Terms of Reference (TOR)[[1]](#footnote-1)

Mid-Term Evaluation of the Central African Forest Initiative (CAFI) Fund

**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 recognize 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](http://www.cafi.org/content/dam/cafi/docs/Executive%20Board/CAFI%20Terms%20of%20Reference%20%20Revised%20November%202018%20.pdf) lay out CAFI’s Theory of Change
5. Since its launch in September 2015, CAFI has:
   1. Concluded Letters of Intent with DR Congo (2016 - 190 million US$) , Gabon (2017 - 18 US$) and the republic of Congo (2019, 65 US$)
   2. Funded 16 large scale programmes in DRC and Gabon
   3. Mobilized additional funding (France, EU, Germany)
   4. Attracted additional members from donor countries – with South Korea and the Netherlands joining the initiative
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.”*

**CAFI Objectives, Expected Outcomes and Outputs**

1. As set out in the [CAFI terms of reference](http://www.cafi.org/content/dam/cafi/docs/Our-work/CAFI%20Terms%20of%20Reference%20%202016%2005%2006.pdf)[[2]](#footnote-2), 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 [[3]](#footnote-3) endorsed by the Central African and Donors countries.
2. To achieve this objective, the Initiative has identified seven outcomes to deliver at scale, strategic support to partner countries as presented in Table 1:

**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. |

1. These outcomes have been further elaborated through indicators in the CAFI M&E framework, available [here](http://www.cafi.org/content/cafi/en/home/our-work/governance/the-cafi-secretariat.html). An approach was conducted to collect baseline and data for these indicators and reported in the 2018 CAFI Annual report Annex. [[4]](#footnote-4)
2. The level of ambition under each outcome is determined country by country through Letters of Intent.

**Programme Structure and Executing Arrangements**

1. Management is carried out at three levels:
2. The [Executive Board](http://www.cafi.org/content/cafi/en/home/our-work/governance/the-cafi-executive-board.html), supported by a small Secretariat, is responsible for overall coordination with [CAFI Partner Countries](http://www.cafi.org/content/cafi/en/home/partner-countries.html) and decisions regarding the allocation of resources from the CAFI Fund
3. UNDP’s [Multi-Partner Trust Fund Office](http://mptf.undp.org/) 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.
4. UN agencies (including FAO, UNDP), the World Bank and bilateral cooperation agencies (such as the French Development Agency, AFD) serve as [implementing organizations](http://www.cafi.org/content/cafi/en/home/our-work/governance/implementing-organizations.html) to access funding from the Trust Fund and assist [CAFI Partner Countries](http://www.cafi.org/content/cafi/en/home/partner-countries.html).
5. CAFI country dialogue has several phases:
   1. 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.
   2. [Following a review of the national investment framework,](http://www.cafi.org/content/dam/cafi/docs/Executive%20Board/CAFI_EB_Decisions/English/EB.2015.02-%20CAFI%20NIF%20review%20process.pdf) the CAFI [Executive Board](http://www.cafi.org/content/cafi/en/home/our-work/governance/the-cafi-executive-board.html) (EB) agrees to support certain policy reforms and large scale programs
   3. Through a Letter of Intent ([e.g. with DRC](http://www.cafi.org/content/cafi/en/home/partner-countries/democratic-republic-of-the-congo/the-letter-of-intent-between-cafi-and-the-drc.html)) the CAFI 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 CAFI if jointly defined milestones are met
   4. Partner countries develop and implement **programs** to achieve the milestones in the Letter of Intent with the support of [implementing organizations](http://www.cafi.org/content/cafi/en/home/our-work/governance/implementing-organizations.html)

**Programme Cost and Financing**

Total deposits to the CAFI Fund Programme, Donor Commitments (Pledges) and interest received by the Fund are on the MPTF Gateway [[5]](#footnote-5)

**Per country Status**

Reference to 2018 annual report, available on the CAFI web site[[6]](#footnote-6), as well as additional updates on the CAFI web site.

