forest Conservation and REDD+		Idem + NGO perspective	Thursday July 2 17:00 UK (11AM)
Mr. Tom Evans	WCS Director, Forest Conservation and REDD+		Idem	Thursday July 2 17:00 UK (11AM)
Mr. Ed Davey	WRI		Idem	Wednesday July 1 (16 UK) 10am
Ms. Marie Ange Kalenga	FERN		Idem	Wednesday July 1 <sup>st</sup> (14h) 7AM
Mr. Brice Boehmer	Transparency international		Perspective on CAFI	Tuesday 30 June 16:00 9am (9AM)
Mr. Joe Eisen	Rainforest Foundation UK		NOGO perspective	Tuesday 30 June 14:00 UK (8AM) Skype
Mr. Frédéric Baron	EFI European Forest Initiative advisory body for the EU		Idem	Thursday June 25 16:00 (9AM) MS TEAM

## ANNEX C - LIST OF DOCUMENTS RECEIVED/REVIEWED

1. CAFI Joint Declaration
2. CAFI Terms of Reference
3. CAFI Terms of Reference (Revised June 2020)
4. Draft Revised CAFI Secretariat ToR (June 2020)
5. Draft CAFI Manual of Operations
6. Governance Assessment of CAFI and FONAREDD by Transparency International
7. CAFI M&E Framework
8. DRC 2019-2024 Development Strategy
9. MPTF Office Generic Annual Program Narrative - Progress Report for 2016
10. MPTF Office Generic Annual Program Narrative - Progress Report for 2017
11. MPTF Office Generic Annual Program Narrative - Progress Report for 2018
12. MPTF Office Generic Annual Program Narrative - Progress Report for 2019
13. CAFI Annual Report for 2016
14. CAFI Annual Report for 2017
15. CAFI Annual Report for 2018
16. Report and Minutes of the CAFI EB meeting 6
17. Report and Minutes of the CAFI EB meeting 8
18. Minutes of the CAFI EB meeting 10
19. Report and Minutes of the CAFI EB meeting 11
20. Report and Minutes of the CAFI EB meeting 12
21. Report and Minutes of the CAFI EB meeting 13
22. Report and Minutes of the CAFI EB meeting 15
23. CAFI Phase 2021-2027 White Paper
24. List of CAFI EB Decisions 2015-2019
25. CAFI Risk Management Strategy 2019
26. FONAREDD 2017-2018 Annual Report
27. FONAREDD 2019 Annual Report
28. FONAREDD Independent Review of the Lol and advances 2019 (TERRA)
29. CAFI - DRC Lol April 2016
30. DRC PRODOC Prog. 1 Land Use Planning
31. DRC PRODOC Prog. 2 Energie
32. DRC PRODOC Prog. 3 Surveillance System
33. DRC PRODOC Prog. 4 PIREDD Mongala
34. DRC PRODOC Prog. 5 PIREDD Equateur
35. DRC PRODOC Prog. 6 PIREDD Kiwilu
36. DRC PRODOC Prog. 7 Land Reform
37. DRC PRODOC Prog. 8 Support to Civil Society
38. DRC PRODOC Prog. 9 Agric. In Savanah and Degraded Forests
39. DRC PRODOC Prog. 10 Agric. Policy
40. DRC PRODOC Prog. 11. Family Planning
41. DRC PRODOC Prog. 12 PIREDD Orientale
42. DRC PRODOC Prog. 13 PIREDD Mai Ndombe
43. DRC PRODOC Prog. 14 PIREDD Sud Ubangu
44. DRC PRODOC Prog. 15 Support to Indigenous People
45. DRC Annual Prog. Reports 1 Land Use Planning
46. DRC Annual Prog. Reports 2 Energie



47. DRC Annual Prog. Reports 3 Surveillance System
48. DRC Annual Prog. Reports 4 PIREDD Mongala
49. DRC Annual Prog. Reports 5 PIREDD Equateur
50. DRC Annual Prog. Reports 6 PIREDD Kiwilu
51. DRC Annual Prog. Reports 7 Land Reform
52. DRC Annual Prog. Reports 8 Support to Civil Society
53. DRC Annual Prog. Reports 10 Agric. Policy
54. DRC Annual Prog. Reports 11. Family Planning
55. DRC Annual Prog. Reports 12 PIREDD Orientale
56. DRC Annual Prog. Reports 13 PIREDD Mai Ndombe
57. DRC Annual Prog. Reports 14 PIREDD Sud Ubangui
58. CAFI - Gabon Loi
59. CAFI – Loi Addendum for Gabon
60. CAFI Gabon Prog 1 National Land Use Planning and Monitoring to Promote Sustainable Development Strategies for Gabon
61. GABON Prog. 1 Annual Report National Land Use Planning and Monitoring to Promote Sustainable Development Strategies for Gabon
62. CAFI Gabon Prog. Doc. 2 - Reducing Emissions Through Improved Sustainable forest management: Implementation of a National Scale Certification Process in Gabon
63. Sixteen Power Point Presentations to the 15 <sup>th</sup> . CAFI EB
64. DRC Note on Land Use Planning April 2020
65. DRC FAO Programming Framework
66. DRC FAO Country Program
67. DRC FAO PP Presentation to the FONAREDD COPIL 17
68. DRC FAO Compte-rendu de la plate-forme technique de concertation pour la mise en œuvre du Système National de Surveillance des Forêts
69. DRC FAO Preliminary Results/Risk evaluation
70. RoC CAFI – Loi 2019
71. RoC CAFI- Expression of Interest Terms of Reference January 2020
72. RoC - CAFI Program Note
73. RoC Ministerial Decree regarding agricultural land use
74. RoC Prime-ministerial decree on the participation of IPs in the development process.
75. RoC Law 5-2011 regarding rights of IPs
76. Congo Eco Magazine No.17
77. ARCADIA Annual Report on Commodities Analytics in Africa - 2017
78. ARCADIA Annual Report on Commodities Analytics in Africa - 2019
79. Codes et conventions miniers : l'impact sur le financement du secteur – Revue Banque
80. Assorted documentation provided for the 2020 meetings of the CAFI Executive Board

## ANNEX D – MTR TERMS OF REFERENCE



# CAFI Fund: Terms of Reference of the mid-term Evaluation

15 May 2019

## 1. Background

1. Central Africa is home to the second largest tropical rainforest in the world. Forest loss is accelerating despite ongoing efforts, as government action alone has not been sufficient to establish an effective balance between the interests of the forest and of economic development. On this basis, a coalition of willing donors – the European Union, the Federal Republic of Germany, the Kingdom of Norway, the Republic of

France and the United Kingdom of Great Britain and Northern Ireland – together with Central African partner countries – Central African Republic, the Democratic Republic of the Congo, the Republic of Cameroon, the Republic of Congo, the Republic of Equatorial Guinea, and the Republic of Gabon – have entered into a collaborative partnership to establish the Central African Forest Initiative (CAFI). The objective of this initiative is to recognize and preserve the value of the forests in the region to mitigate climate change, reduce poverty, and contribute to sustainable development.

