



# Inception Report

## Evaluation of the Congo Basin Forest Fund

Submitted to the African Development Bank by LTS International Limited

21 October 2016 (revised 14 December 2016 and 21 May 2017)



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# Acronyms

<b>ADF</b>	African Development Fund
<b>AfDB</b>	African Development Bank
<b>ANRC</b>	African Natural Resources Centre
<b>CAD</b>	Canadian Dollars
<b>CAFI</b>	Central African Forest Initiative
<b>CARPE</b>	Central Africa Regional Programme for the Environment
<b>CB</b>	Congo Basin
<b>CBFF</b>	Congo Basin Forest fund
<b>CBFP</b>	Congo Basin Forest Partnership
<b>CDM</b>	Clean Development Mechanism
<b>CAR</b>	Central African Republic
<b>CIFs</b>	Climate Investment Funds
<b>CIP</b>	Climate Investment Fund
<b>COMIFAC</b>	Central Africa Forests Commission
<b>CoP</b>	Conference of Parties
<b>CSO</b>	Civil Society Organisation
<b>DAC</b>	Development Assistance Committee
<b>DfID</b>	Department for International Development
<b>DRC</b>	Democratic Republic of Congo
<b>ECBFF</b>	Evaluation of the Congo Basin Forest Fund
<b>ECCAS</b>	Economic Community of Central African States
<b>ECOFAC</b>	<i>Programme de Conservation et Utilisation Rationnelle des Ecosystemes Forestiers en Afrique Centrale</i> (Programme for the Conservation and Use of Forest Ecosystems in Central Africa)
<b>EQ</b>	Evaluation Question(s)
<b>ERG</b>	Evaluation Reference Group
<b>EU</b>	European Union
<b>FAO</b>	Food and Agriculture Organisation of the United Nations
<b>FCPF</b>	Forest Carbon Partnership Facility
<b>FGD</b>	Focus Group Discussion
<b>FIP</b>	Forest Investment Programme

<b>FMA</b>	Fund Management Agency
<b>GC</b>	Governing Council
<b>IDEV</b>	Independent Development Evaluation
<b>ISR</b>	institutional systems review
<b>Logframe</b>	Logical framework
<b>LTS</b>	LTS International Limited
<b>MAV</b>	Monitoring, Assessment and Verification
<b>MRV</b>	Monitoring, Reporting and Verification
<b>NDC</b>	Nationally Determined Contribution
<b>NGO</b>	Non-Government Organisations
<b>NOK</b>	Norwegian Krone
<b>Norad</b>	Norwegian Agency for Development Cooperation
<b>OECD</b>	Organisation for Economic Co-operation and Development
<b>OER</b>	Operational Effectiveness Review
<b>OMPR</b>	Organisation and Management Performance Review
<b>OSAN</b>	Agriculture and Agro-Industries Department (of the AfDB)
<b>OSVP</b>	AfDB's Vice-Presidency of Operations II: Sector Operations
<b>PACEPCo</b>	<i>Programme d'Appui à la Conservation des Ecosystèmes du Bassin du Congo</i> (Support Programme for the Conservation of Ecosystems of the Congo Basin)
<b>PES</b>	Payments for Ecosystem Services
<b>PPR</b>	Portfolio Performance Review
<b>RBM</b>	Results-Based Model
<b>REDD+</b>	Reducing Emissions from Deforestation and Forest Degradation (in developing countries)
<b>SFLM</b>	Sustainable Forest and Landscape Management
<b>ToC</b>	Theory of Change
<b>ToR</b>	Terms of Reference
<b>UN-REDD</b>	United Nations REDD facility
<b>UNDP</b>	United Nations Development Programme
<b>UNEP</b>	United Nations Environment Programme
<b>USAID</b>	United States Agency for International Development
<b>VfM</b>	Value for Money
<b>WCS</b>	Wildlife Conservation Society
<b>WWF</b>	World Wide Fund for Nature

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# Executive Summary

The Congo Basin Forest Fund (CBFF) is a multi-donor fund, administered by the African Development Bank (AfDB). It was established in 2008 and is expected to operate over ten years, with a possible extension in 2018. The CBFF initially received pledges of €119 million from the United Kingdom (£50 million, of which €19.4 million was withheld) and Norway (NOK 500 million), and then received an additional €14 million (CAD \$20 million) from Canada in 2012. However, in 2014 the two principal funders stopped funding the CBFF. Since its inception, the CBFF has approved 38 projects through two separate calls-for-proposals.

LTS International Limited (LTS) has been contracted to provide a near end-of-fund evaluation of the CBFF. The findings from this evaluation will inform decision making at the executive level (the donors, CBFF Governing Council, AfDB Board, etc.) and will help to ensure accountability and lesson learning at the project level (for the CBFF Secretariat / OSAN) and implementing partners / project grantees.

The main objectives of this independent evaluation of the CBFF are to (i) provide learning from the CBFF implementation (what worked and what did not work, and why), (ii) demonstrate the value of the CBFF, (iii) contribute to decisions regarding the enhancement of the quality of implementation of ongoing CBFF projects, and (iv) identify opportunities for enhancing the sustainability of the CBFF project achievements. This will inform ongoing project delivery and wider decisions around the future of the CBFF post-2018 and other complementary programmes tackling similar complex issues of Reducing Emissions from Deforestation and Forest Degradation (REDD+) in the Congo Basin.

The CBFF evaluation design uses a theory-based approach and incorporates robust methods to ensure the evaluation delivers quality results that can inform practical recommendations. During the Inception Phase, the Evaluation Team reviewed the evaluation questions and proposed approach. In consultation with the Evaluation Reference Group (ERG), the evaluators developed a set of six overarching evaluation questions that will be addressed by this evaluation:

1. How well was the CBFF governed and managed? How well did the CBFF manage and support the activities of the CBFF projects? How well did non-Bank delivery agents perform?
2. How strategic was the selection of CBFF projects given relevant national and regional strategies?
3. How well did the CBFF projects perform? What results were achieved on-the-ground?
4. Did the CBFF induce innovation and prepare for transformational change?
5. How sustainable are the CBFF results?

6. To what extent did the CBFF projects contribute to the fund's objectives of reducing vulnerability and poverty at the local level and reducing deforestation/degradation?

These overarching questions replace the longer list of evaluation questions provided in the Terms of Reference for the evaluation.

The evaluation consists of four phases and the delivery of five reports:

**Phase 1:** The Inception Phase (Draft and Final Inception Report)

During the Inception Phase, the following activities were undertaken: team mobilisation; review of the Results-Based Model (RBM) and development of a programme-level Theory of Change (ToC); revision of the evaluation framework (the evaluation questions, methods and approach); development of evaluation tools (data collection guide and draft survey questions); initial, rapid review of CBFF programme and project documents; assessment of evaluation risks and development of mitigating actions; and preparation for stakeholder meetings and field work.

**Phase 2:** Performance Review (Portfolio Performance Review Report; PPR and Organisation and Management Review Report; OMPR)

As part of the PPR, the Evaluation Team will review the CBFF project documentation, undertake value for money analysis (data permitting), and summarise and synthesise results across the portfolio of projects. The OMPR will involve reviewing programme management and governance documents and undertaking the performance review.

**Phase 3:** Data Collection and Analysis (Case Studies Report)

The purpose of the data collection and analysis (including development of case studies) is to understand the impacts achieved/expected and to inform lesson learning and ongoing programme management and design. Evidence-based case studies of a sample of CBFF projects will complement the evidence from the portfolio review. It is proposed to do case studies on a total of eight 'field-based' projects and three multi-national projects, covering a minimum of three COMIFAC countries.

**Phase 4:** Reporting (Draft and Final Evaluation Report)

The Final Evaluation Report will be based on the findings from the PPR, the OMPR and the case studies. The focus of the Final Evaluation Report will be to synthesise findings and to undertake over-arching analysis of the how the CBFF portfolio of projects and the CBFF governance structures contributed to the fund's objectives and results. This report will focus on presenting a clear picture of the CBFF's impact to-date and sharing lessons both for ongoing fund management and for the management of similar programmes.



# 1 Introduction

## 1.1 Background

The Congo Basin Forest Fund (CBFF) is a multi-donor fund, administered by the African Development Bank (AfDB). It was established in 2008 and was expected to operate over ten years, with possible extension in 2018. The CBFF initially received pledges of €119 million from the United Kingdom (£50 million, of which €19.4 million was withheld), Norway (NOK 500 million), and then received an additional €14 million (CAD \$20 million) from Canada in 2012. However, in 2014 the two principal funders stopped funding the CBFF. Since its inception, the CBFF has approved 38 projects through two separate calls-for-proposals.

The CBFF is administered by the African Development Bank, with its Board of Directors responsible for the CBFF's operations and certain fund decisions. The CBFF Secretariat manages the programme, under AfDB's Agriculture and Agro-Industry Department (OSAN).

## 1.2 Objective and Scope of the Evaluation

According to the evaluation Terms of Reference (ToR, Annex 1), the main objectives of this independent evaluation of the CBFF are to (i) provide learning from the CBFF implementation (what worked and what did not work, and why), (ii) demonstrate the value of CBFF, (iii) contribute to decisions regarding the enhancement of the quality of implementation of ongoing CBFF projects, and (iv) sustainability of the CBFF project achievements. This will inform ongoing project delivery and wider decisions around the future of CBFF post-2018 and other complementary programmes tackling similar complex issues of Reducing Emissions from Deforestation and Forest Degradation (REDD+) in the Congo Basin.

The scope and key elements that will be addressed by this evaluation include:

1. Provision of guidance to support the most effective implementation, and wrap-up balance of the CBFF, including guidance about how sustainability could be maximised.
2. Identification of what can be learned from the CBFF experience for similar endeavours, including analysis of accomplishments as well as challenges, and why the CBFF is perceived to have failed.

LTS International Limited (LTS) has been contracted to provide a near end-of-fund evaluation of the CBFF. The ToR call for 'background papers' on the performance of the portfolio of CBFF projects (the Portfolio Performance Review; PPR) and the performance of the CBFF programme governance and implementation (the Organisation and Management

Performance Review; OMPR) and a primary data collection and analysis component of the evaluation (the Case Studies Report). The findings from these background papers will provide the basis for the Draft and Final Evaluation Reports, which will inform decision making at the executive level (the donors, CBFF Governing Council, AfDB Board, etc.) and to ensure accountability and lesson learning at the project level (for the CBFF Secretariat / OSAN and implementing partners/project grantees). The evaluation seeks to answer six overarching evaluation questions:

1. How well was the CBFF governed and managed? How well did the CBFF manage and support the activities of the CBFF projects? How well did non-Bank delivery agents perform?
2. How strategic was the selection of CBFF projects given relevant national and regional strategies?
3. How well did the CBFF projects perform? What results were achieved on-the-ground?
4. Did the CBFF induce innovation and prepare for transformational change?
5. How sustainable are the CBFF results?
6. To what extent did the CBFF projects contribute to the fund's objectives of reducing vulnerability and poverty at the local level and reducing deforestation/degradation?

These six overarching questions were agreed with the Evaluation Reference Group (ERG) and replace the longer list of 33 evaluation questions provided in the Evaluation Terms of Reference (ToR). Neither scope nor objectives of the evaluation have been altered in comparison with the evaluation ToR (Annex 1).

The Evaluation Final Report will provide relevant practical lessons, conclusions and recommendations. In order to be relevant, the analysis of this theory-based evaluation will be underpinned with a realistic understanding of 'how, why and under what circumstances' changes have been or are likely to be observed.

The most important recipient of this evaluation is AfDB itself. AfDB wants to deepen its understanding of what did and did not work well, why the donors withdrew funding, what can be learnt from the CBFF and what outcomes the fund has created that AfDB should capitalise and further build on. In addition, the main audiences of the evaluation are the CBFF donors (the British, Norwegian and Canadian Governments), the CBFF Governing Council (GC), the AfDB Board, the Central African Forests Commission (COMIFAC), the implementing partners, and the Congo Basin Governments and Civil Society Organisations (CSOs; as representatives of the forest-dependent communities in the region). The evaluation ToR (Annex 1), includes a table specifying the areas of interest of each of the main CBFF stakeholders identified by AfDB. At the time of the evaluation, the CBFF Secretariat was

winding up its operations, with only a core team remaining in the Abidjan office. The original plan to fund a second phase of a number of successful projects has been withdrawn.

This inception report is the first output of the independent evaluation contract. It provides the rationale and analytical framework for the evaluation. It describes the intended evaluation questions, and the potential evaluation methodologies to be applied.

## 1.3 Inception Phase Activities Conducted

The objectives of the inception phase were to (i) undertake a preliminary assessment of the CBFF portfolio of interventions; (ii) understand AfDB's evaluation requirements; (iii) translate the CBFF Results-Based Model (RBM) into a Theory of Change (ToC), which could be used to guide the evaluation; (iv) further develop the evaluation questions and methods; and (v) develop appropriate tools for data collection and stakeholder engagement to ensure a robust evaluation.

The evaluation started with a one-day workshop in Edinburgh to plan the evaluation activities, ensure a common understanding of the CBFF and its objectives and review of the evaluation framework and approach. The workshop included a kick-off meeting via Skype with AfDB's Independent Development Evaluation (IDEV) team and the CBFF Secretariat.

During the Inception Phase, the following activities were also undertaken:

- Team mobilisation;
- Review of the RBM and development of a programme-level ToC;
- Revision of the evaluation framework (the Evaluation Questions; EQs, methods and approach);
- Development of evaluation tools (data collection guide and draft survey questions);
- Initial, rapid review of CBFF programme and project documents;
- Assessment of evaluation risks and development of mitigating actions; and,
- Preparation for stakeholder meetings and field work.

During the Inception Phase, the Evaluation Team maintained regular interaction with the AfDB. In particular, the evaluation team worked with AfDB to ensure that the CBFF programme and project documentation shared is as complete as possible. AfDB also supported the evaluation team with preparations for in-country stakeholder meetings in and field work, planned to be carried out in the Ivory Coast, the Democratic Republic of Congo (DRC), Cameroon and up to two additional CBFF countries in November 2016 to January 2017.

## 1.4 Organisation of this Report

The remainder of this inception report is divided into the following sections:

- Section 2 provides an initial review of the evaluation object (the CBFF program) and key activities and mechanisms for measuring (anticipated) results of the CBFF, including a CBFF ToC;
- Section 3 presents the updated evaluation design. Namely revised EQs, the evaluation approach, which has not changed since the evaluation proposal and the work plan; and,
- Section 4 provides a description of the evaluation management processes (quality and risk management), including a description of the evaluation governance and team structure and roles.

## 2 The CBFF and Context for the Evaluation

### 2.1 Background Context

#### 2.1.1 Establishment during the period of early enthusiasm for REDD+

The creation of the CBFF was one outcome of a series of institutional and regional events over the past decades focused on increasing international attention on the economic, social, and environmental importance of the Congo Basin forests. Forests play a critical role in climate change by absorbing the greenhouse gas carbon dioxide from the atmosphere, resulting in storage of large quantities of carbon in biomass as forests grow. Conversely, forests are a major source of carbon dioxide emissions when they are cut down or otherwise degraded. Stopping, or slowing, the rate at which such forests are cleared is essential to maintaining their carbon-storing capacity and the ecological 'services' they provide including biodiversity, watershed protection and recreation.

RED – with one D – came onto the global stage at the 11<sup>th</sup> Conference of Parties (CoP) in 2005, when Parties were invited to submit 'their views on issues relating to reducing emissions from deforestation in developing countries' (UNFCCC 2005). These ideas were further developed during the period preparing for the CoP13 in Bali, Indonesia December 2007.

When the two initial donors of the CBFF, UK and Norway, voted their initial contribution to the fund in 2007 and 2008 respectively, the countries in the Congo Basin region were only just beginning to organise themselves around the international REDD+ agenda<sup>1</sup>. For many actors in the climate arena, REDD+ looked like the ideal solution for both forests and climate. It could provide quick and cheap emissions reductions and win–win–win opportunities for everyone: large transfers to the South, cheap offsets for the North and funding for conservation and development projects. It was also widely assumed that REDD+ would be easy and could be done quickly, making it attractive to a range of different constituencies.

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<sup>1</sup> RED – with one D – came onto the global stage at CoP11 in 2005, when Parties were invited to submit 'their views on issues relating to reducing emissions from deforestation in developing countries' (UNFCCC 2005). These ideas were further developed during the period preparing for the CoP13 in Bali, Indonesia December 2007. The CBFF was created in the period preparing for COP 15 in Copenhagen in December 2009.

To understand the initial enthusiasm and urgency during the early creation of the CBFF it is important to realise that REDD+ represented a fresh approach to forest conservation, sustainable management and local livelihoods. A 2012 CIFOR paper<sup>2</sup> analysing REDD+, noted:

*Initially, a defining characteristic of REDD+ was the use of financial incentives to change the behaviour of forest users: forest conservation was to become more profitable than forest clearing as a result of payments for environmental/ecosystem services (PES). The logic is compelling. Carbon sequestration and storage are public goods provided by forests and forest owners. There are currently no markets or market-like mechanisms to incentivise forest owners and users to factor the value of these services into their management decisions. Through a PES system, landowners will conserve the forest because they can make more money by doing so. This aspect made REDD+ significantly different from previous forest conservation efforts (Sunderlin and Atmadja 2009). A performance-based approach, with payments made only after results have been demonstrated, was also very attractive to most financing sources.*

*A second distinctive feature of REDD+ was the magnitude of the funding available, which dwarfed earlier forest conservation efforts, e.g. the Tropical Forest Action Plan in the 1980s. Annual transfers to REDD+ countries were estimated to potentially bring in tens of billions of dollars, according to authoritative reports (e.g. Stern 2006; Eliasch 2008).*

*Finally, REDD+ aimed for reforms and transformational change beyond the forestry sector. A broad, national approach was chosen to enable the use of extra sectoral policies, which can have a greater impact than sectoral ones (Kanninen et al. 2007). A national approach would also address the challenge of leakage, a major reason why avoided deforestation was not included in the Clean Development Mechanism (CDM) in 2001.*

It is important to note that when the CBFF started, REDD+ was still very much in its infancy and the countries of the Congo Basin only started engaging in REDD+ Readiness from 2009 onwards with DRC in the lead. Today DRC has completed its REDD+ Readiness process and is moving into the investment phase. Gabon is well advanced on its National Climate Plan and Low Emissions Development Plan and Congo and Cameroon are in the processes of defining their national REDD+ strategies and elaborating the other institutional and policy elements of REDD+ Readiness.