**Management of the Evaluation**

1. The evaluation is provided for in the CAFI Terms of reference and recalled in paragraph 6 above.
2. The Evaluation will be conducted by an **independent team of two consultants**.
3. The CAFI Secretariat will, in addition, facilitate the discussions of the consultants with a small group of CAFI donors (“Reference group”). This Reference group will:
   1. Discuss drafts and endorse the inception report
   2. Discuss drafts and endorse the preliminary findings report
   3. Endorse the final evaluation reports
   4. Be responsible for follow up
4. 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 CAFI partners.

**Evaluation Objective and Scope**

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.

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 programme formulation and implementation.

The **scope** of the evaluation is from end of 2015 to Q3-2019. The evaluation will encompass the geographical scope of CAFI, with a strong focus on DRC, Gabon and the Republic of Congo.

**The primary audience for the evaluation will be the CAFI Executive Board and the MPTF-O. 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**](http://www.cafi.org) **the websites of the evaluation departments of contributing donors.**

**Evaluation Criteria**

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:

1. **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 programmes should also be examined rapidly.
2. **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.
3. **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.
4. **Cross-cutting issues** such as gender mainstreaming in the programme, integration of social and environmental safeguards at design and during implementation, and contributions to broader organisational learning of the participating agencies.
5. **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**

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

The timely delivery of quality outputs by the programme 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 programme, 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 donors projects/programmes; as to understand why performance has been better on certain aspects then others. This deeper understanding of factors affecting performance will likely generate important lessons.

**Evaluation Questions**

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 programme performance. The evaluation will assess the CAFI Initiative as follows:

**Strategic relevance of CAFI**

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 Programmes or other donor assistance frameworks approved by the governments of the partner countries;
  + The corporate mandate, strategies and programmes of work of the implementing organisations;
  + Other REDD+ related programmes, payment for ecosystem services schemes and rural livelihood programmes
  + How well were existing policies, programmes, 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.

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.

**Results and contribution to stated objectives**

***Effectiveness***

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?**

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 programme;

The contribution of CAFI funded programmes 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***

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.

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 programme’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 programme. 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***

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.

**Sustainability** is understood as the probability of continued long-term programme-derived results and impacts after the external programme 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.

Four aspects of sustainability can be considered :

* 1. *Socio-political sustainability.* Are there any social or political factors that may influence positively or negatively the sustenance of programme results and progress towards impacts? Is the level of ownership by the main national, regional and global stakeholders sufficient to allow for programme results to be sustained? Are there sufficient government and stakeholder awareness, interests, commitment and incentives to execute, enforce and pursue the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the programme?

*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[[7]](#footnote-7) will be available to implement the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project? Are there any financial risks that may jeopardize sustenance of programme results and onward progress towards impact?

*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 programme results and to lead those to impact on human behaviour and environmental resources?

*Environmental sustainability.* Are there any environmental factors, positive or negative, that can influence the future flow of programme 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 programme results are being up-scaled?

**Up-scaling** is defined as up-take and application of practices, approaches and lessons emerging from the programme 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 programme results.

**Cross-cutting issues**

***Gender mainstreaming***

* Analysis of how gender issues were reflected in Programme objectives, design, identification of beneficiaries and implementation;
* Analysis of how gender relations and equality are likely to be affected by the Initiative;
* Extent to which gender issues were taken into account in 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 programmes?

***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 programmes 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

**Factors affecting performance**

***Programme Design and Structure***

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 programmes. It will seek to answer the following questions:

Comparing CAFI’s results framework and the Theory of Change of the programme, how clear and logic is the programme’s results framework, including the appropriateness of stated development goals and outcomes (immediate objectives) and the evolution of programmes. Is the Theory of Change underpinning the overall Initiative results’ framework robust and realistic? Are causal relationship between programmes 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 programmes appropriate and were resources set aside for design adequate?