2. CAFI's objectives are laid out in the CAFI Declaration: *"to recognise and preserve the value of the forests in the region to mitigating climate change, reducing poverty, and contributing to sustainable development."*
3. These objectives will be attained through the implementation of country-led, national scale REDD+ and Low Emissions Development (LED) investment frameworks that include policy reforms and measures to address the drivers of deforestation and forest degradation and promote sustainable development.
4. The CAFI Fund terms of reference lay out CAFI's Theory of Change
5. Since its launch in September 2015, CAFI has:
  - a. Concluded Letters of Intent with DR Congo (2016 - 190 million US\$) and Gabon (2017 - 18 US\$)
  - b. Funded 12 programs in DRC and Gabon
  - c. Mobilized additional funding (France, EU)
  - d. Attracted additional members from donor countries – with South Korea and the Netherlands joining the initiative
  - e. Mobilized additional funding
6. As the midterm of the CAFI Fund approaches, it is time to take stock. As set out in the terms of reference of the CAFI Fund, *"the Executive Board will commission two independent reviews/evaluations on the overall performance of the Fund. These evaluations will take place at mid-term and at the closure of the Fund (2022) respectively. The aim of these evaluations, to be spelled out in further detail in the TORs for the evaluations, will be to study the various performance measurements of the Fund, to confirm or to annul them, and to test the theory of the change described in the Result Fund Matrix. The mid-term evaluation will consist of specific recommendations to the Executive Board for the review of the Fund Result Matrix and its underlying theories of the change if necessary."*

## 1.1 CAFI Objectives, Expected Outcomes and Outputs

7. As set out in the CAFI terms of reference <sup>15</sup>, the objective of CAFI is to coordinate donors efforts and to deliver aid more efficiently through supporting the implementation of integrated, ambitious, high quality national low emission and/or REDD+ investment frameworks. The framework for this Initiative is defined by a Joint Declaration <sup>16</sup> endorsed by the Central African and Donors countries.
8. To achieve this objective, the Initiative has identified seven outcomes to deliver at scale, strategic support to partner countries as presented in Table 1:

<sup>15</sup> <http://www.cafi.org/content/dam/cafi/docs/Our-work/CAFI%20Terms%20of%20Reference%20202016%2005%2006.pdf>

<sup>16</sup> <http://www.cafi.org/content/cafi/en/home/our-work/governance/the-cafi-declaration.html>

Table 1. CAFI outcomes

Outcome
Sustainable agricultural practices lead to less land conversion and increased food security
Sustainable alternatives to current wood energy practices are adopted;
Forestry sector institutions have the capacity and the legal framework to promote, monitor and enforce sustainable forest management;
Future infrastructure and mining projects minimize their overall footprint
Land use planning decisions ensure a balanced representation of sectoral interests and keep forests standing, and better tenure security does not incentivize conversion by individuals or communities;
Population growth and migration to forests and forest fronts are slowed down
Better inter-ministerial coordination and governance resulting in permitting and fiscal regime of economic activities that do not push economic actors to forest conversion and illegal activities.

9. These outcomes have been further elaborated through indicators in the CAFI M&E framework, available [here](#). An approach was conducted to collect baseline and data for these indicators.
10. The level of ambition under each outcome is determined country by country through letters of Intent.

## 1.2 Program Structure and Executing Arrangements

11. Management is carried out at three levels:
  - a. The [Executive Board](#), supported by a small Secretariat, is responsible for overall coordination with [CAFI Partner Countries](#) and decisions regarding the allocation of resources from the CAFI Fund
  - b. UNDP's [Multi-Partner Trust Fund Office](#) is responsible for administering the CAFI Fund. The CAFI Multi-Partner Trust uses a pass-through modality, where each Implementing Organisation applies its own set of procedures, provided that it meets the minimum requirements set up by the Initiative in terms of safeguards and fiduciary principles.
  - c. UN agencies (including FAO, UNDP), the World Bank and bilateral cooperation agencies (such as the French Development Agency, AFD) serve as [implementing organizations](#) to access funding from the Trust Fund and assist [CAFI Partner Countries](#).
12. CAFI country dialogue has several phases:
  - a. Partner countries develop and present their **national investment frameworks** addressing all drivers of deforestation and forest degradation. Small (1 million maximum) grants, implemented by implementing

organisations, were provided to support this preparation in all countries except DRC and Gabon.

- b. Following a review of the national investment framework, the CFI Executive Board (EB) agrees to support certain policy reforms and large scale programs
- c. Through a Letter of Intent (e.g. with DRC) the CFI EB and the partner country government, represented by a government institution with inter-ministerial coordination mandate, agree on timebound targets in policy reform and programmatic performance and the corresponding financial support by CFI if jointly defined milestones are met
- d. Partner countries develop and implement **programs** to achieve the milestones in the Letter of Intent with the support of implementing organizations

### 1.3 Program Cost and Financing

Total deposits to the CFI Fund Program, Donor Commitments (Pledges) and interest received by the Fund will be available on the MPTF program page by 31 May 2019

### 1.4 Per country Status

Reference to 2018 annual report, available on the CFI web site on 31 May 2019, as well as additional updates on the CFI web site.

## 2. Management of the Evaluation

13. The evaluation is provided for in the CFI Terms of reference and recalled in paragraph 6 above.
14. The Evaluation will be conducted by an **independent team of evaluation consultants** who will report to the Head of the CFI secretariat.
15. The CFI Secretariat will, in addition, facilitate the discussions of the consultants with a small group of CFI donors ("Reference group"). This Reference group will:
  - a. Discuss drafts and endorse the inception report
  - b. Discuss drafts and endorse the preliminary findings report
  - c. Endorse the final evaluation reports
  - d. Be responsible for follow up
16. All Executive Board members and observers will be invited to i) review and comment the evaluation deliverables (inception report, preliminary findings, draft report) ii) provide inputs into the list of key organizations and individuals to be interviewed by the evaluation team

In addition, the Executive Board will be invited to provide insights and inputs into evaluation deliverables, and promote learning and ownership of the evaluation findings and recommendations among CFI partners.