Since the CBFF's inception, several initiatives have emerged on the multilateral scene.

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<sup>2</sup> Angelsen, A., Brockhaus, M., Sunderlin, W.D. and Verchot, L.V. (eds) (2012). *Analysing REDD+: Challenges and choices*. CIFOR, Bogor, Indonesia.

- The World Bank managed Forest Carbon Partnership Facility (FCPF), which became operational in June 2008, has created a framework and a policy process for participating countries that helps them get ready for Phase 3 of REDD+ with results-based financial incentives. Today five out of the ten of the COMIFAC countries are FCPF member countries <https://www.forestcarbonpartnership.org/redd-countries-1> (Cameroon, Central African Republic; Central African Republic, DRC, Congo and Gabon).
- The United Nations REDD facility's (UN-REDD) Programme was launched in September 2008. A collaboration between the Food and Agriculture Organisation of the United Nations (FAO), the United Nations Environment Programme (UNEP) and United Nations Development Programme (UNDP), the programme seeks to assist developing countries to prepare and implement national REDD+ strategies. Today seven COMIFAC countries are UN-REDD member countries (Cameroon, CAR, Chad, DRC, Congo, Equatorial Guinea and Gabon <http://www.un-redd.org/partner-countries>).
- The Forest Investment Programme (FIP), managed by the World Bank in partnership with the AfDB and which is a funding window of the Climate Investment Funds, provides funding for scaling up financing to projects and investments identified through national REDD+ strategies. Today FIP is supporting DRC, Cameroon, Congo and Rwanda <https://www-cif.climateinvestmentfunds.org/fund/forest-investment-program>.

## 2.1.2 Congo Basin Forests at a Glance

As the second largest tropical forested area on the planet, the Congo Basin rain forest represents a carbon store of global importance. Curbing deforestation in the Congo Basin may therefore provide a highly cost-effective way of reducing greenhouse gas emissions. A recent World Bank report<sup>3</sup> on deforestation in the Congo Basin, described the Congo Basin forests as follows:

*It contains about 70 percent of Africa's forest cover: Of the Congo Basin's 530 million hectares of land, 300 million are covered by forest. More than 99 percent of the forested area is primary or naturally regenerated forest as opposed to plantations, and 46 percent is lowland dense forest.*

*Industrial logging represents an extensive land use in the area, with about 44 million hectares of forest under concession (8.3 percent of the total land area), and contributes significantly to revenues and employment. Unlike other tropical regions, where logging activities usually entail a transition to*

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<sup>3</sup> Megevand, Carole et al 2013. *Deforestation Trends in the Congo Basin: Reconciling Economic Growth and Forest Protection*. Washington, DC: World Bank

*another land use, logging in the Congo Basin is highly selective and extensive and production forests remain permanently forested.*

*The Congo Basin forests are home to about 30 million people and support livelihoods for more than 75 million people from over 150 ethnic groups who rely on local natural resources for food, nutritional health, and livelihood needs. These forests provide crucial protein sources to local people through bushmeat and fisheries. Forest products, whether directly consumed or traded for cash, provide a substantial portion of local people's income. Forests also constitute an important safety net in countries where poverty and undernourishment are highly prevalent.*

*These forests perform valuable ecological services at local, regional, and global levels. Local and regional services include maintenance of the hydrological cycle and important flood control in a high-rainfall region. Other important regional benefits include regional-scale climate regulation, cooling through evapotranspiration, and buffering of climate variability. The forests also house an enormous wealth of plant and animal species including threatened animals such as the lowland gorilla and chimpanzee. Globally, Congo Basin forests represent about 25 percent of the total carbon stored in tropical forests worldwide, mitigating anthropogenic emissions (de Wasseige et al. 2012).*

### 2.1.3 Geopolitical Context

It is also important to note the geopolitical context in which the Fund operates. Over the past three decades, the Congo Basin has experienced significant periods of political instability. For example, during the 1990s, Burundi, Congo, DRC and Rwanda all experienced periods of political instability and civil war. On the one hand, this has led to pattern of high levels of exploitation in some areas (as periods of conflict can lead to the plundering of natural resources to fund conflict<sup>4</sup>), although overall, the Congo Basin remains relatively under-exploited (due to business uncertainty and lack of infrastructure)<sup>5</sup>. These conditions increase the challenges of implementing projects in the region (for example, the outbreak of civil war in 2013 in CAR led to the cancellation of two CBFF projects).

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<sup>4</sup> DRC 2008-2012 Country Strategy Paper, AfDB.

<sup>5</sup> Megevand et al.(2013) *Deforestation Trends in the Congo Basin: Reconciling Economic Growth and Forest Protection*. The World Bank.



## 2.1.4 Congo Basin Forest and Environment Sector Developments

During the last 20 years, the forested countries of the Congo Basin have made a lot of progress towards sustainable forest management, especially in large industrial forest management concessions, and forestry remains an important economic pillar of national economies. All Congo Basin countries are participating in the international Forest Law Enforcement, Governance and Trade process and the private sector has invested in forest and legality certification in the region. Since 2002, DRC has enacted and maintained a moratorium on giving out new forest concessions until the sector is better organised and controlled in the country. Whilst international markets for timber remain important, local and regional timber markets within Africa have grown tremendously and this has changed the sector. Much of the timber for the growing national markets comes from unmanaged forests, community forests and small forest exploitation permits. All of which is difficult to control.

Illegal and often destructive forest exploitation remain a problem in the region, despite legality and traceability of timber resources having received a lot of attention from national governments, private sector, multilateral and bilateral development partners and civil society.

The area of Congo Basin forest in protected areas has grown tremendously in recent years with today over 10% of the total forest under national parks. Governments receive a lot of support international donors for the management and protection of these parks including eco-development in the peripheral areas of the parks. There are also several large regional and national programmes supporting the management of biodiversity and protected areas, including:

- The Central Africa Regional Programme for the Environment (CARPE) financed by USAID,
- *Programme de Conservation et Utilisation Rationnelle des Ecosystèmes Forestiers en Afrique Centrale* (ECOFAC – the Programme for the Conservation and Use of Forest Ecosystems in Central Africa) financed by the European Union;
- *Le Programme d'Appui à la Conservation des Ecosystèmes du Bassin du Congo* (PACEBCo - Support Programme for the Conservation of Ecosystems of the Congo Basin) financed by the AfDB;
- German bilateral support to a number of protected area management agencies in a number of countries;
- International non-governmental organisations (NGOs) such as the World Wide Fund for Nature (WWF) and the Wildlife Conservation Society (WCS) have also become important partners to governments and protected areas management agencies.

Over the past 20 years there has been much attention paid to community forest management and for mapping of community land-use. Community land-use often overlaps

with forest concessions and protected areas, leading to conflicts and compromising the livelihoods of local and indigenous people that depend on these forests. The United Kingdom, the Netherlands and Canada, in particular, have supported these efforts, mainly in Cameroon, with over 300 Community Forests created, and DRC where there has been much work on developing participatory mapping. In DRC the long awaited new legal texts on local community concessions were finally passed in 2015 – albeit too late for the CBFF to engage.

### 2.1.5 COMIFAC

The Central African Forest Commission (French: *Commission des Forêts d'Afrique Centrale*, or COMIFAC) is an intergovernmental organisation in Central Africa. The secretariat is based in Yaoundé, Cameroon. COMIFAC was established in March 1999, through the 'Declaration of Yaoundé'. COMIFAC's mission is to give orientation, to support harmonisation and to monitor forest and environmental policies in the Central Africa region.

### 2.1.6 The Congo Basin Forest Partnership

Most of the CBFF partners – the CBFF Secretariat, COMIFAC and the project executants – are brought together within the Congo Basin Forest Partnership (CBFP), launched by the United States of America in 2002. The partnership's main objective is 'to increase the effectiveness of programs and initiatives of its members by encouraging dialogue, collaboration and communication between them'. CBFP members support the implementation of the COMIFAC Convergence Plan and the Yaoundé Declaration. Their activities are aimed at:

- Protecting the biodiversity of the region;
- Promoting good forest governance; and,
- Improving the living standards of people in the region.

#### *Forest management policies and land use planning*

Across all of the forested countries of the Congo Basin, threats to the forests are coming more and more from non-forestry sectors: conversion of the forest for agro-industrial plantations, the growth of the mining sector, the development of transport infrastructure, etc. With regard to this, the partners are unanimous in recognising that the future of the Congo Basin forests will depend largely on the political choices that will be made by States in terms of land use and that land use planning strategies are therefore a determining factor today.

In implementing these strategies, which will necessarily happen at inter-sectoral level, it is essential that States make use of the macro- and micro-zonage exercises that have already been underway for many years in the forestry sector. Land use planning policies must be compatible with the preservation of local and global eco-systemic functions, and must be a high political priority. They must also be supported by information management tools that

are transparent and accessible to all stakeholders. The role of Observatory for the Forests of Central Africa in the elaboration and integrated management of these tools at regional level must equally be confirmed by the States of the sub-region and must benefit from financial and technical engagement from all of the CBFP partners.

### *Climate change mitigation and adaptation strategies*

COMIFAC should provide support to its member countries in the process of revising their Nationally Determined Contributions (NDCs), building on the experiences and achievements of existing programs. To this end, there is a need to put in place a sub-regional facility aiming to improve the access of COMIFAC countries to climate funds. Partners are requested to promote geographical balance in the distribution of climate finance resources.

CBFP partners are invited to help Central African countries in their efforts to transform agriculture into opportunities to fight climate change, feed populations, provide job opportunities for youth and insure a balanced development of agribusiness models.

## 2.1.7 Central Africa Forest Initiative

In 2011, during the United Nations Framework Convention on Climate Change CoP meeting in Durban, seven Central Africa nations<sup>6</sup> and eight major donors<sup>7</sup> signed the Joint Declaration of Intent on REDD+ in the Congo Basin, to boost policy and governance reforms to address deforestation in the region as well as to raise international finance to implement such reforms and to fund investments for sustainable development in the forest arena.

In the spirit of the Joint Declaration of Intent, and to respond to the complex and evolving challenges of deforestation, a group of donor countries have created the Central African Forest Initiative (CAFI) to coordinate their 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 endorsed by the Central African and Donors countries.

Within this context and in order to scale up funding support, a CAFI Multi-Partner Trust Fund (was established in 2015 to reduce aid fragmentation and increase predictability through multi-year country-based financing strategies. While this funding mechanism will be the largest investment vehicle for the Initiative, complementary parallel investments by private and public donors will be possible.

CAFI is as a collaborative partnership that includes:

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<sup>6</sup> Burundi, Cameroon, Central African Republic, Chad, Democratic Republic of Congo, Republic of Congo, and Rwanda.

<sup>7</sup> 'Drivers' refers to the drivers of deforestation and forest degradation as well as the barriers to conserving, sustainably managing and enhancing forest carbon stocks.

- Central African partner countries: Cameroon, Central African Republic, Republic of Congo, the Democratic Republic of Congo, Equatorial Guinea and Gabon;
- A coalition of donors: the European Union, France, Germany, the Netherlands, Norway, and the United Kingdom; and,
- Brazil as South-South partner.

To date some USD 253 million have been engaged through CAFI, so far mainly for financing the implementation of the DRC National REDD+ Investment plan<sup>8</sup>.

CAFI seeks to significantly contribute to low emission development in partner countries through interventions in the land use and forestry sector. The land use and forestry sector is by far the main contributor to greenhouse gas emissions in the region. In order to achieve the socio-economic transformation required to reduce emissions, development co-benefits are also expected to be generated. Emission reductions will come from policies and measures that properly address both direct/proximate drivers (such as agriculture, wood energy, forestry and infrastructure/mining) and indirect/underlying drivers (such as lack of land use planning and insecure land tenure, poor governance and rapid population growth)<sup>9</sup>.

## 2.2 The CBFF

### 2.2.1 Commencement

The Congo Basin Forest Fund was launched in June 2008 with two grants, £50 million from the United Kingdom and NOK 500 million from Norway, giving a total of € 119 million. In 2012 Canada contributed a further CAD\$ 20 million to the fund. The money was to be used to finance projects that develop the capacity of the people and institutions of the Congo Basin to preserve and manage their forests. The fund is managed by the CBFF Secretariat, which is hosted by AfDB. Oversight and strategic guidance is provided by the GC of the CBFF.

The development of the CBFF is one outcome of a series of institutional and regional events over the past decades focused increasing international attention on the economic, social, and environmental importance of the Congo Basin forests. Due to the importance of the forests in the Congo Basin – both locally and internationally – and the significant amount of initial funding from the UK and Norway, interest in and expectations of the CBFF were high.

The intention behind the donors' allocation of funds to the CBFF was to improve welfare and slow the rate of deforestation in the Congo Basin. This was to be achieved by developing the

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<sup>8</sup> For more information see: [www.cafi.org](http://www.cafi.org)

<sup>9</sup> 'Drivers' ' refers to the drivers of deforestation and forest degradation as well as the barriers to conserving, sustainably managing and enhancing forest carbon stocks.

capacity of people and institutions in the Congo Basin countries to manage their forests, and help local communities find livelihoods that are consistent with the conservation of forests. The CBFF was intended to run until 2018 unless decided otherwise by the Board of Governors. It was to be a fast-track fund to support innovative and transformative initiatives by a variety of stakeholders, civil society, governments and private sector.

## 2.2.2 Objective of the CBFF

The main objective of the CBFF is *'alleviating poverty, mitigating climate change by reducing the rate of deforestation in the Congo Basin through sustained forest management of the Congo Basin forest resources for increased benefits accruing to Congo Basin Governments and forest-dependent communities.'*

Its main strategy is to fund relevant innovative and transformative projects, and to work in partnership with national government agencies, and national, regional and international non-governmental organisations operating in the Congo Basin. The CBFF focuses on four key activity themes and three crosscutting themes.

The key activity themes are:

1. Sustainable forest [landscape] management;
2. Livelihoods and economic development;
3. Monitoring, reporting and verification of deforestation and forest degradation;
4. Benefit-sharing related to carbon markets and ecosystem services.

The crosscutting themes are:

1. How and to what extent the projects demonstrated innovation and sought to stimulate transformation;
2. Approaches to inclusivity – how and with what success the projects factored in a gendered intervention approach (and enabled participation by marginalised groups including youth); and
3. Capacity building – how did the projects incorporate 'strengthening the capacity of institutions based in the Congo Basin' into their interventions, and with what success.

## 2.2.3 A Theory of Change for the CBFF

Theory of Change (ToC) is an outcomes-based approach that applies critical thinking to the design, implementation and evaluation of initiatives and programmes intended to support change in their contexts. It has many similarities with the logical framework approach and CBFF's Results-Based Model, but involves more analysis of the assumptions in the chain of causality between inputs and impacts. The ToC provides the basis for understanding changes and the contribution of CBFF to these changes. During the Inception Phase, the Evaluation

Team ‘unpacked’ the CBFF results chain to understand the pathway between the programme outputs and the CBFF objectives and intended impact.

The analysis draws on a behaviour change model of Michie, Stralen and West (2011). The model argues that behaviour change comes about as the result of interaction between three *necessary* conditions, capabilities, opportunities and motivation. These are described as:

- **Capability (C):** As the individual’s psychological and physical capacity to engage in the activity concerned. It includes having the necessary knowledge and skills.
- **Motivation (M):** As all brain processes that energise and direct behaviour, not just goals and conscious decision-making. It includes habitual processes, emotional responding, as well as analytical decision-making.
- **Opportunity (O):** Is defined as all the factors that lie outside the individual that make the behaviour possible or prompt it.

This is known as the COM-B model (briefly discussed in Annex 3), the logic of which is that outputs from projects are intended to reach a population in such a way that what is being communicated to them makes sense. These outputs aim at changing the capacities of individuals and groups through changes in their capabilities, opportunities and motivation. These capacity changes lead to behaviour (practice change)—people do things differently as a result—which leads to direct benefits for them and subsequently results in improvement to their wellbeing (impact).

In these models, *assumptions* are the necessary or likely necessary events and conditions needed for a causal link to work. Each assumption is therefore a risk. *Reach and reaction* are the target groups who are intended to receive the intervention’s goods and services and their initial reaction.

Further development of the underlying assumptions will take place as part of the initial key informant interviews, which will be carried out with the ERG and key CBFF implementers during early November. The assumptions in the revised ToC will then be tested to understand the likelihood that CBFF achieves these objectives. As part of this assessment we will analyse the barriers/problems identified in the project proposals or from the e-survey and key informant interviews and assess whether these barriers have been overcome/resolved, and where they have, whether this has resulted in the expected change.

CBFF is a complex programme with many actors: local communities, local, regional and national governments, NGOs and CSOs, and the private sector. Close to 40 projects have been funded to date, aimed at the overriding CBFF goals in its original design of 2008:

1. Poverty reduction
2. Mitigating climate change by reducing rate of deforestation
3. Increased benefits from forests to governments and local communities

The 2013 CBFF RBM formulated the long term impact of the CBFF as:

*'Poverty has been alleviated and climate change addressed through reducing (slowing and eventually reversing) the rate(s) of deforestation and forest degradation in the Congo Basin.' The intermediate outcome of CBFF is: 'Congo Basin Governments and forest-dependent communities receive increased benefits from sustainably managed forest landscapes.'*

The ToC outlined below is an attempt at modelling the current intentions of CBFF, as set out in a variety of documents. The intervention logic from the CBFF RBM is:

*The logic of addressing climate change through a reduction of deforestation and forest degradation is straight forward: prevent the forest carbon stock from entering the atmosphere and contributing to global warming by retaining it bound in the shape of biomass (trees). In contrast, alleviating poverty is less straight forward. Deforestation and forest degradation in developing countries is typically supplanted by hand-to-mouth low yield agriculture and/or benefits the economic elite; whatever the case, there is a link between how forest resources are managed (or removed) and the well-being of poor forest-dependent communities, who tend to bear a disproportionately high amount of the environmental and social costs of these practices.*

*Mitigating climate change by reducing deforestation and forest degradation, while simultaneously improving the livelihoods of forest-dependent communities, requires stakeholders finding better value in standing forests. Focus must thus rest on promoting management of forest ecosystems in ways, which both increase the amount of absolute forest-generated income (value) and address the distributional aspects of this increased income.*

*The linkages between poverty and deforestation/forest degradation constitute the overall path pursued in the new chain of results: how do poor governments and people stand to gain from maintaining forest cover instead of degrading or converting forests to other land use with pervasive negative consequences including massive Carbon dioxide release and exacerbation of poverty*

Based on this and an understanding of the range of projects funded, a short Narrative ToC is:

Projects are funded that enhance local community and private sector engagement with Sustainable Forest and Landscape Management (SFLM) practices and develop viable alternatives to the current way forest lands are used. This will enhance sustainable management of forests, and local communities and private sector will shift to more sustainable land uses and income from forest-landscapes will increase. The increased income from forests is assumed to motivate forest users to maintain forest cover. By using NGOs and local government organisations as delivery agents, these organisations will be involved with the change process and build their

knowledge and experience in SFLM, resulting in more advocacy by NGOs and strengthened capacity of these governments to support the establishment of a solid enabling environment for SFLM.