The quality of the stakeholders’ and beneficiaries identification;

The appropriateness of selection criteria for funded programmess.

***Programme Organisation and Management***

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 programmes

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***

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 programme activities;

The adequacy in terms of number and competencies of staff managing programme activities, including personnel turn-over rates.

***Cooperation and Partnerships***

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 programme 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 programme and these partners, within and between Government ministries, and between CAFI programmes and other bilateral and multilateral relevant initiatives. Are the incentives for collaboration adequate?

To what extent has the programme 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 programmes? Have complementarities been sought, synergies been optimized and duplications avoided?

***Monitoring, Evaluation and Reporting***

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 programmes, 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

**Evaluation Methodology**

The CAFI evaluation will adhere to the UNEG Norms & Standards[[8]](#footnote-8). 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[[9]](#footnote-9). Analysis leading to evaluative judgements should always be clearly spelled out. The limitations of the methodological framework should also be spelled out in the evaluation reports.

The evaluation will rate the different evaluation criteria on a six-point scale as detailed in Annex 5.

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 programme 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.

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.

**Data sources and Tools**

The CAFI evaluation will make use of the following tools and data sources:

1. 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.;
* Programme design documents, including, annual work plans and budgets, revisions to the logical framework and project financing;
* Documentation related to funded Programme outputs and relevant materials
* Evaluations of funded Programmes 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.;

1. **Semi-structured interviews**[[10]](#footnote-10) 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;
* 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.

1. Surveys[[11]](#footnote-11)

* 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.

1. **Participation in key events**, such as two EB meeting
2. **Missions to partner countries, focused on where investment plans are funded by CAFI, namely:** 
   1. A mission to DRC including Kinshasa and a filed mission to up to 2 provincial programmes
   2. A mission to Brazzaville
   3. A mission to Libreville

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.

**Consultation process**

While fully independent in its judgements, the Evaluation Team will adopt a consultative and transparent approach with internal and external stakeholders. Throughout the process the evaluation team will 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.

The inception and draft evaluation reports will be shared first with the Reference Group and CAFI Secretariat, then with the Executive Board, relevant Programme staff of the implementing organizations and other key stakeholders for comments before finalisation. Comments will be incorporated as deemed appropriate by the evaluation team.

**The Evaluation Team**

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

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. Both consultants 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.

*Lead consultant*

The Lead consultant will be responsible for overall management of the evaluation and timely delivery of its outputs as described in the overall TORs of the evaluation, under supervision of the CAFI Secretariat and in consultation with the Reference Group. (S)He will lead the evaluation design, document analysis, fieldwork and report-writing with full support and substantive inputs from the other team members. More specifically:

**Coordination of the inception phase of the evaluation**, including:

* conduct a preliminary desk review and introductory interviews with CAFI Secretariat
* prepare the evaluation framework,
* develop the desk review and interview protocols
* plan the evaluation schedule
* distribute tasks and responsibilities among the evaluation team members, and
* prepare the inception report, including comments received from the CAFI Reference Group;

**Coordination of the data collection and analysis phase of the evaluation**, including:

* conduct further desk review and in-depth interviews with global and regional partners of the programme;
* provide technical support to the evaluation team regarding information collection, data analysis, surveys etc.
* regularly monitor progress of the team in information gathering and analysis,
* prepare a country case study report template and coach team members during the first joint country visit,
* conduct two additional country visits and prepare two country case studies,
* review the country case studies prepared by the other team members and provide feedback,
* discuss preliminary findings of the evaluation with the team,
* present an update of the status of the evaluation to the meeting of the Executive Board
* prepare a preliminary findings report to solicit first comments from the EB ;

**Coordination of the reporting phase**, including:

* assign writing responsibilities among the team members for the main report,
* write key section of the main report,
* 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 CAFI Secretariat and Reference Group on any issues requiring its attention and intervention.

The consultant will report to the Head of the CAFI secretariat.