## 2.1 Evaluation Objective and Scope

1. The **main purpose** of the first external evaluation of CAFI is to make a broad and representative assessment of the performance of the Initiative in terms of relevance, effectiveness (outputs and outcomes) and efficiency, and to the extent possible determine potential impacts stemming from the Initiative , including their sustainability.
2. The evaluation has three **primary objectives**:
  1. (i) to provide evidence of results to meet accountability requirements,
  2. (ii) to promote learning, feedback and knowledge sharing through results and lessons learned among the Executive Board, implementing Organizations and other partners, and,
  3. (iii) to inform revision of the CAFI programming, structure of the Fund and the Executive Board, if needed, and how these influence and support countries. Therefore, the evaluation will identify lessons of operational and technical relevance for future program formulation and implementation.
3. The **scope** of the evaluation is from end of 2015 to mid-2019. The evaluation will encompass the geographical scope of CAFI, with a strong focus on DRC, Gabon and the Republic of Congo.
4. **The primary audience for the evaluation will be the CAFI Executive Board implementing organisations and the MPTFO. The secondary audience for the evaluation will be the implementing organizations and relevant institutions of all CAFI partner countries. The evaluation will also be made available to the public through the CAFI website and the websites of the evaluation departments of contributing donors.**

## 2.2 Evaluation Criteria

5. To focus the evaluation objectives by defining the standards against which the initiative will be assessed, the following six internationally accepted evaluation criteria will be applied:

i) **Relevance**, concerns the extent to which CAFI and its intended outcomes or outputs are consistent with policies and priorities and the needs of the partner countries. Relevance also considers the extent to which the initiative is responsive to the CAFI Theory of change Relevance vis-a-vis the international Forest and Climate agenda as well as vis-à-vis other forest, rural development and REDD+ or REDD+-related programs should also be examined rapidly. ii) **Effectiveness**, measures the extent of which the Initiative's expected outcomes (Table 1) have been achieved or the extent to which progress towards these outcomes has been made. iii) **Efficiency**, measures how resources or inputs (such as funds, expertise and time) were used to deliver high quality support (outputs), and how timely these outputs have been delivered. iv) **Cross-cutting issues** such as gender mainstreaming in the program, integration of social and environmental safeguards at design and during implementation, and contributions to broader organisational learning of the participating agencies. v) To a lesser extent, the evaluation will also examine **likelihood of impact** (to what extent the Initiative is likely to contribute to intermediate states towards its two intended impacts, i.e. emission reductions from deforestation and forest degradation and poverty reduction, as well as changes in the governance systems, institutional leadership and stakeholder behaviour; and **Sustainability and up-scaling** VI. The basis for the

performance assessment will be the **Theory of Change (ToC)** of the CAFI Fund. A ToC depicts the logical sequence of desired changes (also called “causal pathways” or “results chains”) to which an intervention, program, strategy etc. is expected to contribute. It shows the cause-to-effect linkages from project outputs (goods and services delivered by the project) over outcomes (changes resulting from key stakeholders’ use of project outputs) towards impact (changes in living conditions and environmental benefits), including any intermediate changes that need to happen between project outcomes and impact (called intermediate states). A ToC further defines the external factors that affect changes along the pathways, namely:

- **Drivers** – these are external factors partly under control of the program, such as national stakeholder ownership, that help “drive” change processes along the causal pathways;
- **Assumptions**– these are external factors entirely outside the program’s control that affect the achievement of outcomes, intermediary states and impact.

VII. The timely delivery of quality outputs by the program and the use of these outputs by stakeholders are also affected by internal **factors affecting performance**. The evaluation will carefully assess those factors, such as preparation and readiness of the program, stakeholder participation, overall management and adaptation to changing conditions, financial planning, effectiveness of implementing organisations, internal coordination and supervision mechanisms, and coordination with other relevant donor’s projects/programs; as to understand why performance has been better on certain aspects than others. This deeper understanding of factors affecting performance will likely generate important lessons.

## 2.3 Evaluation Questions

8. The following list includes standard questions and issues that the CAFI midterm evaluation should address. It is based on the standard evaluation criteria mentioned above, i.e. relevance, effectiveness, efficiency, impact and sustainability, as well as cross cutting issues and an additional category of questions regarding factors affecting program performance. The evaluation will assess the CAFI Initiative as follows:

### 1.1.1 Strategic relevance of CAFI

9. The evaluation will assess, in retrospect, whether the Initiative’s objectives and implementation strategies were consistent with:
- The international REDD+ agenda and negotiations under UNFCCC;
  - Countries’ needs and development priorities as expressed in national policies and plans as well as in sector development frameworks;
  - Existing Country Programs or other donor assistance frameworks approved by the governments of the partner countries; ○ The corporate mandate, strategies and programs of work of the implementing organisations;
  - Other REDD+ related programs, payment for ecosystem services schemes and rural livelihood programs

- How well were existing policies, programs, mechanisms and experiences are taken into consideration in partner countries so that CAFI support builds as much as possible on improving them rather than on the creation of new, parallel ones.

10. The evaluation will also assess whether the Initiative objectives were realistic, in light of the duration, its geographical scope and its allocated funding, and considering the baseline situation and the context in which the Initiative is operating.

### 1.1.2 Results and contribution to stated objectives

#### Effectiveness

11. The evaluation will assess the extent to which the Initiative objectives were effectively achieved or are expected to be achieved, mainly:

- **Does CAFI enhance cross-sectoral coordination and high-level leadership on forest/climate in the countries it supports?**
- **Does CAFI enhance donor support and coordination for Central African Forests?**
- **Is CAFI on track to deliver on the intended impacts and outcomes stated in Terms of reference and measured through its monitoring framework?**

12. For this, the evaluation will consider the CAFI Declaration, Theory of Change and monitoring framework, based on a review of project documentation and stakeholder interviews. The assessment of effectiveness will then focus on the following questions:

- Extent to which the outcomes, as defined in the Theory of Change, have been achieved by the program;
- The contribution of CAFI funded programs to the achievement of those ToC and outcomes.
- A summary of the main factors influencing the achievement of outcomes (with reference to the more detailed analysis that will follow under the “Factors affecting performance”).
- Influence of CAFI on global awareness of the importance of Central African forests.