At the same time, other CBFF projects aim at building the capacity of national government to become more REDD+ ready, for REDD+ pilot projects to inform national REDD+ strategy, as well as to put in place the national architecture for a solid enabling environment for REDD+. This will enhance coordination, inclusiveness and a multi-sector approach, ensure safeguards and increase international public and private finance for investing in reduced deforestation, poverty reduction and SFLM.

The Narrative ToC suggests the two pathways comprising the overall CBFF ToC:

- **Pathway 1:** Sustainable and viable management of forest-landscapes by local communities and private sector
- **Pathway 2:** National level building of REDD+ enabling environment and REDD+ readiness.

These two pathways are discussed further below.

**Pathway 1** are projects aimed at enhancing viable SFLM at the community level thru the actions of households. Viable in this context is that SFLM provides a sustainable enhanced livelihood for the households. These projects are implemented by both NGOs and governments. Some are REDD+ projects, some not. They result in capacity building of the local communities leading to changes in practices, as well as capacity building of the NGOs and governments as they manage and implement the projects. Projects in this group include:

*Landscape oriented projects:*

- Sustainable forest and landscape management
- Land use/access rights including community rights
- Landscape-level mapping/land use planning

*Income / benefit oriented projects:*

- Improved agriculture
- Re-afforestation/ tree nurseries
- Improved /diversified livelihood activities from forest management, including NTFP and alternatives
- Alternatives to wood fuel

*Community / civil society capacity projects:*

- Development/testing of community benefit sharing mechanisms



- CBO / NGO capacity and participation in policy development

The elements of these projects are:

- **Outputs:** (from the projects) seem to be knowledge about SFLM, alternatives, and practices; skills to match new approaches; awareness of possibilities and of rights;
- **Household Capacity changes:** (C) from knowledge and skills learned; (O) from the new crop alternatives and from rights; (M) from awareness of new possibilities and desire for a better life.
- **Household Practice changes:** engagement in SFLM, adoption of new forest products, adoption of communal management of their forest area, participation in benefit sharing schemes
- **NGO Capacity changes:** (C) from implementation experience and new knowledge; (O); from role in society and chance to make a difference; (M) from experience with SFLM and dealing with governments.
- **NGO Practice changes:** strengthened advocacy at local and national levels; ongoing support for communities.
- **Government capacity changes:** (C) need for changes seen from implementation experience and new knowledge; (O) from their role in society; (M) from pressure to do the right thing.
- **Government Practice changes:** promoting/promulgating supportive SFM-related policies and regulation, support for further SFLM research.

**Pathway 2** are projects aimed at building the capacity of governments at different levels, and could also be thought of as countries. These involve developing new knowledge (research), training of professionals, putting SFLM-related systems, policies and plans in place. All activities could be seen as building the enabling environment.

Projects in this group include:

*National level capacity and strategy projects*

- REDD+ pilot projects/engagement with carbon markets
- National REDD+ readiness, including design of MRV and Safeguards

*Knowledge projects*

- Higher education and technical training
- Research/ improved knowledge of the forest resource

The elements of these projects are:

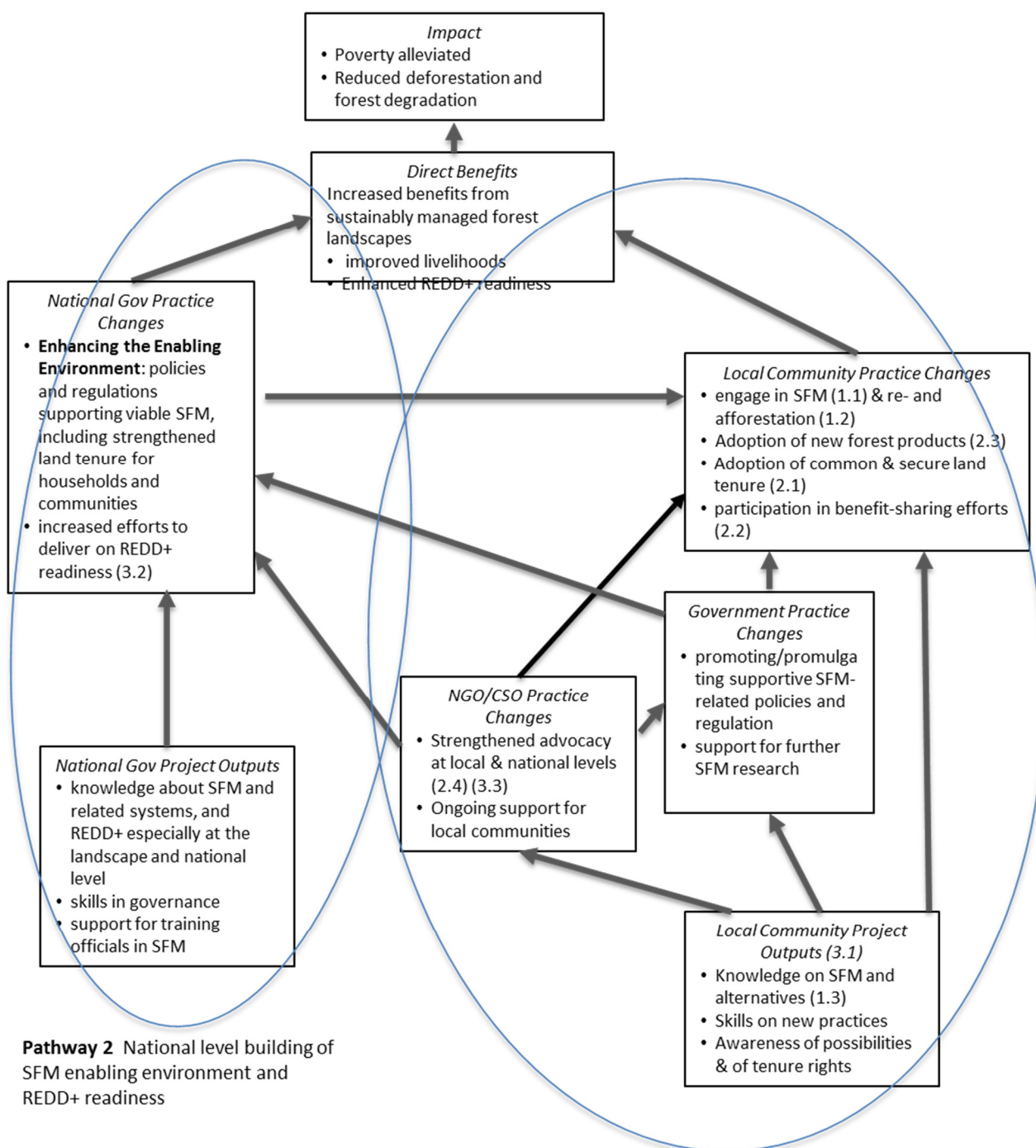
- **Outputs:** knowledge about SFLM and related systems, and REDD+ especially at the landscape and national level, skills in governance through relations with communities and NGOs, support for technical professionalism in SFLM
- **National Government Capacity changes:** (C) increased SFLM knowledge as well as of REDD+ processes; (O) opportunities for win-win scenarios emerge; (M) awareness of the value of international recognition and rewards from REDD+
- **National Government Practice changes:** policies and regulations supporting viable SFLM, including strengthened land tenure for households and communities; increased efforts to deliver on REDD+ readiness; all of which is the needed enabling environment.

The resulting Overview ToC is shown in Figure 1. The Reach and Capacity changes discussed above are not shown, in order to identify clearly the two pathways and their resulting practice changes. Further, only the underlying rationale assumptions are shown.

Since its inception, the CBFF has accepted 41 applications through two separate calls-for-proposals, 38 of which have been approved by the AfDB. These 38 projects account for a budget of almost €74 million. Of these, 22 are now complete, eight are near completion, four are ongoing and four have been cancelled. Nine of these projects are multinational, 13 are situated in DRC, eight in Cameroon, and one each in the remaining six countries (Burundi, Congo, Equatorial Guinea, Gabon and Rwanda).

The CBFF supports projects at the government, regional institution, and international and small local NGO level. A number of government projects are implemented by national and international NGOs and research institutions. The scope of projects within the portfolio ranges from working with some of the poorest, most marginalised forest-dependent people in the region, to that of dedicated government officials. A list of the CBFF approved projects is provided in Annex 5.

## 2.2.4 Figure 1. Overview ToC for CBFF Portfolio



**Pathway 2** National level building of SFM enabling environment and REDD+ readiness

**Pathway 1** Sustainable & viable forest management by local communities

### Legend

- Bracketed numbers are from the CBFF RB Model Framework

### Underlying Rationale Assumptions

- Donor and AfDB capabilities
- Limited political instability
- Sufficient political will
- Dedicated NGOs & CSOs
- Land tenure can be strengthened
- Local communities willing to engage in new approaches

## 2.2.6 Monitoring Modalities for the CBFF

The CBFF operates within the procedures of the AfDB. There are four stages defined within the AfDB project cycle:

1. Project identification, preparation, appraisal and approval;
2. Grant agreement and effectiveness;
3. Monitoring, evaluation and supervision of project implementation; and
4. Project completion.

However, for proposals of less than €2.5 million, with no problematic issues identified through the desk-based review, country appraisal missions were not part of the original selection process. In addition, the processes for project selection were further simplified in 2011 and 2012 to reduce the time required to review and approve new projects, given that CBFF projects are smaller in size and complexity than most AfDB-funded projects.

In its monitoring and completion reports the CBFF uses a four-point satisfaction score, which are applied in all project supervision and completion reports. The scores are equal to:

1. Unsatisfactory
2. Moderately satisfactory
3. Satisfactory
4. Highly satisfactory

Potentially problematic projects identified through the supervision process are provided with more attention from the CBFF Secretariat and/or put on hold.

### *Project level monitoring and reporting*

The project level monitoring and reporting is well defined in the CBFF operational procedures. The project reports (quarterly and annual), the *Aide Memoires* of supervision missions and the project completion report will all be important evidence for this evaluation.

It is useful to note that a number of projects were evaluated independently of this evaluation and these evaluations will naturally provide input for this evaluation. For example, the CBFF financed six REDD+ pilot projects in DRC (total finance of USD 15 million) which were subjected to an evaluation in 2015 by National REDD+ Coordination. The main objective of the evaluation was to generate lessons for REDD+ implementation. The COMIFAC / Food and Agriculture Organisation (FAO) Monitoring, Reporting and Verification (MRV) project (working in the ten COMIFAC countries) was also formally evaluated.

### *Programme level monitoring and reporting*

The CBFF was the subject to a 2011 Mid-Term Review (MTR) and an Operational Effectiveness Review (OER) in 2012-13. The OER was an important programme-level evaluation. It identified a number of important findings and recommendations from which this evaluation will draw. This evaluation will assess what has happened since 2012 and the current situation.

IDEV has also captured – though on a limited basis – certain aspects of the CBFF in the following evaluations:

- Trust Fund Management at the African Development Bank, 2013
- Cameroon: Country Strategy and Programme Evaluation 2004–2013, 2015
- Democratic Republic of Congo: Country Strategy and Programme Evaluation 2004–2013, 2015
- Burundi: Country Strategy and Programme Evaluation 2004–2013, 2015

The Norad real-time evaluation of Norway's International Climate and Forests Initiative (2007-2013) may inform this evaluation as may the Evaluation of Small Grants Management within the CBFF carried out in 2014. Although these were not designed to explicitly review the programme monitoring and evaluation of the CBFF itself, the documents will be consulted, and the context that they provide will be taken into account.

The MTR and OER reviews found the CBFF implementation to be slow largely due to the weaknesses of the institutional arrangements and the capacity for CBFF administration and delivery – both within the AfDB and by some of its project implementers – and due to the fragility of the Congo Basin region. The OER was particularly concerned by the confusion introduced to what was originally conceived as a small-grants programme, given that AfDB procedures (intended for much larger programmes) made it very challenging for the AfDB to administer the CBFF grants.

The idea of recruiting an independent Fund Management Agent (FMA) was considered by the Governing Council (GC) at its second meeting in September 2008. The purpose, it was stated at the time, was to manage projects with a value of less than \$250,000 and to assist small NGOs in the preparation of those projects. The timing of this was rendered impossible by the fact that the first Call for Proposals had already been launched, and dates were set for completion of project selection before an FMA institution had been recruited (long before, indeed).

During the period 2011 to 2014, the CBFF was supported by an external Fund Management Agent (FMA) in managing the small grants of the funds (which represented a major portion of the CBFF's projects). The FMA was implemented by a consortium composed of PricewaterhouseCoopers and the Netherlands Development Organisation. Since 2014 the CBFF Secretariat itself has managed and directly supported the small grants' project holders.

The fact that the FMA contract came into operation some two years or more later than it was intended to do, greatly diminished its usefulness and put it at a perpetual disadvantage. The contract proved to be unworkable, designed as it was on the basis of performance by results. By the time the work was under way, the nature of the work had changed, so that much of the FMA's work was not described in the contract, while many of the deliverables would never be delivered, for a multiplicity of reasons beyond the control of the FMA.

This was a perfect recipe for the development of a rather unproductive working relationship, and the complexity of the issues and the level of mutual mistrust was such that the relationship could never prosper. The responsibility for this was attributable more or less equally between the many parties concerned.

At the end of the FMA contract, the CBFF Secretariat regained control of the whole portfolio, which should have made programme monitoring and reporting (through regular periodic and annual reports) much easier.

An issue of particular importance that was raised in the OER was the bi-cephalic management structure, as a result of which the CBFF Secretariat was reporting to, and receiving instructions from, both the GC (through its Chair) and AfDB's own hierarchy, through OSAN and upwards to the Vice-President. Clearly, a task of the present evaluation will be to understand how this reporting has evolved since the OER.

In response to the OER, in 2012, after effectively two and a half years of CBFF operations, it was decided to revise the logical framework (logframe) of the CBFF to update its aptitude for tracking progress towards its ultimate objective and review the relevance of the chain of results to meet this objective. The revision process for the logframe was launched in January 2013 at a workshop in Canada with participation from the UK, Norway and Canada. Discussions on the revision of the logframe continued in 2013 between donor representatives and the Secretariat. A stakeholder consultation on the draft logframe was conducted with Congo Basin Forest Partnership (CBFP) members. A final draft of the logframe was completed and submitted for the 13<sup>th</sup> GC meeting held in Paris, France on 13<sup>th</sup> September 2013. Upon incorporation of additional comments resulting from the GC meeting, the logframe was approved by the AfDB Board of Directors in November 2013.

An important point that emerged from these discussions was unanimous consensus among donor representatives on the importance of targeting Civil Society Organisations (CSO) specifically and reaching, through whatever intermediaries, local communities as the ultimate beneficiaries. Policy makers were also included as part of the overall target group.

The CBFF RBM (refer to Section 2.2.2) that was the outcome of this planning exercise drew upon the CBFF initial planning framework of 2008 and brought together, *ex-post*, the 38 projects of the first and second round calls. It brings together the monitoring and evaluation information of the 38 individual projects as well as for the entire CBFF portfolio. This evaluation will be based on both the 2008 planning framework and the 2013 RBM.

## 2.2.7 Withdrawal of Support from the UK and Norway

In late 2014, the UK and Norway addressed a letter to the AfDB stating that they would not support a third call for proposals and that UK would not disburse the outstanding balance of its initial commitment to the CBFF. During the 14<sup>th</sup> GC Board Meeting the donors also reiterated that the CBFF was set-up for an initial period of 10 years with a sunset date of 2018. They asked that progress to-date be consolidated and that an independent evaluation be undertaken to identify lessons learnt. The results of the evaluation will guide a decision on what is to be done in the future. During the same GC Board Meeting other members reiterated that regardless of the future of the CBFF post-2018, the experience of CBFF is very important to the region and it is therefore very important to document lessons learnt. All ongoing projects and new projects are to be completed and all funds spent by 2018. The planned third round for a call for proposals, or an extension of completed projects from the first and second rounds, has been placed on hold pending the outcome of this independent evaluation.

Furthermore, members of the GC cautioned that the agreed sunset date of 2018 should not be taken as an indication of failure; the CBFF will serve as a model for the region and the world from which future initiatives can draw inspiration. It was recommended that the CBFF try to attract new donors and cautioned the GC not to send a wrong signal that the CBFF did not work, as this would be detrimental to resource mobilisation efforts. The AfDB's Vice-Presidency of Operations II: Sector Operations confirmed that the CBFF was meant to be a pilot financing mechanism for future climate funds, hence the sunset date of December 2018. He suggested that the Bank's evaluation department be charged with the evaluation of the CBFF, including the highlights of lessons learnt.

There continues to be a great desire and willingness of many donors to assist countries in the Congo Basin region but the mechanisms to do so are lacking. It is therefore likely that interest in the lessons and experiences of the CBFF identified through the evaluation will extend beyond those stakeholders directly involved in the CBFF. In the meantime, Norway and the UK, together with the European Union, Germany, France, as donor countries, and Central African Republic, Democratic Republic of Congo, Cameroon, Congo, Equatorial Guinea and Gabon as Central African partner countries, have set-up a new initiative: the Central African Forest Initiative (CAFI).

The AfDB itself invests in national forests programmes in the Central Africa region through the Forest Investment Programme (FIP) of the Climate Investment Fund (CIF) and AfDB's African Development Fund (ADF) has made some important investment for biodiversity conservation and sustainable forest management through the *Programme d'Appui à la Conservation des Ecosystèmes du Bassin du Congo* (PACEPCo).