**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

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| **Deliverables** | **Estimated days** | **Estimated due date** |
| Inception report (Draft/ Final) | Up to 8 days | January 30 / February 15 |
| Presentation of methodology and premilinary report at Executive Board meeting | ½ day | March (date TBC) |
| Final country case studies | Up to 24 days | April 30 |
| Submission of the draft 1 of the evaluation report and presentation at Executive Board meeting | Up to 32 days | June 30 |
| Submission and approval of the final evaluation report | Up to 16 days | July 30 |

**Evaluation Team Deliverables**

***Inception Report***

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 proposed schedule of tasks, activities and deliverables –and how these are distributed over the two consultants (lead writer and inputs into specific chapters)
* 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 programme documentation against each of the main evaluation parameters. Any gaps in information should be identified and methods for additional data collection, verification and analysis should be specified.
* 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. A list of important documents and web pages that the evaluators should read at the outset of the evaluation and before finalizing the inception report is included in Annex 4.

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

***Evaluation Reporting***

The consultants will both provide written inputs to the evaluation. As they will specify in the inception report, they will share responsibilities for certain chapters of the evaluation report.

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

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.

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*.

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.

The Executive summary of 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.

**CAFI Response**

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.

**Evaluation timetable**

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.

|  | **Activity** | **Responsibility** |  | | | | | | | | | |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Jan** | **Feb to Mar** | **April** | **May** | **June** | **July** | **Aug** | **Sept** |  |
| **Preparation** | Prepare and circulate Evaluation ToR | Secretariat | X |  |  |  |  |  |  |  |  |
| EB13 (Presentation and approval of ToR) | EB | X |  |  |  |  |  |  |  |  |
| Recruit evaluation team | CAFI Secretariat (UNDP) | X |  |  |  |  |  |  |  |  |
| Inception mission | Evaluation Team, EB, CAFI Sec | X |  |  |  |  |  |  |  |  |
| Inception report | Evaluation Team | X |  |  |  |  |  |  |  |  |
| Review inception report | Reference group, CAFI Secretariat | X |  |  |  |  |  |  |  |  |
| **Evaluation** | Data collection: Doc review, interviews, surveys and visits to DRC and Gabon | Evaluation Team |  | X |  |  |  |  |  |  |  |
| Data analysis | Evaluation Team |  | X |  |  |  |  |  |  |  |
| EB 15 : update and preliminary findings | Evaluation team, in consultation with CAFI Secretariat and Reference group, present to EB |  | X |  |  |  |  |  |  |  |
| Comments on preliminary findings | Reference group,  CAFI Secretariat, EB, Implementing Organizations (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 |  |  |
| **Response** | Preparation of CAFI response addressing the recommendations | Reference group, EB, CAFI Secretariat |  |  |  |  |  |  |  | X |  |
| Presentation & dissemination of report and response | CAFI Secretariat |  |  |  |  |  |  |  | X |  |

**Key selection criteria**

* Advanced university degree in international development, economics, finance, accounting or related areas
* Minimum of 10 years in evaluation experience, including of large, regional or global funds and using a Theory of Change approach;
* Experience in assessing partnerships
* Experience in programme evaluation
* Knowledge of results-based management orientation and practices;
* Experience from or knowledge of UN agencies (in particular FAO, UNDP, UN-Habitat, UNOPS, UNCDF), World Bank and bilateral cooperation agencies or banks (JICA, ENABEL, AFD) and any other organization listed [here](http://www.cafi.org/content/cafi/en/home/our-work/governance/implementing-organizations.html)
* Proven experience in developing countries
* Experience with OECD- DAC evaluation principles

**Competencies**

* Experience working with teams
* Excellent writing skills in English, reading and speaking skills in French, with analytic capacity and ability to synthesise project outputs and relevant findings for the preparation of quality project reports
* Attention to detail and respect for deadlines;
* Ability to manage workload with minimum supervision;
* Ability to accommodate additional demands on short notice

**Annex : 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**

**1.1 Background and purposes of the evaluation**

This section will include:

* The purpose of the evaluation, as stated in the Terms of Reference;
* Programme 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.