#### Likelihood of Impact

13. The evaluation will assess actual and potential, positive and negative impacts produced by the initiative, directly or indirectly, intended or unintended. Since impact is a result of long-term change, and requires specialised tools to be measured, this evaluation will only assess the likelihood of impact, and the processes in place and progress made towards it.

14. The evaluation will use a Review of Outcomes towards Impact (ROtI) approach to assess the likelihood that results achieved by CAFI (will) contribute to long-term impact on climate change and sustainable development”. In addition to the time lag, CAFI’s contribution to impact becomes much harder to assess the further along the causal pathways the assessment is conducted. It is, however, possible to enhance the reliability of the assessment of likelihood of impact and of the extent of the program’s contribution, through a rigorous review of progress along the pathways from output to outcome to impact set out in the Theory of Change of the program. The ROtI will also assess to what extent the drivers and assumptions are present, that are deemed necessary for CAFI outputs to lead to outcomes, and those outcomes to yield impact.



## Efficiency

15. The evaluation will assess:

- The cost and timeliness of key outcomes delivered compared to national and regional benchmarks
- Administrative costs (including costs for supervision and coordination) compared to operational costs
- Any time and cost-saving measures taken by the Initiative
- Any significant delays or cost-overruns incurred, reason why and appropriateness of any remedial measures taken
- Any explicit efforts at national level to make use of pre-existing results, partnerships and approaches, as well as to exploit complementarities and synergies between related internal and external initiatives.

## Sustainability and Up-scaling

There will be less focus on these issues, and the below is provided as guidance.

16. **Sustainability** is understood as the probability of continued long-term program-derived results and impacts after the external program funding and assistance has ended. The evaluation will identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of benefits. The ToC will assist in the evaluation of sustainability.

17. Four aspects of sustainability can be considered:

- (a) *Socio-political sustainability.* Are there any social or political factors that may influence positively or negatively the sustenance of program results and progress towards impacts? Is the level of ownership by the main national, regional and global stakeholders sufficient to allow for program results to be sustained? Are there sufficient government and stakeholder awareness, interests, commitment and incentives to execute, enforce and pursue the programs, plans, agreements, monitoring systems etc. prepared and agreed upon under the program?
- (b) *Financial resources.* To what extent are the continuation of Initiative's results and eventual impact dependent on continued (external) financial support? What is the likelihood that adequate financial resources<sup>17</sup> will be available to implement the programs, plans, agreements, monitoring systems etc. prepared and agreed upon under the project? Are there any financial risks that may jeopardize sustenance of program results and onward progress towards impact?
- (c) *Institutional framework.* To what extent is the sustenance of the results and onward progress towards impact dependent on issues relating to institutional frameworks and governance? How robust are the institutional achievements such as governance structures and processes, policies, global and regional agreements, legal and accountability frameworks etc. required to sustaining program results and to lead those to impact on human behaviour and environmental resources?
- (d) *Environmental sustainability.* Are there any environmental factors, positive or negative, that can influence the future flow of program benefits? Are there any outcomes or impacts that are likely to affect the environment, which, in turn, might affect sustainability of benefits? Are there any foreseeable negative environmental impacts that may occur as the program results are being up-scaled?

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<sup>17</sup> Those resources can be from multiple sources, such as a global REDD financing mechanism, the public and private sectors, income generating activities, other development projects etc.

18. **Up-scaling** is defined as up-take and application of practices, approaches and lessons emerging from the program on a much larger scale and funded by other sources. The evaluation will assess the approaches adopted by the Initiative to promote up-scaling and appreciate to what extent actual up-scaling has already occurred or is likely to occur in the near future. The ToC will assist in determining and assessing the factors that influence up-scaling of program results.

### 1.1.3 Cross-cutting issues

#### Gender mainstreaming

- Analysis of how gender issues were reflected in Program objectives, design, identification of beneficiaries and implementation;
- Analysis of how gender relations and equality are likely to be affected by the Initiative; ○ Extent to which gender issues were taken into account in the management of the Initiative ○ Assessment of likely distribution of benefits and costs between stakeholders.

#### Participation of forest dependent communities

- Are appropriate policies, tools, methods and approaches being promoted by CAFI to ensure that the views of forest communities are fully taken into account in decision making processes at national level?
- How credible are the efforts by CAFI to ensure that Free Prior Informed Consent by forest communities both for sectoral policy making and provincial programs?

#### Capacity Development

- The extent and quality of CAFI in capacity development of beneficiaries;
- The perspectives for institutional uptake and mainstreaming of the newly acquired capacities, or diffusion beyond beneficiaries

#### Norms, guidelines and safeguards

- Alignment of the country programs with international normative products, guidelines and safeguards, especially the UNFCCC Cancun safeguards and those emphasized in Letters of Intent ○ Do no harm approach and conflict/fragility

### 1.1.4 Factors affecting performance

#### Program Design and Structure

19. The Evaluation will assess the extent to which the overall performance of CAFI has been affected by the way it has been designed and structured. The evaluation will consider the internal coherence and logic between CAFI's vision, mission and outcomes and funded programs. It will seek to answer the following questions:

- Comparing CAFI's results framework and the Theory of Change of the program, how clear and logic is the program's results framework, including the appropriateness of stated development goals and outcomes (immediate objectives) and the evolution of programs. Is the Theory of Change underpinning the overall Initiative results' framework robust and realistic? Are causal relationship between programs and CAFI expected outcomes and impacts logical and is adequate consideration given to drivers and assumptions?
- Is the proposed implementation strategy and intervention approach under each sector the most adequate? ○ Was the design process of the programs appropriate and were resources set aside for design adequate? ○ The quality of the stakeholders' and beneficiaries identification; ○ The appropriateness of selection criteria for funded programs.

### Program Organisation and Management

20. The Evaluation will look at CAFI's organization, coordination and Secretariat arrangements, by addressing the following questions:

- Have CAFI coordination arrangements (roles and responsibilities) within the donor group, with implementing organisations and with the Secretariat been clearly defined?
- How effective are the fund structure (MPTF pass through mechanism) towards the achievement of CAFI's objectives? ○ How effective are the governance arrangements (CAFI Executive Board) towards these achievements? ○ How effective is the CAFI Secretariat in supporting the implementation of the decisions of the Executive Board and the policy dialogues? ○ Is the distribution of roles and responsibilities optimally aligned with the respective mandates and comparative advantages?
- Role of the Executive Board and its guidance and decisions on CAFI- funded programs
- What is the timeliness and quality of administrative and technical support given by the EB, the CAFI Secretariat and implementing organisations to partner countries?