In this light, it will be important to evaluate the CBFF in relation to the other funding and support mechanisms for REDD+ and for forests and livelihoods in the Central Africa region. Focusing on the role CBFF has and will play in the region.

## 3 Evaluation Design

### 3.1 Evaluation Approach

The evaluation approach and methodology have not changed since the evaluation proposal. The CBFF evaluation design uses a theory-based approach and incorporates robust methods to assure the evaluation delivers quality results that can inform practical recommendations. It is also flexible both in design and in the way it will be managed, given the need to generate practical recommendations on the governance structure, management, instruments and processes of the CBFF. The evaluation design:

- **Is Theory-based:** The evaluation is underpinned by the overarching CBFF ToC. The evaluation will collect evidence to test the ToC assumptions and intervention logic, understand why, and to what extent, the CBFF is an efficient mechanism to allocate support to the implementation of REDD+ projects (both in terms of process efficiency and cost efficiency), and the quality of the project portfolio. We will use a mixed methods approach to understand to what extent and why, outputs and outcomes have been achieved, to support the generation of practical evidence-based recommendations.
- Includes a **robust evaluation framework:** The evaluation framework provides the basis for our overall analytical approach and will guide how evidence is collected and analysis conducted. Our approach is developed to ensure internal validity (credibility and transferability) and reliability through triangulation of findings from multiple methods, data sources, and evaluator interpretations.
- We will use a **mix of qualitative and quantitative data**, and the application of mixed methods for data collection and analysis. We will apply a range of methods that help identify the underlying factors contributing to the achievement of outcomes and impacts, acknowledging that the transformation of inputs into impacts occurs over an extended period of time. Methods used will address Organisation for Economic Cooperation and Development (OECD) - Development Assistance Committee (DAC) evaluation best practices.
- **Stakeholder focused:** Our work will revolve around the needs of the stakeholders of the CBFF, in particular ERG (refer to Section 4.2 for further details), which represents all the evaluation stakeholders (i.e. AfDB staff, donors, project executors, national governments – through COMIFAC) and the countries where funding has occurred. DRC and Cameroon will be the main focus given the share of the CBFF portfolio hosted by these countries. At least two other countries will be visited. These are to be decided upon after the first portfolio review and based on priorities as established



during initial consultations. Key stakeholders include core IDEV (AfDB’s evaluation and learning centre) and CBFF team members at AfDB, CBFF GC, representatives of donor government bodies, funded partner organisations, institutional partners (COMIFAC, the Economic Community of Central African States; ECCAS, CBFP), relevant government departments in project countries. AfDB has provided a full list of contacts for these stakeholders, and preparations are already underway to consult with these stakeholders.

- **Step-wise methodology:** The detailed evaluation methodology is structured around the four main phases which incorporate six evaluation deliverables (refer to Table 1).

Table 1. Summary of Expected Deliverables

Deliverables (number and description)	Phase (number and description)	
1. Draft and Final Inception Report	1	Inception
2. PPR Report	2	Performance Reviews
3. OMPR Report	2	Performance Reviews
4. Case Study Reports	3	Data Collection and Analysis
5. Draft Evaluation Report	4	Reporting
6. Final Evaluation Report (including annexes)	4	Reporting

## 3.2 Evaluation Framework

The evaluation matrix provides the overarching framework guiding the evaluation. It will be used to review links between inputs, processes and outputs; their relevance, efficiency and effectiveness; and to assess evidence of achievement of impact (OECD-DAC criteria). The evaluation matrix has been used during the Inception Phase to identify the data requirements for the evaluation and how these requirements will be met (i.e. through additional primary data collection, reliance on available secondary information). The evaluation of the CBFF needs to consider how the CBFF operates at both the fund level and the individual project level. Therefore the combination of methods has been selected to ensure data and evidence captured at the portfolio level is triangulated and supported by evidence from individual cases. As the evaluation object is the fund overall, the main focus of the evaluation is to validate fund-level findings. Table 2 outlines the evaluation matrix. During the initial three week Inception Phase (October 2016), the Evaluation Team reviewed the EQs and proposed approach. As a result, the 31 individual Evaluation Questions (EQs) provided in the evaluation ToR were revised slightly to 33 questions. Sub-questions were also developed to assist with data collection and interviews that will assist with answering the main questions. These questions will be answered through the document review, online survey and key informant interviews (refer to Annex 2).

However, in response to feedback from the ERG in January 2017, the 33 EQs were re-organised to allow five overarching evaluation questions to emerge:

1. How well was the CBFF governed and managed? How well did the CBFF manage and support the activities of the CBFF projects? How well did non-Bank delivery agents perform?<sup>10</sup>
2. How strategic was the selection of CBFF projects given relevant national and regional strategies? To what extent did the CBFF projects contribute to the fund's objectives of reducing vulnerability and poverty at the local level and reducing deforestation/ degradation?
3. How well did the CBFF projects perform? What results were achieved on-the-ground?
4. Did the CBFF induce innovation and prepare for transformational change?
5. How sustainable are the CBFF results?

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<sup>10</sup> Overarching question 1 covers: EQs 6, 7, 8, 9, 12, 13, 22, 23, 24, 27. Overarching question 2 covers: EQs 1,2,10. Overarching question 3 covers: EQs 3, 4, 5, 11, 12, 13, 14, 15, 16, 17, 18, 21, 25, 26. Overarching question 4 covers: EQ7. Overarching question 5 covers: EQs 19, 20; Whilst the forward looking questions are included in the final report as outputs of the evaluation.

Table 2. Evaluation matrix

Evaluation Question (EQ)*	Indicators	Methodology
<p><b>Relevance</b> of CBFF programme and project objectives and designs towards realising the intended CBFF strategic objectives: how well the CBFF results framework and projects are designed and coherent?</p>		
<p><b>EQ1.</b> To what extent are the CBFF projects' objectives relevant to the:</p> <ul style="list-style-type: none"> <li>(i) Human-natural systems nexus of the Congo Basin (CB)?</li> <li>(ii) Forest development and management agendas of the CB countries?</li> <li>(iii) Development needs/priorities of the CBFF intended primary impactees/beneficiaries (including CB dwelling communities in particular women, children and ethnic minorities)?</li> <li>(iv) Strategies and approaches of other CB initiatives (including private sector and other development partners)?</li> <li>(v) Bank's strategic programme priorities for the CB countries?</li> <li>(vi) CBFF strategic objectives and themes?</li> </ul>	<p>Degree of alignment of the projects' objectives with the objectives and priorities of the AfDB strategic programmes, national and regional sustainable development frameworks, national REDD strategies, analogous programme initiatives, and the CBFF itself.</p>	<p><b>Evaluation Phase:</b> PPR  <b>Data sources:</b>            Country Strategy Paper            Project documents            COMIFAC Convergence Plan            Online survey            Key informant interviews  <b>Methods:</b>            Literature/document review            Portfolio analysis            ToC analysis            Gender and vulnerability assessment</p>
<p><b>EQ2.</b> How coherent are the projects that make up the CBFF portfolio?</p>	<p>Extent to which the projects that were funded make up a coherent programme within the CBFF results framework; assessed degree of significance of gaps</p>	<p><b>Evaluation Phase:</b> PPR  <b>Data source:</b> Project documents</p>

	and overlaps in programmatic coverage between projects within the portfolio.	<b>Method:</b> Assessment of overall balance of projects
<b>EQ3.</b> To what extent are the CBFF projects' theories of change and planning frameworks plausible, feasible, evaluable, and in line with the overall CBFF strategy and theory of change?	Degree of alignment of the projects' ToC/results frameworks to the CBFF results framework; adequacy of the project ToC/results frameworks in addressing risks and assumptions.	<b>Evaluation Phase:</b> Portfolio Performance Review <b>Data sources:</b> Project and programme documents <b>Method:</b> Document comparison
<b>EQ4.</b> How well were the CBFF projects' monitoring and evaluation designed?	Degree to which the project's M&E framework incorporates use of SMART indicators with quantified Baselines and Targets, and objective Means of Verification; resources/mechanisms specified for gathering the necessary data for monitoring purposes.	<b>Evaluation Phase:</b> PPR and Case Studies <b>Data sources:</b> Project documents Key informant interviews Online survey <b>Method:</b> Literature/document review
<b>EQ5.</b> How well focused on gender equity is the CBFF and were the CBFF project designs gender and equity focused?	Adequacy of gender definition in the project's design and implementation; clarity of differentiation, in the project description, between the interests/priorities of (i) men and women, and/or between (ii) dominant and potentially marginalised groups?	<b>Evaluation Phase:</b> PPR <b>Data sources:</b> Project documents Key informant interviews Online survey <b>Method:</b> Gender and vulnerability assessment
<b>New EQ6.</b> How coherent is the CBFF results framework?	Degree to which the CBFF intervention logic is coherent and SMART: results are necessary/sufficient to achieve outcomes; outcomes are necessary/sufficient to achieve objectives; objectives clearly linked to goal; timeframe is realistic; risks and assumptions explicit with appropriate risk mitigation strategy.	<b>Evaluation Phase:</b> OMPR <b>Data sources:</b> Programme documents <b>Method:</b> Literature/document review

<p><b>New EQ7.</b> To what extent do the projects’ design incorporate innovative approaches and/or means to stimulate transformation?</p>	<p>Innovative approaches (defined as introducing new methods or ideas to an area) and/or means to stimulate transformation incorporated into project design; resources (time, costings) allocated for activities focused on innovation and transformation; evidence that the project developed replicable tools.</p>	<p><b>Evaluation Phase:</b> PPR and Case Studies  <b>Data sources:</b>            Project documents            Key informant interviews            Online survey  <b>Method:</b> Literature/document review</p>
<p><b>Efficiency</b> of CBFF (fund) governance and management, and of CBFF project implementation for delivering the intended results —how well the fund was governed and managed, and the projects implemented to lead to the intended results, and what were the driving factors?</p>		
<p><b>EQ8.</b> To what extent are the CBFF governance and management arrangements, consistent with achieving the CBFF strategic objectives?</p>	<p>Management and governance arrangements provide for adaptive management in practice; responsiveness to fund evaluations; make-up of governing council facilitates its constructive role in decisions around programme direction and project selection.</p>	<p><b>Evaluation Phase:</b> OMPR  <b>Data sources:</b>            CBFF programme documents            Key informant interviews  <b>Methods:</b>            Rubrics            Institutional Systems Review            Literature/document review</p>
<p><b>EQ9.</b> How well was the CBFF governed and managed especially with respect to the rules of procedures and expected roles and responsibilities of the CBFF governance and management infrastructure?</p>	<p>Roles and responsibilities (between CBFF Secretariat, AfDB, donors etc.) clearly defined and articulated in the programme documents/clear TOR; relationships between parties supported by an MoU or other formal document; extent to which relationships worked as intended in practice; extent to which the CBFF procedures proved satisfactory at each phase of the project cycle.</p>	<p><b>Evaluation Phase:</b> OMPR  <b>Data sources:</b>            CBFF programme documents            Key informant interviews  <b>Methods:</b>            Institutional Systems Review            Rubrics            Literature/document review</p>
<p><b>EQ10.</b> To what extent were the CBFF’s governance and management arrangements and delivery model (including the use of an external</p>	<p>Evidence that measures were put in place and implemented to ensure value for money in the projects selected and in the CBFF as a whole; evidence that measures were implemented to</p>	<p><b>Evaluation Phase:</b> OMPR  <b>Data sources:</b>            CBFF programme documents            Key informant interviews</p>

<p>Fund Management Agent) cost-effective in delivering the CBFF projects and their results?</p>	<p>control project costs during implementation; assessed value added by the external Fund Management Agency to the CBFF operation; comparative performance of the FMA with AfDB management of the fund.</p>	<p><b>Methods:</b> VFM analysis (cost effectiveness/benchmarking)</p>
<p><b>EQ11.</b> How efficient were the CBFF partnerships/collaboration with NGOs, CSOs, regional institutions and CB governments?</p>	<p>Degree to which partnerships/collaborations facilitated or hindered project delivery and impact; degree to which partner organisations were able to engage effectively with CBFF procedures.</p>	<p><b>Evaluation Phase:</b> OMPR <b>Data sources:</b> E-questionnaire Key informant interviews <b>Methods:</b> Cross-case analysis and pattern matching VFM analysis Key informant interviews Portfolio analysis</p>
<p><b>EQ12.</b> To what extent have the CBFF approaches and strategies remained coherent with those of other interventions in the Congo Basin?</p>	<p>Extent to which approaches and strategies of other initiatives are monitored and discussed at strategic level; evidence that CBFF strategic decisions are influenced /informed by such knowledge.</p>	<p><b>Evaluation Phase:</b> OMPR <b>Data sources:</b> Programme document review Review of Congo Basin government and programme policy/strategy documents Key informant interviews <b>Methods:</b> Rubrics</p>
<p><b>EQ13.</b> Which CBFF projects/interventions were cost-effective or not, and why?</p>	<p>Satisfactory rate of disbursement of funds; for sample of projects, satisfactory cost-benefit ratio of costs to key quantifiable results and unquantifiable results (including, inter alia, risk factors overcome,</p>	<p><b>Evaluation Phase:</b> PPR <b>Data sources:</b> Project documents Online survey</p>

	built institutional capacity of grant recipients and lessons learned); good VFM practices applied during project implementation.	<b>Methods:</b> VFM analysis
<b>EQ14.</b> What factors have influenced (both positive and negative) CBFF and projects' delivery?	Identified aspects of CBFF and project delivery found to have worked well and those that could have been done better; assessed evidence on causes of positive and negative performance.	<b>Evaluation Phase:</b> PPR and Case Studies; E-questionnaire <b>Data sources:</b> Fund and project documents Key informant interviews <b>Methods:</b> Rubrics Portfolio analysis Literature/document review
<b>EQ15.</b> How well were the CBFF and project monitoring, evaluation and learning systems operationalised and used? Why or why not?	Evidence that project resources were set aside for M&E-related activities and systems are in place to capture lessons; operational or strategic management decisions have been influenced by M&E results (including decisions around portfolio selection and risk management)	<b>Evaluation Phase:</b> OMPR <b>Data sources:</b> Document review Key informant interviews E-survey <b>Methods:</b> Portfolio analysis Literature/document review
Effectiveness of CBFF projects in achieving intended results and their drivers		
<b>EQ16.</b> To what extent did women and ethnic minorities participate in delivering the CBFF projects, and why?	Degree to which the project's design documents target the participation of women and/or members of minority groups in delivering the project; gender is clearly defined in the project's design and implementation; design takes account of different patterns of resource use by different groups.	<b>Evaluation Phase:</b> PPR and Case Studies <b>Data sources:</b> Document review E-survey Interviews In country visits / Key informant interviews Focus group discussions

	<p>Mechanism(s) used to ensure/facilitate participation of target groups in the project's (i) design and (ii) implementation (eg separate provision for participation in consultations) , and with what level of success.</p> <p>Numbers of women/members of minority groups that participated and with what level of influence. Proportion or percentage of the total participants represented by women and/or minority group members (percentage out of total beneficiaries. Information on funds allocated to women is not available.).</p>	<p><b>Methods:</b></p> <p>Gender and vulnerability assessment Portfolio analysis</p>
<p><b>EQ17.</b> To what extent were the CBFF projects/interventions effective or not effective in generating the expected outcomes? What are the key success/limiting factors?</p>	<p>Score given to the project using the CBFF's satisfaction scorecard (if available) in the most recently available monitoring or completion report</p> <p>Assessed evidence provided to support the projects' reported results.</p>	<p><b>Evaluation Phase:</b> PPR and Case Studies</p> <p><b>Data sources:</b></p> <p>Project documents Online survey Key informant interviews</p> <p><b>Methods:</b></p> <p>Cross-case analysis and pattern matching</p>
<p><b>EQ18.</b> To what extent have the CBFF projects benefitted primary intended impactees especially forest dependent communities, women, ethnic minorities, children, COMIFAC and Central African Governments?</p>	<p>Extent to which the projects target the CBFF's intended beneficiary groups; reported benefits actually accrued by the project's different intended beneficiary groups as a result of the project.</p>	<p><b>Evaluation Phase:</b> PPR and Case Studies</p> <p><b>Data sources:</b></p> <p>Project documents Key informant interviews Beneficiary interviews Focus group discussions</p> <p><b>Methods:</b></p> <p>Gender and vulnerability assessment</p>



<p><b>EQ19.</b> How appropriate are the intended results - as represented by the indicators - for contributing to the intermediate outcome and what factors facilitated or limited the achievement/non-achievement of results at immediate outcome level?</p>	<p>Extent to which the CBFF results frame indicators are SMART, necessary and/or sufficient to achieve the intermediate outcome, and aligned to the ToC; extent to which the various categories of project contributed to achieving the outcomes; assessed contribution of factors to achievement of outcomes.</p>	<p>Most significant change stories</p> <p><b>Evaluation Phase:</b> PPR and Case Studies</p> <p><b>Data sources:</b></p> <p>In country visits</p> <p>Key informant interviews</p> <p>Beneficiary interviews/focus group discussions</p> <p><b>Methods:</b></p> <p>ToC analysis</p>
<p>Extent of overall CBFF project intended and unintended results, and their sustainability and contribution to relevant long-term and strategic development outcome changes in the Congo Basin.</p>		
<p><b>EQ20.</b> To what extent have the CBFF and its projects generated unintended results?</p>	<p>Assessed evidence of unintended results (positive or negative) recorded in project documents/evaluations and/or communicated by project participants/stakeholders.</p>	<p><b>Evaluation Phase:</b> PPR, OMPR and Case Studies</p> <p><b>Data sources:</b></p> <p>Document review</p> <p>Key informant interviews</p> <p><b>Methods:</b></p> <p>Case study analysis</p>
<p><b>EQ21.</b> To what extent were the CBFF projects designed and implemented to ensure the sustainability of their results?</p>	<p>Number/proportion of projects with a plan for ensuring the sustainability of results; sufficiency of sustainability plans; level of implementation of a sustainability strategy; level of sustainability achieved.</p>	<p><b>Evaluation Phase:</b> PPR and Case Studies</p> <p><b>Data sources:</b></p> <p>Document review</p> <p>Key informant interviews</p> <p>Focus group discussions</p> <p><b>Methods:</b></p> <p>Portfolio analysis</p> <p>Case study analysis</p>