**1.2 Methodology of the evaluation**

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

**2. Programme 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 Initaitive including major challenges in the area of the intervention, political and legislative issues, etc. It will also describe the process by which the programme was identified and developed and cite other related 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 Programme design and structure**

**5.2 Programme 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 programme has attained, or is expected to attain, its intermediate/specific objectives. Considerations about relevance, costs, implementation strategy and quantity and quality of outputs and outcomes should be brought to bear on the aggregate final assessment.

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 organizations 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 CAFI 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:**

1. Evaluation Terms of Reference
2. Evaluation Framework
3. Additional methodology-related documentation and evaluation tools;
4. Detailed output matrix
5. Detailed ROtI analysis
6. Brief profile of evaluation team members
7. List of documents reviewed
8. 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[[12]](#footnote-12) Agreement Form**

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

**Evaluation Consultant Agreement Form**

Agreement to abide by the Code of Conduct for Evaluation in the UN System

Name of Consultant: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.**

Signed at (place) on (date) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Annex 4: Documents to be consulted**

The following (non exhaustive) 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. CAFI Declaration
  2. CAFI Fund Terms of Reference
  3. CAFI EB decisions
  4. CAFI results framework
  5. Independent verification of the milestones of the Letter of Intent between CAFI and the DRC
  6. Concluded Letters of intent
  7. Approved programmes
  8. CAFI Annual reports

**Annex 5: Rating Programme 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 Programme Performance. These ratings are not the average of the ratings of sub-criteria but should be based on sound weighting of the sub-criteria by the Evaluation Team. All ratings should use letters (not numbers).

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

|  |  |  |
| --- | --- | --- |
| **Criterion** | **Rating** | **Summary assessment** |
| **Strategic relevance** |  |  |
| **Results and contribution to stated objectives** |  |  |
| 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 |  |  |
| **Factors affecting performance** |  |  |
| Programme Design and Structure |  |  |
| Programme Organization and Management |  |  |
| Human and Financial Resources Administration |  |  |
| Cooperation and Partnerships |  |  |
| Monitoring, reporting and evaluation |  |  |
| **Overall Programme Performance** |  |  |

**\*\*\*\*\***

1. *This document serves as a guide to Requestor on how to write the TOR for the RFP, by suggesting contents. This document is not to be shared with Proposers in this current state and form. The TOR actually written by the Requestor shall be the TOR that will be attached to this part of the RFP.* [↑](#footnote-ref-1)
2. <http://www.cafi.org/content/dam/cafi/docs/Our-work/CAFI%20Terms%20of%20Reference%20%202016%2005%2006.pdf> [↑](#footnote-ref-2)
3. http://www.cafi.org/content/cafi/en/home/our-work/governance/the-cafi-declaration.html [↑](#footnote-ref-3)
4. Availabe here : <http://www.cafi.org/content/cafi/en/home/our-work/publications.html> [↑](#footnote-ref-4)
5. <http://mptf.undp.org/factsheet/fund/AFI00> [↑](#footnote-ref-5)
6. <http://www.cafi.org/content/cafi/en/home/our-work/publications.html> [↑](#footnote-ref-6)
7. 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. [↑](#footnote-ref-7)
8. UNEG Norms & Standards: <http://uneval.org/normsandstandards> [↑](#footnote-ref-8)
9. 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.). [↑](#footnote-ref-9)
10. Face-to-face or through any other appropriate means of communications [↑](#footnote-ref-10)
11. 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. [↑](#footnote-ref-11)
12. Code of Conduct for Evaluation in the UN System: [www.unevaluation.org/unegcodeofconduct](http://www.unevaluation.org/unegcodeofconduct) [↑](#footnote-ref-12)