### Financial and Human Resources Administration

21. The Evaluation will consider the adequacy of financial and human resources planned and available for the design and implementation of activities by assessing, among other things:

- Distribution of funding according to funding source and the adequacy and stability of the funding base for the achievement of CAFI's objectives;
- Coherence and soundness of budget revisions in matching implementation needs and CAFI's objectives; ○ Allocation of funds towards and expenditure rate by each type of intervention and by different partners; ○ Quality, transparency and effectiveness of the systems and processes used for financial management; ○ Any other administrative processes facilitating or inhibiting fluid execution of program activities;
- The adequacy in terms of number and competencies of staff managing program activities, including personnel turn-over rates.

### Cooperation and Partnerships

22. The Evaluation will assess the effectiveness of mechanisms for information sharing and cooperation between the CAFI EB, governments and implementing organisations, by addressing the following questions:

- Have key partners been identified and has their commitment at critical stages of program implementation been secured? ○ How is the overall collaboration with and between the different partners involved in CAFI? ○ How effective are the coordination mechanisms in place between CAFI program and these partners, within and between Government ministries, and between CAFI programs and other bilateral and multilateral relevant initiatives. Are the incentives for collaboration adequate?
- To what extent has the program been able to take up opportunities for joint activities and pooling of resources with other organizations and networks? Has CAFI made full use of opportunities for collaboration with other relevant programs? Have complementarities been sought, synergies been optimized and duplications avoided?

## Monitoring, Evaluation and Reporting

23. The Evaluation will examine arrangements for reporting, monitoring and evaluating CAFI activities and will assess:

- The quality, comprehensiveness and regularity of reporting on the Initiative outcomes and impact. What quality assurance processes are in place to ensure the reliability and accuracy of reporting?
- The effectiveness of CAFI's monitoring and internal review systems, including clear definition of roles and responsibilities for data collection, analysis and sharing and adequate resources for monitoring.
- How monitoring information is used for steering and managing decisions. What mechanisms are in place to ensure that monitoring results are used to enhance CAFI's performance?
- The appropriateness of performance indicators to measure progress towards the achievement of programs, outcomes and impact;
- The extent to which CAFI's activities have been independently evaluated, and whether adequate resources have been allocated to this purpose.
- The effectiveness of monitoring and reporting on risks and risks mitigation measures

## 2.4 Evaluation Methodology

24. The CAFI evaluation will adhere to the UNEG Norms & Standards<sup>18</sup>. Evaluation findings and judgements should be based on sound evidence and analysis, clearly documented in the evaluation report. Information will be triangulated (i.e. verified from different sources, to corroborate facts and to ensure that the evaluators understand the facts correctly) to the extent possible, and when verification is not possible, the single source will be mentioned<sup>19</sup>. Analysis leading to evaluative judgements should always be clearly spelled out. The limitations of the methodological framework should also be spelled out in the evaluation reports.
25. The evaluation will rate the different evaluation criteria on a six-point scale as detailed in Annex 5.

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<sup>18</sup> UNEG Norms & Standards: <http://uneval.org/normsandstandards>

<sup>19</sup> Individuals should not be mentioned by name if anonymity needs to be preserved. In such cases sources can be expressed in generic term (Government, NGO, donor etc.).

26. In attempting to attribute any outcomes and impacts to the Initiative, the evaluators should consider the difference between what has happened with and what would have happened without CAFI. This implies that there should be consideration of the baseline conditions and trends in relation to the intended program outcomes and impacts. This also means that there should be plausible evidence to attribute such outcomes and impacts to the actions of CAFI. Sometimes, adequate information on baseline conditions and trends is lacking. In such cases this should be clearly highlighted by the evaluators, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about project performance.
27. As this is the first external CAFI evaluation, particular attention should be given to learning from experience, to inform revision of the CAFI approach. This should be at the front of the evaluation consultants' minds throughout the evaluation exercise. This means that the consultants need to go beyond the assessment of "where things stand" today, and explore processes affecting attainment of CAFI's results, which should provide the basis for the lessons that can be drawn from the Initiative. The consultants should also provide recommendations for the way forward.

## 2.5 Data sources and Tools

28. The CAFI evaluation will make use of the following tools and data sources:
  - a) A **desk review** of project documents including, but not limited to:
    - The independent verification of the milestones of the Letter of Intent between CAFI and the DRC
    - General background documentation on Central African forests, including the CAFI web site, evaluations conducted by international agencies and donors,
    - CAFI Declaration and terms of reference and CAFI Executive Board decisions
    - Relevant reports, such as CAFI's Annual Reports, FONAREDD Annual reports, external evaluations by donors, partners etc.;
    - Program design documents, including, annual work plans and budgets, revisions to the logical framework and project financing;
    - Documentation related to funded Program outputs and relevant materials
    - Evaluations of funded Programs when available;
    - Other relevant documents, such as new national policy documents, sector plans etc. bearing relevance for CAFI
    - If needed, scientific articles pertaining to various sectors impacting forests in the region etc.;
  - b) **Semi-structured interviews**<sup>20</sup> with a sample of key informants, stakeholders and participants, drawn from:
    - EB members, alternates and observers;
    - Government stakeholders including ministries participating in national coordinating bodies or steering committees;
    - Civil Society Organizations;

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<sup>20</sup> Face-to-face or through any other appropriate means of communications

- Indigenous Peoples Organizations;
- Current and potential donors;
- Country, regional and headquarter personnel from the implementing organisations involved in CAFI □ CAFI Secretariat
- Representatives from other bi-lateral or multi-lateral initiatives, including but not limited to FCPF, FIP, GEF, UNFCCC Secretariat.

c) **Surveys**<sup>21</sup>

- A survey of the CAFI EB members
- A survey of CAFI partner countries including government, civil society and the private sector to collect their views on CAFI relevance, quality of support provided and outcomes achieved to date.
- A survey of CAFI implementing organisations staff, as well as that have partnership agreements or are sub-contracted by implementing organisations, to collect their views on CAFI relevance, outcomes achieved to date and internal factors affecting performance.

d) **Participation in key events**, such as two EB meeting

e) **Missions to partner countries, focused on where investment plans are funded by CAFI, namely:**

- a. A mission to DRC including one or two missions to ongoing provincial programs, preferably one that has not been visited during the independent verification of the milestones of the LOI,
- b. A mission to Brazzaville
- c. A mission to Gabon

Meeting in-country partners and staff on the ground will be vital to acquiring a comprehensive understanding of the work conducted at the country level.