<p><b>EQ22.</b> To what extent are the CBFF project benefits/results likely to be sustained? What are the key factors facilitating/limiting the sustainability of the CBFF project benefits – especially financial, institutional, social, environmental, economic and political aspects?</p>	<p>Via the sustainability analysis framework, extent to which a set of necessary and/or sufficient financial, institutional, social, environmental and political elements present to ensure future sustainability of project results.</p>	<p><b>Evaluation Phase:</b> Case Studies  <b>Data sources:</b>  Document review  Online survey  Key informant interviews  <b>Methods:</b>  Sustainability analysis</p>
<p><b>EQ23.</b> To what extent have the CBFF project results contributed to Congo Basin Development outcomes:</p> <ul style="list-style-type: none"> <li>(i) poverty alleviation;</li> <li>(ii) reduced deforestation;</li> <li>(iii) reduced forest degradation;</li> <li>(iv) enhanced forestry sector value added;</li> <li>(v) increased benefits from forest resources;</li> <li>(vi) increased stakeholder participation in sustainable forest management (including women, ethnic minorities and private sector)?</li> </ul>	<p>Assessed degree of alignment between CBFF’s results and each of the six development outcomes; extent and significance of contribution of the CBFF to each.</p>	<p><b>Evaluation Phase:</b> Evaluation Report  <b>Data sources:</b>  Programme documents (in particular RBM)  ToC analysis from other similar programs  Project documents  <b>Methods:</b>  ToC analysis  Contribution analysis</p>
<p><b>Performance</b> of the key CBFF stakeholders —the GC, Bank (including CBFF Secretariat), project grantees/implementing partners (NGOs and CSO beneficiaries of the CBFF) Governments and regional bodies in designing and delivering the CBFF projects and ensuring the sustainability of their results</p>		
<p><b>EQ24.</b> How well the key CBFF stakeholders worked together for the purpose of achieving the strategic objectives and outcomes of the CBFF? What factors facilitated or hindered collaboration?</p>	<p>Level of involvement of CBFF stakeholders in the design and implementation of the projects; participation of stakeholders in different types of decisions / meetings; frequency with which key stakeholders met; assessment of which aspects of their participation helped the project contribute to achieving the CBFF’s strategic objectives and outcomes and which aspects were problematic.</p>	<p><b>Evaluation Phase:</b> OMPR  <b>Data sources:</b>  Literature/document review  Key informant interviews  E-survey  <b>Methods:</b>  Institutional Systems Review  Rubrics</p>

<p><b>EQ25.</b> To what extent was the quality of services of the GC efficient and effective?</p>	<p>Extent to which the GC provided clear strategic leadership to the CBFF; extent to which the GC's decisions and guidance enabled the CBFF secretariat to manage the fund and portfolio effectively.</p>	<p><b>Evaluation Phase:</b> OMPR  <b>Data sources:</b>            GC minutes and reports            Key informant interviews  <b>Methods:</b>            Survey and scorecard (semi-structured)            Portfolio analysis</p>
<p><b>EQ26.</b> To what extent was the quality of the Bank services for quality-at-entry and of supervision of the CBFF projects satisfactory?</p>	<p>Assessment of level of reported satisfaction of grant recipients, project executants and CBFF secretariat with the quality of the AfDB's process for selecting CBFF projects to support, timeliness of the disbursement of CBFF funding and the level of supervision provided.</p>	<p><b>Evaluation Phase:</b> OMPR  <b>Data sources:</b>            Review of CBFF programme documents            Key informant interviews  <b>Methods:</b>            Survey and scorecard (semi-structured)            Portfolio analysis</p>
<p><b>EQ27.</b> To what extent did the CBFF project grantees/implementing partners assume ownership and responsibility to ensure quality of preparation and implementation, and comply with covenants and agreements, towards the achievement of the project outcomes and sustainability?</p>	<p>Degree to which grantees/implementing partners prepared and implemented the project in a professional manner/to sufficient quality; ability of and efforts made by grantees to comply with all relevant covenants and agreements within the framework of the CBFF grant.</p>	<p><b>Evaluation Phase:</b> PPR  <b>Data sources:</b>            Review of CBFF programme documents            Key informant interviews  <b>Methods:</b>            Survey and scorecard (semi-structured)</p>
<p><b>EQ28.</b> How well the project grantees ensured effective participation of key impactees including</p>	<p>Mechanism(s) included in the project's design to ensure participation of the target impactees;</p>	<p><b>Evaluation Phase:</b> PPR and Case Study  <b>Data sources:</b></p>

<p>forest-dependent communities, ethnic minorities, women and COMIFAC?</p>	<p>assessed evidence of how and to what extent impactees participated in project implementation.</p>	<p>Review of CBFF programme documents Key informant interviews and in-country visits; beneficiary interviews/Focus group discussions/Community timelines</p> <p><b>Methods:</b> Case study Gender and vulnerability assessment Portfolio analysis</p>
<p><b>EQ29.</b> How well the CB Governments and Regional Institutions/bodies participated in the design and implementation of the CBFF projects?</p>	<p>Level of involvement of CB governments and/or regional institutions in the design and implementation of portfolio projects, and in what capacity. Number and type of project with such involvement; types of decisions / meetings in which they participated; frequency of their participation?</p>	<p><b>Evaluation Phase:</b> OMPR <b>Data sources:</b> CBFF programme documents Project documents (annual reports and 6-monthly reports) Key informant interviews <b>Methods:</b> Portfolio analysis</p>
<p><b>Forward Looking Aspects</b></p>		
<p><b>EQ30.</b> What are the emerging strengths, weaknesses, constraints and opportunities in managing and implementing the CBFF and its projects?</p>		<p><b>Evaluation Phase:</b> Evaluation Report <b>Data sources:</b> Outputs from earlier evaluation phases Reflection and lesson learning workshop with AfDB</p>
<p><b>EQ31.</b> What are the key risks, constraints and opportunities that the CBFF will have to continue to deal with?</p>		<p><b>Methods:</b> Synthesis of analysis</p>

<p><b>EQ32.</b> What are the key options for improving the implementation performance of the CBFF and its projects?</p>		
<p>Conclusions, lessons learned and recommendations</p>		
<p><b>EQ33.</b> On the basis of the evaluation findings, what are the key conclusions, lessons and recommendations to be drawn?</p>		<p><b>Evaluation Phase:</b> Evaluation Report  <b>Data sources:</b>            Outputs from earlier evaluation phases            Reflection and lesson learning workshop with AfDB  <b>Methods:</b>            Synthesis of analysis</p>

\* Please note that, during the Inception Phase, two new EQs were added to the evaluation matrix (EQs 6 and 7), as original EQs did not ask about the relevance of the CBFF results framework. EQs 14 and 19 were revised significantly, while EQs 2, 12, 16, 17 and 20 had minor revisions to the language.

### 3.2.1 Data Collection Methods

The data collection approach has not changed since the evaluation proposal, however the evaluation framework is based on a set of predefined sub-questions, which have been developed to ensure the information necessary to answer the EQs is captured. The document review questions and draft online survey and stakeholder interview questions are outlined in Annex 2. The Team Leader will have responsibility for coordinating data collection to support the evaluation. Field data will be collected by a national lead and the gender and vulnerability specialist.

**Desk-based document review:** During the data collection phase, the evaluation team will build on the initial document review conducted during the inception phase. The team will work closely with all relevant stakeholders to gather additional documentary information concerning the CBFF. The document review will draw upon all project documentation made available to the team by AfDB and the project implementers. This will include:

- CBFF programme and project documents provided by AfDB, including copies of previous evaluations, project documents (proposals, ToC and logframes, appraisal reports, annual reports, completion reports, M&E reporting), the CBFF portfolio file, AfDB Board decisions, minutes of the GC, etc.;
- Congo Basin country strategies and policies (in particular forest/climate change/development policies); and,
- Publicly available information on other sustainable forestry funding institutions to act as benchmarks, other Congo Basin initiative documents/websites.

We will also conduct a snowball search<sup>11</sup> of relevant peer-reviewed and grey literature, which may include reviews of CBFF projects, similar projects, and impact assessments of other donor projects taking similar approaches.

**Key informant interviews:** Semi-structured interviews will be used to guide the interviews with key informants. The interview questions will include key questions but will also allow for the inclusion of additional thoughts provided by the interview partners and inspiration for innovative and improved ideas. Building on the evaluation questions from the ToR, we have drafted preliminary set of semi-structured interview questions (Annex 2). This is a list of questions and topics that need to be covered during the conversation, usually in a particular

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<sup>11</sup> In a snowball sampling, search terms will be expanded based on relevant similar topics and from bibliographical references. Thus the sample group is said to grow like a rolling snowball. As the sample grows, this results in a saturated and diverse information base. This sampling technique is often used in hidden populations which are difficult for researchers to access; example populations would be drug users, sex workers, or unpublished or less known literature. As sample members are not selected from a sampling frame, snowball samples are subject to numerous biases.

order. We will follow the guide, but we will also be able to follow topical trajectories in the conversation that may stray from the guide, when appropriate<sup>12</sup>.

IDEV has provided a list of contacts for each of the key stakeholder groups listed in The Evaluation Team will discuss the stakeholder list with the ERG once the ERG is in place to make sure there are no gaps.

Table 3. The list provided matches the Evaluation Team’s expectation of key stakeholders. In addition, the evaluation team will approach other stakeholders that may also be relevant. These include other government and public sector stakeholders in the region, including government forestry ministries, organisations which fund or operate similar programmes (e.g. the World Bank / Forest Carbon Partnership Facility, the United Nations REDD facility (UN-REDD), the European Union (ECOFAC), the United States Agency for International Development (USAID: Central Africa Regional Programme for the Environment; CARPE) CBFP, international NGOs (the World Wide Fund for Nature; WWF, Rainforest Alliance, Wildlife Conservation Society, etc.) and other local NGOs and CSOs, including women’s groups and indigenous peoples’ groups. The Evaluation Team will discuss the stakeholder list with the ERG once the ERG is in place to make sure there are no gaps.

Table 3. Sampling frame for key-informant interviews

<b>Stakeholder list</b>
Core CBFF team members
CBFF GC
Representatives of donor government bodies
Funded partner organisations
Institutional partners (COMIFAC, ECCAS, CBFP)
Relevant government departments in project countries

**Focus group discussions:** In some cases, individual interviews will be complemented and / or substituted by Focus Group Discussions (FGD), where it can be expected that the information gain is higher if the stakeholders are brought together and can discuss and react to each other’s views. For example, it is expected that focus groups will be used when speaking with project beneficiaries during the case studies.

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<sup>12</sup> ‘Semi-structured interviewing is best used when there is only one chance to interview someone. The semi-structured interview guide provides a clear set of instructions for interviewers and can provide reliable, comparable qualitative data. Semi-structured interviews are often preceded by observation, informal and unstructured interviewing in order to allow the researchers to develop a keen understanding of the topic of interest necessary for developing relevant and meaningful semi-structured questions. The inclusion of open-ended questions and of relevant topics that may stray from the interview guide does, however, still provide the opportunity for identifying new ways of seeing and understanding the topic at hand’. (Robert Wood Johnson Foundation, Qualitative Research Guidelines Project, Semi-Structured Interviews).

It is anticipated that we will always conduct at least two FGDs per site visited. Firstly, we will separate male and female beneficiaries. Secondly, two to four FGDs add validity to the findings: patterns observed in the discussions of several groups are less likely to be due to unrepresentative views of the individuals concerned or to misinterpretation of contributions by our evaluation team.

We will ask for FGDs to be organised in ways which reflect the make-up of the community (i.e. including some female headed households, some older and some younger beneficiaries, minority ethnic groups). Appropriate participatory tools will be designed to collect data in relation to evaluation questions. FGDs will be run by team members highly skilled in rural facilitation and communication techniques. Probing, evidence checking and consensus building techniques will all be used for in-group triangulation of data.

**Physical observation:** In as far as it is possible, the evaluation team will also conduct physical observation of project activities and conduct individual interviews with key project committees, community members involved in sustainable forest management activities or forest-related livelihood activities and with other community members who were not selected to be part of the project. Project site visits will be used to gather as much rich information about the projects' progress and factors which have enabled or constrained the changes they aimed to create. The field visits are meant to produce a deeper insight to find out more about the innovative and transformational nature of the project, the extent to which the project has created sustainability and what elements could be scalable. The field visits also provide an opportunity to explore the extent to which the operational procedures applied under CBFF facilitated or slowed-down project implementation. Interview protocols, will guide semi-structured interviews and focus group discussions and supported by physical observations of project activities. Common protocols will help ensure consistency between the case study team and enable data analysis between cases. The evaluation questions and semi-structured interview guide are presented in more detail in Annex 2.

**Online survey:** A draft online survey is attached (Attachment 2). It has been drafted for project participants to capture additional information not included in the standard project reporting and will help promote consistency in information collected. The draft questions are subject to change as they require further discussion and agreement with the ERG. Surveys are appropriate data-collection tool for helping to answer questions such as: 'How efficient were the CBFF partnerships/collaboration with NGOs, CSOs, regional institutions and CB governments?' Additionally, surveys from an open source provider such Survey Monkey are an easy way to follow up with respondents already interviewed. This approach allows the Evaluation Team to pose further questions aimed at confirming and collect additional evidence to support unexpected findings during the analysis phase.



## 3.2.2 Data Analysis Methods

The data analysis methods have not changed since the evaluation proposal. However, during the Inception Phase, a programme-level ToC (Section 3.4) was developed based on the RBM and the draft data collection tools and questions have been developed (Annex 2).

Information on the proposed methods is detailed below:

**Data quality analysis:** During the analysis phase, we will review the quality of the facts, insights, and opinions collected, and create evidence based protocols to ensure sufficient triangulation of findings. Notes from all data collection activities will be rapidly coded based on key themes emerging in relation to the evaluation framework. This will enable the team to draw out findings and the evidence that support these findings. In turn, these findings will be used to build conclusions and recommendations (refer to Section 4.1 for details of the approach that will be used to ensure the quality of the evaluation data and evidence).

**Evaluation tailored rubrics:** Ideal for complex evaluations with diverse portfolios like the CBFF, evaluation rubrics outline clearly defined criteria for making explicit the judgments used in an evaluation and help ensure consistency across a range of evaluators (for example, Table 4). They also help to compare results between different cases in order to identify key themes and support areas for deeper analysis. We propose to use rubrics to assess the 38 CBFF projects' alignment with the CBFF objectives. The evaluation team will use this to assess the potential impact of the portfolio.

**Portfolio analysis:** The portfolio analysis will analyse data on the portfolio of projects funded by the CBFF to understand differences across the projects and across the four dimensions discussed under sampling (project status, geographic coverage, thematic coverage and management agency/grantee type). This will cover a range of indicators from the CBFF and project logical frameworks. It will look at performance (disbursement and delivery); coverage; monitoring and evaluation performance; availability of lesson learning and possible responses; and the extent to which gender, inequality and other relevant cross-cutting issues have been tackled across the portfolio. Value for money (data permitting) will also be evaluated across the different types of projects and at fund management level.

A set of score cards will be applied to capture project and programme level information, such as that shown in Table 4. This table is based on the AfDB/CBFF satisfaction scorecard for completion reports, which uses the following grades:

1. Unsatisfactory
2. Moderately satisfactory
3. Satisfactory
4. Highly satisfactory

To which a fifth category: D/I, for 'insufficient data to assign a score' has been added. The specific scoring definitions for each category will be further defined for the PPR.

Draft descriptions of performance that would justify each score will be shared with the ERG before finalisation.

Table 4. Example of portfolio scorecard with descriptive scores

1. Extent to which the programme has met, or is likely to meet its own targets	
Score	Description
<b>4. Highly satisfactory</b>	The programme's intended results at output and outcome level have been achieved or exceeded; results can be clearly attributed to the project's interventions.
<b>3. Satisfactory</b>	A majority of the programme's stated objectives, outcomes and results have been achieved; there is evidence that results can be at least partly attributed to the project's interventions.
<b>2. Moderately satisfactory</b>	A minority of the programme's stated objectives, outcomes and results have been achieved; there is some evidence that results can be partly attributed to the project's interventions.
<b>1. Unsatisfactory</b>	Few of the programme's stated objectives, outcomes and results have been achieved; and/or there is little evidence that results can be even partly attributed to the project's interventions.
<b>D/I (data insufficient)</b>	The criterion was considered but data were insufficient to assign a rating or score: Provide explanation

**Cross-case analysis and pattern matching:** As part of the portfolio performance review, we will use pattern matching and hypothesis building to identify factors contributing to successful and unsuccessful projects and explore aspects such as reputational effects.

**VfM analysis:** DFID (2011) *Approach to VfM* highlights the importance of developing a better articulation of costs and results. Given that the majority of CBFF projects are complete or close to completion, the VfM analysis will focus on cost-effectiveness analysis (data permitting). This outcome focused and studies the extent to which outputs from an intervention are achieving the desired outcome (such as forest conservation or poverty reduction). The costs incurred in achieving the desired outcome can then be investigated.

This requires reliable monitoring data documenting results and financial reporting information that enables costs incurred in relation to particular outputs to be isolated. The availability and quality of information for this analysis will be assessed during the PPR. Assumption-based approaches can then be used to apportion management or indirect costs which may not be recorded in a way that allows them to be attributed to outputs. A limitation of this approach is that findings may not all be contextualised if outputs differ across sites and reports do not contain sufficient information. The case studies will be used to contextualise findings but this will only be possible for some projects.

**Sustainability analysis:** As part of this analysis we will build a sustainability framework, outlining the impacts we would expect to see if the projects are likely to be sustainable (for

example, money deployed, local engagement, demonstrated understanding of other users). As part of the case study data collection, we will visit a sample of pilot projects to test whether our hypothesis that these factors are likely to lead to sustainability by comparing results still visible on-the-ground with our framework. We will then refine the framework and apply it to the ongoing CBFF projects to critically evaluate which projects are likely to be successful, and to provide recommendations on what actions can be taken to improve the likelihood of achieving sustainable results.

The ***Institutional Systems Review*** (ISR) will provide the framework needed to allow a detailed and systematic mapping of the governance and management processes of the CBFF. The ISR is a score card based system and produces a scale for grading the evidence that criteria for successful use of institutional systems and for comparing performance across different entities. The evaluation team will draw on the literature to build on the questions provided in the ToR that align with best practice and are tailored to CBFF structures and processes. The ISR will enable the team to understand the extent to which AfDB achieved a quality service in providing support to the CBFF projects (such quality-at-entry and supervision support) projects.

Identification of the criteria necessary to assess AfDB's capacity and achievements from an organisational and management performance perspective will be developed in consultation with the ERG once in place. For example, AfDB's appropriate use of financial management and audit systems, and ability to work effectively with key stakeholders and projects. Then, our evaluation team will identify a simple scale for scoring the evidence of the CBFF Trustee and/or projects meeting those criteria as strong, weak, or lacking.

The evaluation questions related to the institutional structure, governance and management of the CBFF will be used to identify key findings related to the project cycle, including application selection and management, internal management, as well as adaptive management. For example, addressing risk well could be defined as frequently updating the risk register and reviewing risks and mitigation actions at the appropriate management level; using human resources effectively could be defined as staffing appropriately and providing staff personal development plans and training.

A ***comparative assessment*** will be conducted to compare the CBFF to other similar forest/climate funding schemes, such as Global Environment Facility, FCPF and CAFI, Climate Investment Funds (CIFs) (e.g. the Forest Investment Programme), other AfDB initiatives, such as, PACEPCo, WWF's Green Heart of Africa programme, the U.K. Government funded Darwin Initiative. This assessment will support the formulation of lessons that could improve future climate finance. The analysis will compare the strategic objectives of some SFLM and conservation funds with those of the CBFF.

**Contribution analysis:** Using a ToC analysis means starting out with a theory of the causal relationships between project results, programme's outputs, and checking that the theory is valid against the evidence. As part of this analysis, our evaluation team will seek evidence for changes at all relevant different points along the ToC.

During the inception phase, our evaluation team will introduce score cards that systematically assesses the performance of each of the projects inside the CCBF programme on output indicators, and on causal links and assumptions for all other relevant questions. The pre-agreed criteria will match with the overall programme objectives. For doing this, our evaluation team will develop criteria which are objective and verifiable (and that minimise external bias or subjective assessments).

Our evaluation team will code the evidence and categorise it according to whether it supports or undermines a causal pathway or assumption of the ToC: indicators for outputs, a narrative of change, evidence of the factors that have / will affect that change; the assumptions regarding the effect of those factors in terms of their scope to support or constrain the achievement of the mapped outcomes.

The team recognises that evaluating the impact of CCBF on its objectives will raise additional challenges. The evaluation team will (i) determine the extent of change; (ii) establish a link between programme and observed change; and (iii) discount or account for rival hypotheses or alternative feasible explanations that could explain the observed change.

CBFF outcome and impact objectives involve changes in benefits to Congo Basin governments and communities (reduced poverty and improved social well-being), and increased sustainable management and decreased deforestation in the Congo Basin. Objective result figures on these changes may not be readily available, and our team will look for non-direct sources of information, such as experts' opinions or behaviour change of policy makers and beneficiaries.

**Gender and vulnerability assessment:** The gender analysis will examine the extent to which:

- The design of the CBFF programme and the CBFF funded projects considered gender inequality and included activities to ensure the participation of vulnerable groups and both genders: for example, were projects required to include gender within their design?
- The implementation of the CBFF enabled both women and men, and other vulnerable groups or minority ethnicities to participate and benefit.
- The results of the CBFF contribute to greater gender equality.

We will also seek to ensure that the voices of both women and men and those of other vulnerable groups targeted by the projects are heard. (Refer to Annex 2 for details of the gender and vulnerability questions included in the evaluation).

**Data synthesis:** The synthesis will bring together the findings from across the portfolio, by comparing, contrasting, and integrating the empirical evidence on which factors contributed to which change. We will also be able to identify overarching themes and key insights running across the programme. This will, for example, help understanding of how CBFF complements other schemes seeking to achieve similar goals. The evaluation will rely on synthesis methods to draw useful, policy-relevant findings from large heterogeneous data sources.

A range of synthesis methods will be considered and applied when analysing data and formulating findings. The evaluation will use a **systematic approach** to selecting, critically appraising and synthesising the evaluation results. All project documents will be systematically reviewed. Some level of **cross-case synthesis** will also be used for pattern matching and to identify common trends across the CBFF portfolio, however this approach has limitations on external validity (i.e. the results are context specific and not easily generalised). **Realist synthesis** is particularly relevant as it seeks to ‘unpack the mechanism’ of how complex processes work (or why they fail) in particular contexts and settings. Realist synthesis is expected to be the most useful method for drawing lessons that apply to other contexts. It will therefore be primarily used to draw conclusions from the evidence collected, given the theory based nature of the CBFF evaluation. The evaluation team will use this method to first summarise the raw data (interview transcripts, reports, etc.). The summarised statements / propositions will then be used to provide evidence (or not) that support the presence of the outputs / outcomes / impacts being tested. Finally, the evaluation team will go back to the data to identify evidence for the mechanism linking outputs, to outcomes, to impact, to build the case for causality.

**Lesson learning:** The aim of lesson learning is informing future action. In this case, learning comes primarily from reflections on what stakeholders would have done differently and better had they known during the programmes what they now know in hindsight, but also understanding of the unexpected impediments and enabling factors for success. Since the aim of CBFF was to fund innovative projects and initiatives, it is important to assess and categorise what innovative approaches have been funded and what successes were achieved across the entire portfolio of projects funded.

## 3.3 Limitations

This section reviews the potential limitations facing the evaluation, including an in-depth discussion of the limitations of the individual evaluation methods used.

### 3.3.1 Availability of evaluation stakeholders

At the time of submitting the Inception Report, the ERG was still being formed. As such, some engagement with the ERG which was expected to happen during the Inception Phase

will occur in response to the Inception Report itself and through separate discussions that will happen over the coming weeks. The evaluation may be limited in how it can address all areas of interests of these stakeholders, if they are significantly different than the issues addressed in this report.

The areas that will require more detailed engagement over the coming weeks include:

- Comments on the evaluation matrix (the revised EQs and approach)
- Discussion of the assumptions underlying the evaluation ToC.

### 3.3.2 Data availability

The AfDB IDEV and CBFF Secretariat have been very prompt and supportive when it comes to sharing CBFF programme and project documents, which they started sharing immediately after the evaluation contract was in place. It is clear that AfDB is willing to share all documentation with the Evaluation Team. Nevertheless, there may be missing data and it is currently unclear whether some of these documents may be missing (due to gaps in document filing). Where AfDB is not able to locate certain documents, the Evaluation Team will request these documents directly from the project executives. It is expected that most documents will become available at some stage, it is likely that there will remain limitations in the availability of data. However, some gaps in access to documents is likely to remain and document access is likely to involve delays in accessing some documents and the information reported is likely to have inconsistencies due to variations in reporting.

### 3.3.3 Data quality

The evaluation team cannot assure all data to source. Field visits will make some spot checks and verification of project results, to assess the accuracy of the fund results reporting. However, despite this, there may still be inaccuracies in the data reported by project implementers. Data quality may also be limited as information required for the evaluation may not be consistently included. Where possible, this will be collected through stakeholder interviews and field visits, but this will not be possible in all instances.

### 3.3.4 Limitations of the evaluation methods

Any research method involves necessary trade-offs. Specific weaknesses of the proposed methods include the following:

- **Literature/document review:** Relies on secondary data and may not be applicable to specific interventions/projects. Additional challenges exist given differences in reporting across projects and that not all documents are available for review.
- **Portfolio analysis / Cross-case analysis and pattern matching (thematic synthesis) / Institutional systems review / Rubrics / Synthesis analysis:** These

approaches improve transparency but are data dependent and have a bias towards what is easy to measure and document. They look at aggregate results and enable analysis of large data sets. This generalised approach means that the nuance of outcomes/results can become lost and the analysis may not fully capture or explain the reasons for outcomes/results. Additionally, potential challenges exist in applying these methods with heterogeneity of projects that do not lend themselves to being compared. In addition, for ISR and rubrics, the definitions are largely driven by the evaluator. These methods have high potential to over-generalise results.

- **VfM analysis:** Like the above methods, VfM analysis is data dependent, which can mean that 'what gets measured counts', and the analysis can result in findings that are overly generalised. In addition, most VfM metrics can only truly be understood through comparison and benchmarking with other similar projects, programmes or funds. However, given the unique nature of the CBFF for its time, the availability of good benchmarks is reduced. The results of VfM analysis can therefore easily be misinterpreted as they do not easily reflect differences in quality of outcomes, particularly if they are quoted out of context.
- **Contribution/ToC analysis:** The ToC was developed separately by the evaluators and given the evaluation timelines and availability of the ERG it was not validated with stakeholders. Given that it has been developed at the fund rather than individual project level, it also does not capture the complexity of the funded projects. There is a need for further stakeholder input in terms of developing the ToC assumptions. In addition, the evidence base for the assumptions is potentially weak. Without a clear fund logic supported by evidence, the contribution claims may not be as strong as identified or findings may be constrained by data availability.
- **Gender and vulnerability assessment:** Based on document review and small scale validation in the field. The analysis is limited by differences in reporting across the portfolio of projects. In addition, the analysis may not fully uncover or capture the complex dynamics of intra-household dynamics and how those influence benefits derived from projects.

Nevertheless, the inherent weakness of any one method can be potentially offset by situating them within a broader, pluralistic mixed methods approach, such as the one applied here. The evaluation therefore integrates a number of different methods, using the nuanced data from the case studies to triangulate, validate and allow a strong interpretation of the results to generate fund level findings and recommendations.

### 3.3.5 Representativeness of sampled case studies and evidence provided

The CBFF has supported 38 projects (four of which were cancelled). The CBFF evaluation will include evaluative research across the portfolio of interventions, as well as eight project case studies that will draw on a sample of interventions. A purposive sampling approach has been designed, but case study findings are not necessarily generalisable to the rest of the portfolio. This has been mitigated by the use of a portfolio analysis to provide a general overview of performance.

### 3.3.6 Tendency for positive bias

Sampling will be purposive (that is, focused on ensuring specific characteristics under investigation are represented within the sample) but systematic in terms of selection, and thoroughly documented. It does not preclude the random selection of respondents within a purposively selected case study where appropriate.

Interviews will be guided by a questioning structure and protocol that determines how the interview should be conducted, specific questions to ask and ways in which the response is recorded (refer to Annexes 2 for draft survey and interview questions). Despite the clear protocols for selecting key informants and conducting and recording their responses, there remains a risk of sampling bias despite efforts made by the review to ensure impartiality.

## 3.5 Evaluation Outputs

### 3.5.1 Timings

The evaluation products for which the AfDB will manage a process, and anticipated timings, to ensure integrated feedback to the Evaluation Team are:

- Draft Inception Report (October 2016)
- Final Inception Report (December 2016)
- PPR Report (February 2016)
- OMPR Report (February 2016)
- Case Studies Report (February 2016)
- Draft Evaluation Report (March 2016)
- Final Evaluation Report (April 2016)

Note that, due to the short timeframe between background reports and the full Draft Evaluation Report, ERG comments will be integrated into the final versions of the background reports, which will form part of the Evaluation Report.



## 3.5.2 PPR Report

**PPR activities:** Review pilot project documentation (proposals, project ToCs, monitoring and evaluation reports, annuals reports, final reports), value for money (cost effectiveness) analysis, summarise and synthesise results, write portfolio review.

**Output:** Portfolio review analysis, Draft PPR Report, Final PPR Report (submitted as part of the Draft Evaluation Report).

**RFP Timing:** October 2016 to February 2017

**EQs:** EQs1-7, EQs13-14, EQs16-21, EQ27-28

### *Approach*

The portfolio analysis will (i) compile and (ii) analyse data on the portfolio of projects funded by the CBFF to understand differences across the entire portfolio and its various dimensions (including project status, geographic coverage, thematic coverage, grant size and management agency/grantee type) as well as the overall coherence, relevance, efficiency, effectiveness and impact/outcomes of the programme's portfolio.

The team will use a combination of document review and online survey to assess the projects' performance against a range of indicators from the CBFF and project logframes, and to examine performance (disbursement, delivery and monitoring and evaluation performance); reach; availability of lesson learning; and the extent to which gender, inequality and other relevant cross-cutting issues have been tackled across the portfolio. This phase of the work merges with elements of the OMPR as it relates to the organisational and management performance of grantees/project implementers: a single data collection template will therefore be used for gathering information on all aspects of the project portfolio (refer to Annex 2).

Drawing on the preliminary findings, a set of guideline questions will be elaborated as the basis of semi-structured interviews with selected key informants. Triangulation of findings will be ensured through a combination of documentary sources, survey responses and informants.

Once the project-by-project data has been obtained, the analysis phase will use pattern matching and hypothesis building to identify factors contributing to successful and unsuccessful projects and explore such issues as reputational effects and value-added to national development frameworks. Score cards and/or a traffic light approach will be applied to quantify the performance of the portfolio of projects against the core evaluation criteria.

Data permitting, a cost-effectiveness analysis will be done to assess the value for money across the different types of projects and at fund management level. During discussions with CBFF project executants, additional cost and impact data will be requested to supplement the information that has been provided by AfDB. Calculating cost per hectare (of area under conservation) and cost per beneficiary for each project requires reliable monitoring data

documenting results and financial reporting information that enables costs incurred in relation to particular outputs to be isolated, while assumption-based approaches will be needed to apportion management or indirect costs to outputs. A limitation of this approach is that findings may not all be contextualised if outputs differ across sites and reports do not contain sufficient information. The case studies will be used to contextualise findings but this will only be possible for some projects. If insufficient data is available to assess the cost-effectiveness of projects or the fund, a qualitative VfM assessment will be undertaken based on responses to the online survey, which assesses awareness and use of VfM best practices.

As a contribution to the analysis, we will build a sustainability framework to outline the impacts we would expect to see if the projects are likely to be sustainable. This will be tested during the case studies of completed projects before being refined and applied to the projects within the portfolio, to evaluate which closed projects are likely to have achieved real sustainability and which ongoing projects to be successful, and to provide recommendations on what actions can be taken to improve the likelihood of achieving sustainable results in the latter.

### *Timing and resources*



**Inception phase:** Initial rapid review of project documents

Initial work on the PPR has been done during the Inception Phase with a rapid initial project review to identify the core themes addressed by each project. Responsibility for reviewing the project documents has been divided among the team. The output of this phase will allow a preliminary assessment of the extent to which projects make up a coherent programme contributing to the intermediate outcome and goal. It will also allow identification of likely candidate projects for the case studies.

**Implementation phase: Document review** [38 projects in 28 consultant days including 4 for developing templates), e-survey and semi-structured interviews (4 days)]

A subsequent more detailed examination of documents will be conducted to generate answers to the set of questions set out in the overall evaluation framework: responsibility for conducting this more in-depth work will be divided among the team. A review template is being developed to guide the team in this work, and ensure standardised data is collected on all projects [bearing in mind that the national consultants will have on average 0.6 days per project to complete this task]. Answers obtained from the documentary sources will be triangulated via an online survey of project implementers (see initial draft set of survey questions in Annex 2), and subsequently verified/tested as necessary through semi-structured interviews with key informants, conducted by the team leader and PPR Expert and field teams. A set of guideline questions to inform the semi-structured interview

will be developed based on documentary review and survey results. Findings will be coded so as to generate the scorecard/traffic light scores.

### **Analysis phase: Portfolio performance, VFM, and sustainability analysis**

A third phase of the PPR involves analysis of the data collected, including pattern matching and hypothesis building, and VFM analysis. The whole team will be involved in this process: an online team meeting may be considered to share insights and discuss conclusions.

Once the sustainability framework has been developed and tested in the case studies, it will be applied to the portfolio projects to inform the program's sustainability and replicability analysis and recommendations. The PPR Report is due for submission on 3 February 2017.

## 3.5.3 OMPR Report

**OMPR:** Review programme management and governance documents, undertake performance review, write review.

**Output:** OMPR scorecard, OMP analysis, Draft OMPR Report, Final OMPR Report (submitted as part of the Draft Evaluation Report).

**Timing:** October 2016 to February 2017

**EQs:** EQs8-12, EQ20, EQs24-25, EQ29

### *Approach*

The OMPR intends to measure the CBFF Trustee's capacity for effective fund management. The OMPR will consist of two components, first AfDB's approach to adaptive management will be assessed (in particular, how feedback and recommendations from previous evaluations and reviews have been addressed). Second, an OMPR scorecard will be developed to assess AfDB's strengths and weaknesses and achievements in relation to the administration of the CBFF. The scorecard will be based on the ISR methodology described earlier.

### *Timing and resources*



### **Inception phase: Initial rapid review of project documents**

The desk-based document review will commence once the templates are ready. AfDB has already shared a number of key documents with the Evaluation Team.

### **Implementation phase:**

Initial OMPR outputs will be prepared first to inform key informant interviews and the CBFF project online survey. More detailed analysis will occur through key stakeholder interviews and surveys.

The OMPR Expert (Stephen Cobb) and PPR Expert (Julie Gale) will be responsible for reviewing the programme level documents with support from the Team Leader and VfM and Evaluation Specialist. The OMPR Report is due for submission on 3 February 2017.

### 3.5.4 Case Studies Report

**Data collection:** The data collection stage will involve information gathering, distribution and collation of data. It started with an initial desk review, to identify key gaps for primary data collection to ensure a robust evidence base is gathered. It will be followed by primary data collection, including interviews, FGDs and site visits.

**Data analysis:** During the data analysis stage, we will review the primary data collected and analyse it based on the tools and frameworks developed during the inception phase. Methods used during this stage will include a gender and vulnerability analysis for the CBFF projects and contribution analysis.

**Outputs:** Review of Literature Review, Interview Notes, Focus Group Discussion Notes, Gender (and Vulnerability) Analysis, Case Study Reports.

**Timing:** October 2016 to February 2017

**EQs:** EQ4, EQ7, EQ14, EQs17-22, EQ28

#### *Approach*

The purpose of the data collection and analysis (including case studies) is to understand the impacts achieved/expected and to inform lesson learning and ongoing programme management and design. The case study selection will be informed by the desk-based document review and initial outcomes of the performance review but will be an independent work package based largely on primary data collection in the field.

Evidence-based case studies of a sample of CBFF projects will complement the evidence from the portfolio review. It will focus on generating evidence on the substantive CBFF outputs and their effects (including on women and ethnic minorities). And on the key success/limiting factors – where project performance was satisfactory/was not satisfactory. The case studies will also showcase questions related to the operational management programme review.