## 2.6 Consultation process

29. While fully independent in its judgements, the Evaluation Team will adopt a consultative and transparent approach with internal and external stakeholders. Throughout the process the evaluation team will liaise closely with the reference group (see the section 2 on “Management of the Evaluation”) and seek inputs from representatives of the Executive Board, the CAFI Secretariat, implementing organisations, government and civil society stakeholders in partner countries. Although the evaluation team is free to discuss with relevant government authorities anything pertaining to its assignment, the team is not authorized to make any commitments on behalf of the Initiative or implementing organisations .

30. The inception and draft evaluation reports will be shared first with the Reference Group and CAFI Secretariat, then with the Executive Board, relevant Program staff of the implementing

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<sup>21</sup> These surveys can be conducted online or through Email, as deemed most effective by the team. In preparation of the questionnaires, duplication with the Policy Board Review should be avoided.

organizations and other key stakeholders for comments before finalisation. Comments will be incorporated as deemed appropriate by the evaluation team.

## 2.7 The Evaluation Team

31. The Evaluation Team should consist of three independent evaluators, including one Team Leader. The Team Leader will have sound experience in leading evaluations of large programs and excellent English writing skills. To the extent possible the Evaluation Team will be balanced in terms of geographical and gender representation to ensure diversity and complementarity of perspectives. The evaluation team should comprise the best available mix of skills and expertise required to assess CAFI a) Extensive evaluation experience, including using a Theory of Change approach;

- b) Good technical understanding of Central Africa forest and climate context;
- c) Knowledge of donors structures and implementing organisations;
- d) First-hand experience in large program coordination and management;
- e) Knowledge management and communication;
- f) Partnerships; and
- g) Gender equity, minorities and other social and cultural issues.

32. The Evaluation Team members will have had no previous direct involvement in the formulation, implementation or backstopping of CAFI. All members of the Evaluation Team will sign the Evaluation Consultant Code of Conduct Agreement Form (Annex 3).

33. The Evaluation Team is responsible for conducting the evaluation as set out in these TORs and applying the approach and methods proposed in the inception report they will prepare. All team members, including the Team Leader, will participate in briefing and debriefing meetings, discussions and field visits, and will contribute to the evaluation with written inputs. The Team Leader will determine the distribution of data collection, analysis and reporting responsibilities within the team, in consultation with the other team members. The Inception Report will specify how responsibilities will be shared among evaluation team members.

## 2.8 Evaluation Team Deliverables

### Inception Report

34. Before going into data collection the Evaluation Team shall prepare an *Inception Report* which should detail the evaluators' understanding of what is being evaluated, showing how the evaluation questions can be answered by way of proposed methods and sources of data. It will contain:

- A thorough review of the CAFI context
- A thorough review of the CAFI design
- The evaluation framework. It should present in further detail the evaluation questions under each criterion with their respective indicators and data sources, and summarize the information available from program documentation against each of the main evaluation parameters. Any gaps in information should be identified and methods for additional data collection, verification and analysis should be specified.
- A proposed schedule of tasks, activities and deliverables –and how these are distributed over the different Team Members - A list of key stakeholders and

other individuals who should be consulted, developed with the assistance of the Secretariat.

- A preliminary list of documents to be reviewed by the evaluation team. is included in Annex 4.

35. The Inception Report will be shared with the Reference group for endorsement, and with the Secretariat, Executive Board implementing organizations.

#### Evaluation Reporting

36. Each evaluation consultant will provide written inputs to the evaluation. They will prepare country case study reports and contribute to the main report by writing sections of the main report. The Team Leader, in consultation with the other evaluation team members, will determine the specific inputs and format of the inputs expected from the other team members during the inception phase.

37. After data collection and analysis has been completed, before drafting the main report, the evaluation team will jointly prepare a *preliminary findings report*, showing the most important findings emerging from the evaluation on which the main report will be focused. This document will be shared with the EB, the Secretariat, implementing organisations and country focal points to obtain their feedback on the emerging findings, to make sure that the most important issues have been captured by the evaluators.

38. Then, the evaluation team shall prepare a *Draft Evaluation Report* meeting the required criteria as described in the Terms of Reference. The Team Leader bears responsibility for submitting the draft report within four weeks from the conclusion of the country visits. The report will present the evidence found on the evaluation issues, questions and criteria listed in the Terms of Reference. The length of the report should be 15-18,000 words, excluding executive summary and annexes. Supporting data and analysis should be annexed to the report when considered important to complement the main report. The recommendations will be addressed to the different stakeholders and prioritized: they will be evidence-based (with references to the relevant findings in the report), relevant, focused, clearly formulated and actionable. The Evaluation Team shall agree on the outline of the report at the inception phase, based on the template provided in Annex 2 of this Terms of Reference. The report shall be drafted in English.

The *Draft Evaluation Report* will be circulated among the Reference group, EB and CAFI Secretariat, and other key stakeholders for comments. Comments will be incorporated as deemed appropriate by the evaluation team. A “Response to comments matrix” will be prepared by the evaluation team to show how comments received have been dealt with in the *Final Evaluation Report*.

39. The Evaluation Team is fully responsible for its independent report, which may not necessarily reflect the views of the reference group, EB, CAFI Secretariat, implementing organisations and partner countries. The evaluation report is not subject to technical clearance by the evaluation departments of the donors, although they may be engaged, at the discretion of each EB member, for ensuring quality.

40. The *Final Evaluation Report* will be translated into French by CAFI Secretariat. It will be published on the CAFI website ([www.cafi.org](http://www.cafi.org)) and the websites of the evaluation departments of the donors.



## 2.9 CAFI Response

41. Following completion of the evaluation and delivery of the final Evaluation Report, a CAFI Response will be prepared. The EB, assisted by the CAFI Secretariat, will track implementation of evaluation recommendations.

## 2.10 Evaluation timetable

42. Table 6 outlines the provisional timetable and roles and responsibilities at each stage of the evaluation process. The timetable will be adjusted according to the availability of the selected evaluation team.