In the evaluation proposal, a sample of six CBFF projects was proposed to inform the development of four case studies (which are likely to include gender and vulnerability; Reducing Emissions from Deforestation and Forest Degradation (REDD+) / Payments for Ecosystem Services (PES), and two other topics to be agreed with the client during the inception phase). It is now proposed to do case studies on a total of eight projects: five 'field-based' or 'national' projects and three multi-national projects, covering a minimum of three COMIFAC countries. Within the team we have a total of an average of eight consultancy days per case study, including write-up. The national projects will be visited,

while the multi-national projects will involve direct interviews either face-to-face or through telephone/Skype with selected project target groups. The report structure will be ten pages maximum per case (plus annexes).

- The themes to be covered require further discussion with the ERG.

The case study will focus on the following cross-cutting themes:

- How and to what extent the projects demonstrated innovation and sought to stimulate transformation (descriptive and analyses);
- Sustainability and what can be, or has been, capitalised of the project's results;
- Approaches to inclusivity – how and with what success the projects factored in a gendered intervention approach (and enabled participation by marginalised groups including youth);
- Capacity building – how did the projects incorporate 'strengthening the capacity of institutions based in the Congo Basin' into their interventions, and with what success;
- Any particular operational issues of the project and how this was resolved (so relationship with procedures, CBFF Secretariat, FMA, AfDB staff, auditors etc.); and
- A value statement on the project how it fits in the broader local and national context.

The four main thematic areas of CBFF projects are:

- Forest Management and Sustainable Practices
- Ecological and Socio Economic Monitoring and Baselines
- Benefits from Carbon Markets and Payment for Ecosystem Services
- Livelihoods and Economic Development

Many projects supported by the CBFF address multiple intervention areas such as defined by the CBFF RBM and further organised in the proposed ToC in this report. Projects selected for case study may have either a single area of intervention or multiple areas. As reducing deforestation requires an integrated and multi-sectoral approach it will be interesting to have a specific attention to this type of integrated projects that aims to address direct and underlying drivers of deforestation. The five intervention areas of the two ToC pathways are:

**Pathway One:** Sustainable and viable management of forest-landscapes by local communities and private sector:

- Landscape oriented projects
- Income / benefit oriented projects
- Community / civil society capacity projects

**Pathways Two:** National level building of REDD+ enabling environment and REDD+ readiness:

- National level capacity and strategy projects
- Knowledge projects

This will also be taken into account when selecting the case studies.

### *Case study selection*

Sampling for the evidence-based case studies was required. The case study projects were selected using purposive sampling based on the following criteria:

- Feasibility (accessible within one day by car/flight);
- Expected project success and interesting case for lessons learnt (based on early meetings with AfDB, the CBFF Secretariat and project executants).

Whilst ensuring coverage of the following aspects:

- Projects status (completed, ongoing);
- Grantee type / management agency (government overseeing, government implemented, international NGO, local CSO, private sector)
- Country coverage (single country, multilateral);
- Geographic coverage of national projects, a minimum of three countries (in fact, four countries were selected: Cameroon, DRC, Gabon and Rwanda);
- Size of grant - to ensure we have both large and small grants among the sample.
- Thematic coverage: a total of at least three themes/intervention areas. The 9 national case study projects and a selection of multinational projects will allow for thematic cross-cutting analyses.

Sampling was based on the complete set of 28 national projects. In order to ensure that the sample is of adequate size and representative of the diverse nature of CBFF, nine national projects were selected for evidence-based case studies that go beyond the portfolio performance review (refer to Annex 6). From the ten regional projects two to four projects will also be studied in more detail as part of the thematic cross-cutting analysis however no field visits will be carried out. The selected case studies cover all aspects of the themes listed above, whilst prioritising projects that are both accessible and have been identified as likely to have important lessons.

## Timing and resources



The case studies selected are presented in Annex 6. The case studies themselves will be implemented, including field visits, between mid-November and mid-January 2016.

The Team Leader will be responsible for coordinating the case study field work, analysis and reporting. Cameroon and DRC will each have its own national data collection team, consisting of a national lead and a gender and vulnerability expert. Once the DRC and Cameroon field work is completed, these two teams will also undertake the interviews in up to two additional CBFF countries.

The Data Collection and Analysis Report, comprising a summary presentation of findings, analyses and discussion, including as annexes the nine individual case studies, will be ready for submission on 10 February 2017.

### 3.5.5 Reporting

**Reporting:** Draft initial findings into draft report, submit report to client, receive comments, collate comments within comments matrix, address comments and include additional evidence to support recommendations, quality assurance.

**Outputs:** Findings and synthesis, ToC and contribution analysis, recommendations, Draft Evaluation Report (in English and unedited French), a virtual reflection and learning workshop, the Final Evaluation Report, technical annexes, electronic version of data collected and evidence set (i.e. analysed data).

**Timing:** February to March 2017

**EQs:** EQ23, EQs31-33

## Approach

The Evaluation Report will be based on the findings from the PPR, the OMPR, the case studies and the comparative assessment. The focus of the Evaluation Report will be to synthesise findings and to undertake over-arching analysis of the how the CBFF portfolio of projects and the CBFF governance structures contributed to the fund's objectives and results. The report will provide will focus on presenting a clear picture of the CBFF's impact to-date and sharing lessons both for ongoing fund management and for the management of similar programs. An additional visit to AfDB and the CBFF Secretariat is planned for February 2017 to present and discuss the interim findings to enable a participatory approach for stakeholders to synthesise findings.

The Team Leader will submit the Draft Evaluation Report for comments from AfDB (including peer reviewers) and the ERG. The report will include: an executive summary, introduction and background (including fund context), description of the methodology, evaluation results based

on a full analysis of findings according to the main evaluation questions, and conclusions, lessons learned and practical and actionable recommendations. This will be quality assured by the Contract Director. Our Evaluation Team will synthesise the analysis and write the draft report immediately after the data analysis phase.

After submission of the Draft Evaluation Report, the Evaluation Team will hold a reflection and learning workshop with the CBFF Secretariat. The workshop will be conducted via a virtual meeting platform to enable key stakeholders to join. This more participatory approach will provide an opportunity to engage with AfDB on the emerging strengths and weaknesses of the CBFF, to more effectively develop the findings and to ensure that the recommendations are actionable by capturing AfDB's institutional memory and expertise when developing the forward looking agenda.

### *Timing and resources*



Evaluation data synthesis and analysis will be undertaken in January, with a first Draft Evaluation Report due to AfDB on 17 March 2017. Assuming a two week commenting period by AfDB and the ERG, followed by a two week report finalisation period, the Final Evaluation Report would be submitted on 21 April 2017. However, this deadline is very much dependent comments being received from the client, ERG and relevant stakeholders by 31 March 2017.

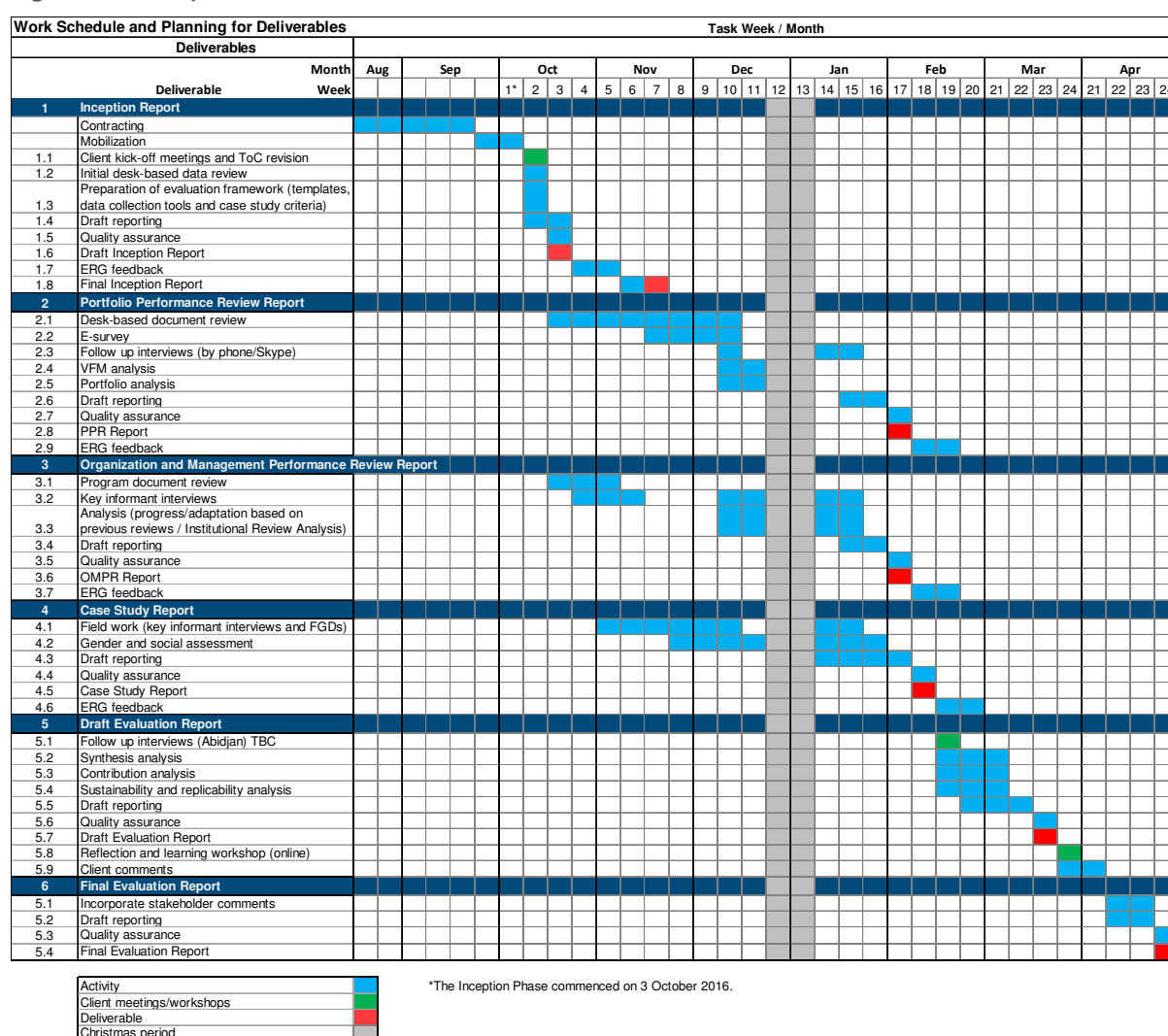
The Team Leader will be responsible for coordinating the response and integration of comments received into the Final Report, the technical annexes and executive summary, with inputs from the entire evaluation team.



## 3.7 Work Plan

The work plan (Figure 2) has been revised slightly to reflect the earlier commencement of country visits to align with the national REDD+ forum (*Le forum national de capitalisation des expériences des projets et initiatives pilotes REDD+ de la RDC*) that is taking place in DRC from 18 to 20 October 2016, which will be attended by the Team Leader, the DRC National Lead and the DRC Gender and Vulnerability Expert. Given a combination of factors (such as, delays in the formation of the ERG and security issues in some parts of DRC), some field work and follow up interviews have been delayed early January, which has affected the deadlines for the interim deliverables. Additional time has also been built into the workplan to ensure sufficient time to properly incorporate and respond to comments from AfDB and the ERG.

Figure 2. Work plan



# 4 Quality and Risk Management

## 4.1 Data and Evidence Quality Management

### 4.1.1 Triangulation

Triangulation involves using multiple data sources in an investigation to produce understanding and is used to validate a finding or theory/hypothesis developed in relation to an evaluation question. In cases where information has already been independently verified (e.g. emissions reductions certified through a voluntary carbon standard) we will not be required to triangulate the findings. However, much of the evaluation will focus on the causal inferences that resulted in the quantified outcomes (e.g. hectares under protection or number of beneficiaries) and triangulation will allow the evaluators to cross-validate findings. Triangulation can also minimise bias. In cases where some evidence is less robust than others, greater weight will be given to more verifiable sources and the potential limitations will be flagged in the analysis. Claims that are contradictory to the findings and supported by evidence may also be presented to ensure that the findings can be interpreted with full cognisance of the different perspectives in relation to a particular issue. Where data is too divergent to allow a conclusion to be reached, this will be documented and discussed with the ERG.

### 4.1.2 Strength of evidence

Information and data collated to build an evidence base for testing aspects of the evaluation of the CBFF, either from secondary data or through stakeholder interviews, will be reviewed against a 'strength of evidence' protocol. We have drawn on an existing protocol used by LTS that we believe is appropriate for the CBFF evaluation. In the case of data produced or information contained in a report, it will be reviewed for relevance to the evaluation question, appropriateness of the methodology for investigating those claims and strength of evidence provided. This will enable the synthesis of data to give greater weight in the triangulation process to secondary sources which provide verifiable and plausible claims.

Table 5 Strength of evidence protocol

<b>'Strength of evidence' protocol</b>	
<b>Verifiable evidence</b>	Refers to data that are both plausible and possible to verify. Such evidence generally describes quantifiable measures that can be physically counted. For example, the number of jobs in a company at a given time. The findings of the case studies will give the evaluators greater confidence in the ability of existing M&E systems to provide verifiable data.
<b>Plausible evidence</b>	This includes evidence which may make a plausible claim but may draw heavily on assumptions from secondary literature, for example those used to calculate greenhouse gas emissions avoided. Alternatively it may refer to evidence which is the plausible conclusion drawn by an expert stakeholder or observer. There may be evidence presented to justify this view but no methodology against which the validity of the conclusion can be verified. In the case of project reporting, plausible evidence may also include photo evidence, workshop attendance lists, copies of published reports or quotes from beneficiaries or stakeholders.
<b>Minimal evidence</b>	Some documents may simply claim an outcome but there may be no information about the data or methodology used to evidence this claim. Alternatively, a claim may be supported by some evidence but other contrary evidence is also provided.

Source: Adapted from RIMT (2008) Evaluation of the Stronger Families and Communities Strategy 2000 - 2004

It is important to note that 'verifiable' evidence (e.g. physically observable results) may only partially answer many of the evaluation questions. Therefore, we will rely on triangulation across evidence sources to have greater confidence in our responses to specific questions.

## 4.2 Evaluation Governance

At the time of submitting the Inception Report, the Evaluation Reference Group (ERG) was still being formed. However, according to the evaluation ToR, evaluation governance will consist of the following:

*The evaluation will be managed by an IDEV team. The IDEV team will be responsible for (i) overall guidance and approval of the evaluation process and outputs (inception report; draft and final evaluation reports); (ii) quality assurance process including the external peer review of the key evaluation products, and receiving comments from the CBFF Secretariat and Reference Group; (iii) recruiting the evaluation team (iv) briefing the evaluation team, and technical meetings and discussions with the evaluation team; (v) establishing the evaluation reference group (ERG); (vi) all data, evidence and materials that will be produced by the evaluation team; (vii) communicating to the Bank's Management and Board of Directors, and the CBFF Governing Council, and disseminating the evaluation results to the key stakeholders. IDEV will also recruit at least two competent and experienced international*

*experts (content-area; evaluation) for the external peer review of the CBFF process and outputs; (viii) ensuring the payment of the consultant.*

*The CBFF Secretariat will provide necessary logistical support to the evaluation team especially in arranging stakeholder meetings, and facilitating access to relevant documents/reports and database, and to CBFF project sites and grantees/beneficiaries. The CBFF Secretariat will also review and comments on the CBFF evaluation process and products.*

*The CBFF evaluation reference group (CBFF-ERG) will be composed of selected Bank staff (IDEV, OSAN/CBFF Secretariat, East Resource Center (EARC), Central African Region, African Natural Resources Center (ANRC) and Research Department (EDRE)), and representatives of CB NGOs and CSOs, CBFF project implementing partners, COMIFAC and development partners. The CBFF-ERG will review and comment on the CBFF evaluation process and outputs (inception report; evaluation reports), and also provide a sounding platform for rapid feedback especially on the evaluation plan (including design and methods) and emerging evaluation findings.*

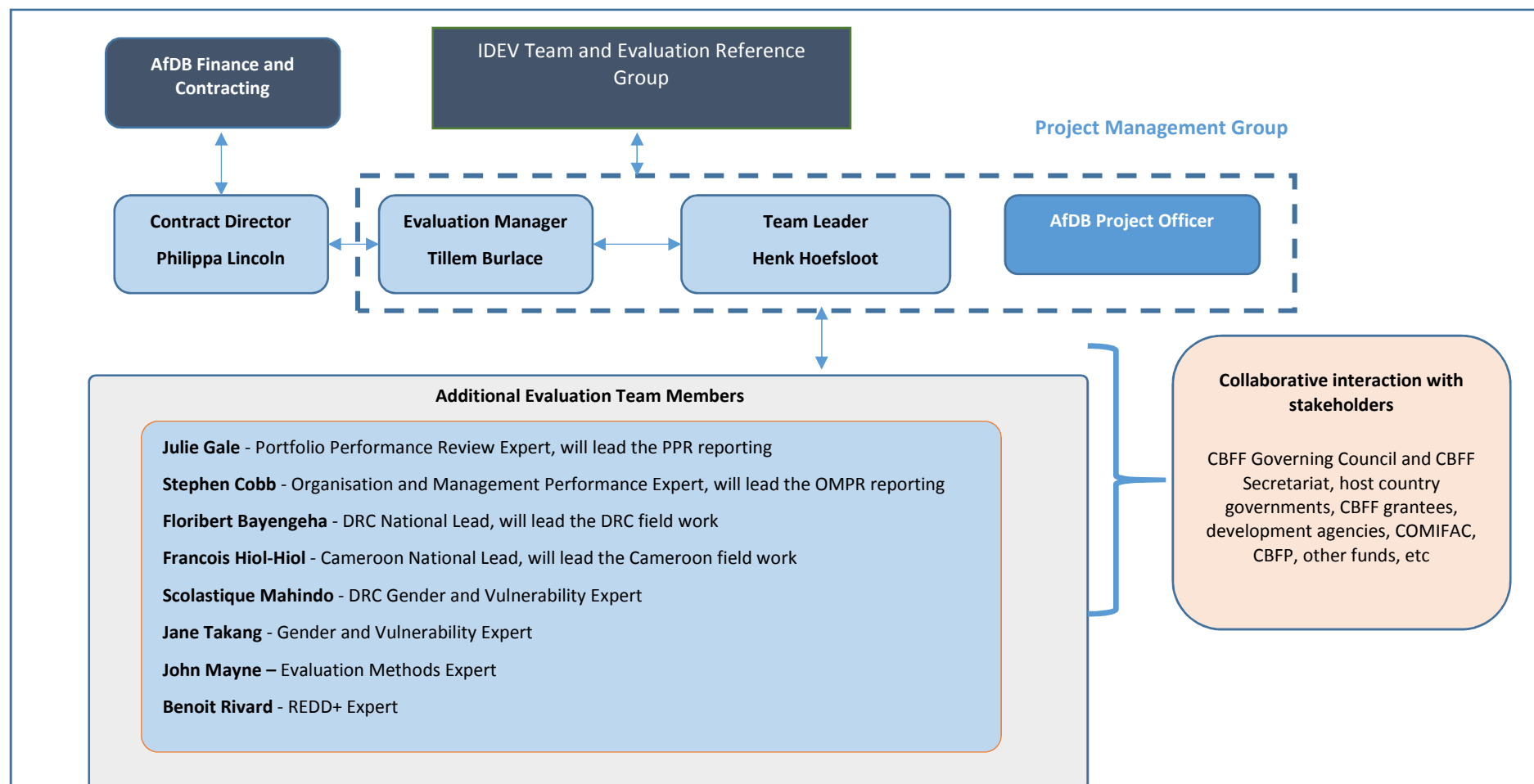
## 4.3 The Evaluation Organisation and Team

The Team Leader will liaise directly with AfDB governance management arrangements including the IDEV team, CBFF Secretariat and the ERG as set out in the ToR and as per our approach to managing the contract (see below).