Table 6: Provisional CAFI Evaluation Timeline

	Activity	Responsibility	May - June	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr
<b>Preparation</b>	Prepare and circulate Evaluation ToR	Secretariat	X										
	EB13 (Presentation and approval of ToR)	EB		X									
	Recruit evaluation team	CAFI Secretariat (UNDP)		X	X	X							
	Inception mission	Evaluation Team, EB, Sec				X							
	Inception report	Evaluation Team					X						
	Review inception report	Reference group, Secretariat					X						
<b>Evaluation</b>	Data collection: Doc review, interviews, surveys and visits to DRC and Gabon	Evaluation Team					X	X					
	Data analysis	Evaluation Team						X					
	EB 14 : update and preliminary findings	Evaluation team, in consultation with CAFI Secretariat and Reference group, present to EB						X					
	Comments on preliminary findings	Reference group, Secretariat, EB, IOs and other stakeholders						X					
	Preparation of draft evaluation report	Evaluation Team							X	X			
	Review draft evaluation report and written comments	Reference group, CAFI Sec and EB								X			
	Review draft evaluation report by stakeholders	IOs & other stakeholders									X		
	Submission of final report	Evaluation Team										X	



- review/edit sections written by the other team members, ensuring a coherent report both in substance and style, and
- liaise with the Reference Group on comments received and ensuring that comments are taken into account during finalization of the main report, and
- present the evaluation findings and recommendations at the Executive Board meeting

## Managing internal and external relations of the evaluation team, including:

- maintain a positive relationship with evaluation stakeholders, ensuring that the evaluation process is as participatory as possible but at the same time maintains its independence,
- avoid and resolve any misunderstandings, tensions and performance issues within the team, and - communicate in a timely manner with the EMG on any issues requiring its attention and intervention.

The Evaluation Team will be supported by the reference group, the CAFI Secretariat and the EB for logistical arrangements as much as possible, but will be required to make appointments with stakeholders directly and acquire their own country visas and health/repatriation coverage.

The Team Leader shall have had no prior involvement in the formulation or implementation of CAFI and will be independent from Implementing Organizations and other global, regional and national partners to the program. (S)He will sign the Evaluation Consultant Code of Conduct Agreement Form (Annex 3).

The Team Leader will be selected by the CAFI Secretariat and recruited through UNDP procedures

### Key selection criteria

- Advanced university degree in international development, Forestry, Environmental sciences or other relevant social science areas.
- Extensive evaluation experience, including of large, regional or global programs and using a Theory of Change approach; □ Extensive team leadership experience;
- In-depth knowledge of sustainable forest management, REDD+ and Climate Change issues;
- Knowledge of results-based management orientation and practices;
- Experience from or knowledge of the UN system, FAO, UNDP and UNEP in particular;
- Excellent writing skills in English and working level knowledge of at least one among the following languages: French or Spanish.;
- Attention to detail and respect for deadlines.
- Minimum 10 years of professional experience, longer professional experience is an advantage, including proven experience in developing countries.

The fee of the Team Leader will be agreed on a deliverable basis and paid upon acceptance of expected key deliverables by the EMG.

**Deliverables:**

- Inception report
- country case studies
- Preliminary findings report
- Draft main report and revised draft report incorporating EB comments as required
- Revise main report incorporating – as appropriate – comments received from evaluation stakeholders and response to comments received from stakeholders on the draft report
- Final main report
- Presentation of preliminary findings and recommendations of the evaluation for discussion at two Executive Board meetings

**Schedule of Payment:**

<b>Deliverables</b>	<b>Percentage payment</b>
Inception report	20
Final country case studies and preliminary findings report	20
Submission and approval of the draft evaluation report	30
Submission and approval of the final evaluation report and presentation of findings and recommendations	30

**Supporting Consultants**

The evaluation team will comprise two Supporting Consultants in addition to the evaluation Team Leader. The Supporting Consultants will be responsible for delivering timely and high quality contributions to the evaluation process and outputs as described in the overall TORs of the evaluation under the leadership and supervision of the Team Leader. They will participate actively in evaluation design, document analysis, fieldwork and report-writing. Each Supporting Consultant will specifically provide:

**Substantive contributions to the inception of the evaluation, including:**

- conduct a preliminary desk review and introductory interviews
- assist in the preparation of the evaluation framework,
- contribute to the desk review and interview protocols,
- draft one of the two survey protocols (country survey or partner agency staff survey),
- contribute to sections of the inception report as agreed with the Team Leader, and
- any other tasks during the inception phase as requested by the Team Leader;

**Substantive contribution to data collection and analysis, including:**

- conduct further desk review and in-depth interviews with global and regional partners of the program as assigned by the Team Leader;
- conduct one joint country visit and draft sections of the first country visit report, incorporating feedback received from the Team Leader,
- conduct two additional country visits and prepare two country case studies, incorporating feedback received from the Team Leader and the other Supporting Consultant,
- review the country case studies prepared by the other team members and provide feedback,
- discuss preliminary findings of the evaluation within the team, and
- support the Team Leader with the preparation of a preliminary findings report, and
- any other tasks related to data collection and analysis as requested by the Team Leader;

### Substantive contributions to the main report, including:

- write key section of the main report, as assigned by the Team Leader,
- review/edit sections written by the other team members, ensuring a coherent report both in substance and style,
- assist the Team Leader with reviewing comments received from the EMG and other stakeholders and with finalizing the main report, and
- any other tasks related to reporting as requested by the Team Leader;

### Ensure good team work and external relations, including:

- maintain a positive relationship with evaluation stakeholders, ensuring that the evaluation process is as participatory as possible but at the same time maintains its independence,
- be a team player, avoid and help resolve any misunderstandings, tensions and performance issues within the team, and
- communicate in a timely manner with the CAFI Secretariat and reference group on any issues requiring its attention and intervention.

The Evaluation Team will be supported by the EB, the CAFI Secretariat and implementing organisations for logistical arrangements as much as possible, but will be required to make appointments with stakeholders directly and acquire their own country visas and health/repatriation coverage.

The Supporting Consultants shall have had no prior involvement in the formulation or implementation of CAFI funded programs and will be independent from the implementing organisations and other global, regional and national partners to the program. They will sign the Evaluation Consultant Code of Conduct Agreement Form (Annex 3).

The Supporting Consultants will be selected by the CAFI Secretariat and recruited by UNDP UNEP Evaluation Office through individual consultancy contracts.

## Key selection criteria

One Supporting consultant will be a rural development /forest governance expert and the other will be a social scientist. Both consultants will have:

- Advanced university degree in international development, climate change and forests, Environmental sciences, Social sciences or other relevant disciplines;
- Significant evaluation experience including using a Theory of Change approach;
- Reasonable knowledge of FAO, UNDP. World bank and bilateral banks or partners;
- Minimum 7 years of professional experience, longer professional experience is an advantage, including proven experience in developing countries;
- Excellent writing skills in English.

The rural development /forest governance expert will have in-depth expertise on REDD+ policies and strategies, agriculture, sustainable forestry practices, drivers of deforestation and MRV.

The *social scientist* will have in-depth understanding of forest and REDD-related gender, indigenous peoples, minorities and other socio-cultural issues. (S)He will also have experience in assessing partnerships, knowledge management and communication.

The fee of the Supporting Consultants will be agreed on a deliverable basis and paid upon acceptance of key evaluation deliverables by the EB.

The Team Leader will assign data collection, analysis and writing responsibilities within the team. The Team Leader will also advise the EMG whether the Supporting Consultants have contributed their fair share to the evaluation process and deliverables, and take part in their performance assessment.

### Deliverables:

- Inception report
- 3 country case studies (1 prepared jointly with the team, 2 prepared individually)
- Feedback on country case studies prepared by other team members
- Preliminary findings for key internal program stakeholders (i.e. EMG, UN-REDD Secretariat and the Policy Board)
- Draft main report and revised draft report incorporating EMG comments if necessary
- Feedback on sections of the main report written by other team members
- Response to comments received from stakeholders on the draft report
- Final main report

### Schedule of Payment:

Deliverables	Percentage payment
Final country case studies	30
EB approved draft evaluation report	40
EB approved final evaluation report	30

Annex 2: Annotated evaluation report outline In consultation with the CAFI Secretariat and reference group, the Evaluation Team can modify the structure of the report outline below, as long as the

key contents are maintained in the report and the flow of information and analysis is coherent and clear. The length of the final evaluation report should not exceed 18,000 words, excluding executive summary and annexes. The report will use numbered paragraphs for easy cross-referencing.

## Acknowledgements

## Table of Contents

## Acronyms

Maximum 1 page and only for terms used more than 3 times in the report. When an acronym is used for the first time in the text, it should be written out in full.

## Executive Summary

A 'stand alone' Executive Summary which should:

- Maximum 2,000 words;
- Provide key information on the evaluation process and methodology;
- Illustrate key findings and conclusions;
- List all recommendations: this will facilitate the drafting of the Management Response to the evaluation.

### 1.Introduction

1.1Background and purposes of the evaluation This section will include:

- The purpose of the evaluation, as stated in the Terms of Reference; □
- Program title, starting and closing dates, initial and current total budget; □
- Dates of implementation of the evaluation.

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

### 1.2Methodology of the evaluation

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

### 2.Program and context

This section will describe CAFI (starting and closing dates, expected mechanisms, impacts and outcomes, initial and current total budget, country portfolio, implementation arrangements etc.).

It will also include a description of the developmental context relevant to the Initiative including major challenges in the area of the intervention, political and legislative issues, etc. It will also describe the process by which the program was identified and developed and cite other related initiatives and interventions.

### 3.Strategic relevance 4.Results and contribution to stated objectives

4.1 Effectiveness at delivering

4.2 Efficiency

4.3 Cross-cutting issues: Gender, capacity development, norms, guidelines and safeguards

4.5 likelihood of impact, sustainability and up-scaling (smaller section)

### 5.Factors affecting performance

5.1 Program design and structure

5.2 Program organization and management

5.3 Financial and human resources administration

5.4 Cooperation and partnerships

5.5 Monitoring, evaluation and reporting

### 6.Conclusions and recommendations

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

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

Recommendations should be firmly based on evidence and analysis, be relevant and realistic, with priorities for action made clear. They can tackle strategic, thematic or operational issues. Each recommendation should each be introduced by the rationale for it; alternatively, it should be referenced to the paragraphs in the report to which it is linked.

Each recommendation should be clearly addressed to the appropriate party, i.e. the Donors, , the CAFi Secretariat, the EB, implementing organisations and partner countries . Responsibilities and the time frame for their implementation should be stated, to the extent possible. Although it is not possible to identify a 'correct' number of recommendations in an evaluation report, the evaluation team should consider that each recommendation must receive a response.

### 7.Lessons learned

The evaluation will identify lessons and good practices on substantive, methodological or procedural issues, which could be relevant to the design, implementation and evaluation of future UN-REDD activities. Such lessons/practices must have been innovative, demonstrated success, had an impact, and be replicable.



Annexes to the evaluation report will include, though not limited to, the following as relevant:

- I. Evaluation Terms of Reference
- II. Evaluation Framework
- III. Additional methodology-related documentation and evaluation tools;
- IV. Detailed output matrix
- V. Detailed ROTI analysis
- VI. Brief profile of evaluation team members
- VII. List of documents reviewed
- VIII. List of institutions and stakeholders met during the evaluation process. (The team will decide whether to report the full name and/or the function of the people who were interviewed in this list.)

### Annex 3: Evaluation Consultant Code of Conduct<sup>22</sup>

#### Agreement Form

The form is to be completed by all consultants and included as an annex in the final report.

<p style="text-align: center;"><b>Evaluation Consultant Agreement Form</b></p> <p>Agreement to abide by the Code of Conduct for Evaluation in the UN System</p> <p>Name of Consultant: _____</p> <p><b>I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.</b></p> <p>Signed at (place) on (date)</p> <p>Signature: _____</p>
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<sup>22</sup> Code of Conduct for Evaluation in the UN System: [www.unevaluation.org/unegcodeofconduct](http://www.unevaluation.org/unegcodeofconduct)

#### Annex 4: Documents to be consulted

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

1. CFI Declaration
2. CFI Fund terms of reference
3. CFI EB decisions
4. CFI results framework
5. Independent verification of the milestones of the Letter of Intent between CFI and the DRC
6. Concluded letters of intent
7. Approved programs
8. Annual reports

## Annex 5: Rating Program Performance

The evaluation will provide individual ratings for the evaluation criteria described in section 2.3 of these TORs.

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

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

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

Criterion	Rating	Summary assessment
<b>Strategic relevance</b>		
<b>Results and contribution to stated objectives</b>		
Effectiveness of delivery of results		
Likelihood of Impact	N/A	
Sustainability		
Up-scaling		
Efficiency		
Cross-cutting issues:		
Gender		
Participation of stakeholders		
Capacity Development		
Normative Products		
<b>Factors affecting performance</b>		
Program Design and Structure		
Program Organization and Management		
Human and Financial Resources Administration		
Cooperation and Partnerships		
Monitoring, reporting and evaluation		
<b>Overall Program Performance</b>		