We propose that overall project leadership should be the responsibility of a three-person Project Management Group comprising the Team Leader, the Evaluation Manager and the AfDB project officer with contract oversight responsibility. This team will be jointly responsible for strategic oversight throughout implementation and its members will be responsible for channeling information and decisions to others within their organisations. The Team Leader will be specifically responsible for reporting on operational aspects of the evaluation and will convey all decisions made by the group to the wider evaluation team. The Evaluation Manager will be responsible for administrative and financial issues, ensuring that outputs are produced on time and within budget.

As described in Section 3.5, the Team Leader will be responsible for overall leadership of the evaluation. However, the evaluation approach means that the PPR Expert is responsible for developing the PPR Report, the OMPR expert for the OMPR report and the National Leads are responsible for organising and managing the field work component of the evaluation. The team composition and roles is illustrated in Figure 3.

Figure 3. Evaluation Management Structure



## 4.4 Quality Assurance

LTS is committed to a multi-layer QA system, which addresses all dimensions of quality, including evaluation design, process, outputs, team, and timeliness. The team will be guided by open dialogue with the client, the OECD-DAC Quality Standards for Development Evaluation, the Evaluation Cooperation Group's Big Book on Evaluation Good Practice Standards and the UK Magenta Book on Evaluation to ensure a quality evaluation process and product and will include consideration to issues of impartiality, independence, credibility and usefulness. Quality is important as well-designed evaluations generate reliable results, which can be used and quoted with confidence. They enable policies to be improved, generate a scientific basis for decision making and feed into future decision making.

The evaluation will adopt the following QA procedures:

- Develop compliance checklists, and agree on milestones and meetings based on contract needs and discussions with the client during the inception phase.
- Compile comprehensive documentation of all actions (e.g. delivery of deadlines, contracts, reports, peer review) in the project file.
- Carry out a quality review of all deliverables that assesses compliance to process criteria (focus on how the evaluation has been conducted, e.g. relevance, timeliness), normative criteria (focus on evaluation behaviour, e.g. independence) and technical criteria (the focus is on attributes of the evaluation methods, e.g. reliability and validity).
- Maintain clear and open communication with the client at all times.
- Seek feedback from the client and incorporate all feedback into evaluation design, process, and outputs.

The entry QA (at evaluation design) is most important phase for technical QA and will in particular address (i) evaluation questions, (ii) choice of methodology, (iii) identification of data sources and sampling strategy, (iv) appropriate data quality verification methods, and (v) potential risks and risk mitigation activities. Comments and recommendations will be provided to the evaluation team.

All draft reports will be reviewed by the QA Expert and signed off by the overall Team Leader. The exit QA will check the contextualisation of the issues, robustness of data collection and analysis, consultation of stakeholders and beneficiaries, validation and cross-referencing of findings, provision of evidence-based conclusions, and practicality of recommendations. The QA inputs will be available to the AfDB ERG experts.

LTS has strong back-stopping support that will be provided to the evaluation team: research analysts will be available to assist with organising and processing secondary data whilst methodological backstopping and quality assurance processes will be applied as part of LTS'

ISO 9001 certified quality management system (for the provision of consultancy and project management services).

Our experienced Contract Director, Dr Philippa Lincoln, will provide internal management and QA oversight of the process. She will apply quality checklists to ensure the quality criteria are met and ensure that the final reports demonstrate a robustness of data collection and triangulation of findings. Additional quality assurance will be provided through the evaluation governance systems (explained in Section 4.2).

## 4.5 Evaluation Risks

The quality assurance systems described in the previous section are implemented to minimise the evidence and methodological risks to this evaluation. Risks that can and will be managed through these systems are sample and selection biases. However, a number of external factors pose risks that cannot be managed by these systems. These evaluation risks are presented in Annex 4.

# Annex 1. Evaluation ToR

## AFRICAN DEVELOPMENT BANK

### TERMS OF REFERENCE

## Evaluation of the Congo Basin Forest Fund

### 1. Introduction

The Independent Development Evaluation (IDEV) of the African Development Bank Group (the 'Bank') requires the services of a consulting firm with experience in evaluating human-natural resources systems/complex development interventions to carry out an evaluation of the Congo Basin Forest Fund (CBFF). The Terms of Reference (ToR) sets out below the evaluation context, purpose and scope, and expected deliverables, timeline and management arrangements.

### 2. Context and Congo Basin Forest Fund

**Context:** The Congo Basin Rainforest (CBF) is estimated to cover about 2.1 million km<sup>2</sup> area, and is shared by ten countries; Angola, Cameroon, the Central African Republic, the Republic of Congo, the Democratic Republic of Congo (DRC), Equatorial Guinea, Gabon, Burundi, Rwanda and Sao Tome & Principe. These countries have a total population of about 135 million, representing 13.5% of Africa's total population.

Accounting for about 26% of the world's remaining rainforest, and being the second largest tropical forested area on the planet, the Congo Basin Rainforest (CBF) is of global, regional and national importance for the present and future generations. The CBF accounts for a large part of the African continent's rich biodiversity, and is important in carbon capture and storage for reducing global greenhouse gases, as well as for livelihoods for the Basin countries and populations. It is also rich in petroleum and metal mineral resources, which are the main drivers of the economic growth in the basin region. The Congo Basin countries have a total gross domestic product (GDP) of around \$140 billion, which is about 14% of the African continent's total GDP; ranging from \$1.6 billion in Sao Tome to \$37 billion in DRC.

However, the CBF is estimated to be declining at an annual rate of 0.6%, and degrading, mainly due to population growth, logging, agriculture, and oil and mining industries. The Food and Agricultural Organisation of the United Nations (FAO) puts the estimate of the total annual deforestation rate in the region at about 934,000 hectares. A declining CBF is a big threat to region and global climate change with negative consequences especially on the health and wellbeing of women and children. Further, the Congo Basin Region is home to a large part of the Africa's poor including women and children. Almost all the countries are ranked low on the United Nations Human Development Index (HDI); all the countries except one are ranked lower than 140<sup>th</sup> on the HDI. Fragility is also increasingly an issue of concern in the Congo Basin Region.

To address the issues of CBF loss and degradation, a number of national, regional and international development initiatives have been in place. These initiatives include the Central African Forest



Commission (COMIFAC), which was established in 1999 by the Congo Basin countries<sup>13</sup>. The COMIFAC is politically and technically mandated to orient, monitor, make decisions, harmonize and coordinate actions and initiatives for the preservation and sustainable development of forest ecosystems in Central Africa. Consistent with its mandate, COMIFAC developed a 10-year Action Plan ('Plan de Convergence') with 10 strategic areas, and has been providing institutional shelter to a number of specialized regional collaborative bodies. Some of the COMIFAC countries are members of the Economic Community of Central African States (ECCAS) which is also an important CBF stakeholder.

Two other major supporting initiatives for the Congo Basin Forest, to which all the COMIFAC countries are a party, are the Congo Basin Forest Partnership (CBFP) and the Congo Basin Forest Fund (CBFF). The CBFP and CBFF were launched in 2002 and 2008 respectively. The CBFP, a network of about 60 partners, was established by the United States of America as a global initiative in support of the sustainable management and conservation of the Congo Basin Forest (CBF) through the enhancement of communication, cooperation and collaboration among the partners<sup>14</sup>.

**The Congo Basin Forest Fund (CBFF):** From the 2008 CBFF legal framework<sup>15</sup>, the CBFF aims at alleviating poverty, and mitigating climate change by reducing the rate of deforestation in the Congo Basin through the sustained management of the Congo Basin Forest Resources for increased benefits accruing to the Congo Basin Governments and forest-dependent communities. Towards achieving these results, the CBFF is to focus on:

- Developing the capacity of the people and institutions in the countries of the Congo Basin for effective management of their forests;
- Helping local communities find livelihoods that are consistent with sustainable conservation of forests;
- Developing new financial mechanisms and appropriate models for reducing the rate of deforestation;

In support of the above focus areas, the CBFF is to:

- Collaborate closely with Central African governments, regional institutions, COMIFAC, CBFP, non-government organisations, civil society, private sector, other development partners and other initiatives including the NEPAD Environmental Action Plan and the Global Environmental Fund;
- Fund innovative and transformational projects in line with its five key themes:
  - Forest management and sustainability
  - Livelihoods and economic development
  - Monitoring, assessment and verification (MAV) of deforestation and degradation within the Congo Basin
  - Benefits from carbon markets and payment for ecosystem services
  - Capacity building in reduced Emissions from deforestation and forest degradation (REDD), in MAV, and in sustainable forest management

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<sup>13</sup> These countries include Burundi, Cameroon, Central African Republic (CAR), Chad, Democratic Republic of the Congo (DRC), Equatorial Guinea, Gabon, Republic of Congo, Rwanda and Sao Tome & Principe.

<sup>14</sup> See [http://pfbf-cbfp.org/objectifs\\_en.html](http://pfbf-cbfp.org/objectifs_en.html).

<sup>15</sup> African Development Bank Group. 2008. Framework document for the establishment of the Congo Basin Forest Fund (CBFF Framework). AfDB/BD/WP/2008/80

With the revision in 2013 of its results-based logical framework as depicted in Annex Figure 1 and Annex Table 1, the CBFF refocused on 10 deliverables in order to achieve three key short-term outcomes:

<b>Outcome 1:</b> The technical capacity of Congo Basin stakeholders for implementation of sustainable management of multiple forest landscape resources and REDD+ is increased	<b>Outcome 2:</b> Improved forest governance in the Congo Basin promotes more equitable benefits sharing among forest stakeholders including women and ethnic minorities	<b>Outcome 3:</b> Congo basin institutions have increased capacity for implementing landscape level sustainable management of forests and REDD+
<b>Output 1.1:</b> Local communities, including women and ethnic minorities, participate in sustainable management of forests resources (incl. Non-Timber Forest Products and Ecosystem Services)	<b>Output 2.1:</b> An increased number of local communities enjoy common and secure forest tenure	<b>Output 3.1:</b> Pilot REDD+ projects have been implemented at local community level
<b>Output 1.2:</b> Local communities participate actively in re- and afforestation	<b>Output 2.2:</b> Local communities participate actively in development and implementation of benefit-sharing from forest-related activities	<b>Output 3.2:</b> CB countries make progress on their national REDD+ Readiness Plans
<b>Output 1.3:</b> Knowledge of the forest resource is improved and employed in forest management and policy design and/or disseminated	<b>Output 2.3:</b> Models for sustainable management of forest landscapes, products and/or services, which contribute to improved quality of life for forest-dependent communities are developed and implemented	<b>Output 3.3:</b> Civil society plays an active national and regional role in experience-sharing and promotion of sustainable forest landscape management and equitable sharing of resulting benefits
	<b>Output 2.4:</b> NGO capacity to advocate for equitable sharing of benefits increased	

The United Kingdom and Norway provided the initial CBFF sum of € 119 million<sup>16</sup>, and the Canadian government contributed an additional CAD\$20 million. The CBFF is governed by a Governing Council (GC) which provides strategic guidance and oversight. The Bank administers the CBFF, and its Board of Directors has responsibility for the general operations of the CBFF and for certain operational decisions. The CBFF secretariat manages the CBFF's activities under the supervision of the Bank's Agriculture and Agro-Industry Department (OSAN). The CBFF secretariat has staff at the Bank's Headquarters in Abidjan, and also in Cameroon and the Democratic Republic of Congo. It was also

<sup>16</sup> 50 million GBP + 500 million NOK converted to Euros using exchange rates as of December 31<sup>st</sup> 2013

supported in 2011-2014 by an external Fund Management Agent (FMA) in managing small CBF projects/grants of below 2.5 million Euro<sup>17</sup>.

The CBFF is ongoing, and its current phase will last up to the end of 2018. It builds its project pipeline from (i) Competitive calls for proposals; (ii) Projects initiated by the CBFF Governing Council and (iii) up-scaling of high-performing projects with demonstrable impact. The CBFF has so far launched two calls for proposals; in 2008 and 2009, resulting in the endorsement of 41 projects by the CBFF Governing Council of which 38 projects (amounting to 73,630,509 Euros) have been approved by the Bank. The first call for proposals (in 2008) resulted in 15 approved projects, and then the second (in 2009) in 25 projects. The Governing Council originated one project specifically for the Central African Republic (CAR), but the project was not approved by the Bank's Board because of the civil unrest in the country. National government agencies originated 10 of the 38 approved project proposals whilst the rest of the 28 project proposals were from national, regional and international non-governmental organisations operating in the Congo Basin. More than half (21) of the 38 approved CBFF projects were for the DRC (13) and Cameroon (8), while Burundi, Congo, Equatorial Guinea, Gabon and Rwanda had each only a single project. CAR had two projects, but both have been cancelled because of the civil unrest. The multinational projects were nine, including two REDD+. The remaining four of the six REDD+ projects were in RDC. As at end of March 2016, the CBFF portfolio had 18 completed and closed, 16 ongoing (12 of which to be completed in 2016) and four cancelled projects. Also, five of the CBFF projects have been earmarked for scaling-up. The list of CBFF projects are annexed (Annex Table 2).

**Previous Review/Evaluation of the CBFF:** The CBFF was the subject of a medium term review in 2011 and an operational effectiveness review in 2012. These reviews found the CBFF implementation to be slow due largely to the weaknesses of the institutional arrangements and capacity for CBFF administration and delivery, and the fragility of the Congo Basin region. IDEV has also captured, though on a limited basis, certain aspects of the CBFF in the following evaluations:

- Trust Fund Management at the African Development Bank, 2013
- Cameroon: Country Strategy and Programme Evaluation 2004–2013, 2015
- Democratic Republic of Congo: Country Strategy and Programme Evaluation 2004–2013, 2015
- Burundi: Country Strategy and Programme Evaluation 2004–2013, 2015

### 3. Evaluation Purpose, Audience and Objectives

As the current phase of the CBFF will end by 2018 and two of the CBFF's contributors (British Government and Norwegian Government) have decided to pull out of the CBFF<sup>18</sup>, the key CBFF stakeholders (including the donors, Governing Council, AfDB Board of Directors and CBFF Secretariat) have called for this independent evaluation of the CBFF for mainly three reasons:

- To learn lessons and deepen their understanding of how and why the CBFF worked or not worked in terms of the CBFF and project approach, project selection, design, set up,

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<sup>17</sup> The FMA is a consortium of a global accounting and management firm, and an international development NGO. The latter is to provide the technical services, and the former the financial services. However, the contract with the FMA was cancelled in 2014.

<sup>18</sup> These two CBFF contributors have already stopped further replenishment of the CBFF, and support a third call for proposals. The British Government also stopped from releasing her pledge of 19.4 million pound sterling to the CBFF. The partners including COMIFAC member countries, partner country institutions, NGOs, international institutions and private sector organisations.

management, delivery and results, and stakeholder engagement. The evaluation will generate knowledge, which will enable the key stakeholders in particular the CBFF GC, the Bank's Board of Directors and the Donors to better inform (i) the delivery of the ongoing CBFF projects, (ii) the sustainability of the CBFF project benefits, (iii) improvements in similar ongoing programmes, and (iv) future programmes/projects in the design and sustainable management of forests, REDD, forest governance, and technical and institutional capacity building in the Congo Basin.

- To inform decisions in particular of the Donors, CBFF GC and the Bank's Board of Directors and Management on the way forward for the CBFF.
- To help the CBFF secretariat/OSAN and CBFF implementing partners/project grantees to account for the CBFF investments in terms of (i) how effectively and efficiently the CBFF resources were used, and (ii) the CBFF effects on deforestation and forest degradation, the Congo Basin Forest benefits, and the participation of women and ethnic minorities in managing the Congo Basin Forests to the CBFF GC, Donors, Bank's Board of Directors and Management, and Congo Basin Governments and Civil society organisations (Congo Basin communities and people).

The key audiences of the CBFF evaluation comprise the Donors (British Government/DFID, Norwegian Government; Canadian Government/GAC), CBFF GC, Bank Board of Directors and Management, and CBFF Secretariat, COMIFAC, CBFF implementing partners, Congo Basin Governments and civil society organisations representing various CBFF impactees (including forest-dwelling and non-forest dwelling communities, women, and ethnic minorities) – Annex Table 2 shows the indicative list of intended evaluation audiences and their evaluative information needs.

The evaluation will mainly focus on (i) how well the CBFF projects were selected, designed and implemented, and produced results (intended and unintended) for whom and under what conditions, (ii) CBFF project results' sustainability, and (iii) drivers (including stakeholder performance) of the CBFF implementation quality and results. It will specifically:

- Assess the extent of the relevance and coherence of the CBFF project objectives and designs;
- Assess the extent of the efficiency of the CBFF governance and management, of CBFF projects;
- Assess the extent of the effectiveness of the CBFF projects;
- Assess the extent of the overall CBFF project results (intended and unintended), and their sustainability and contribution to relevant long-term and strategic development outcome changes in the Congo Basin --especially to (i) reducing deforestation and forest degradation, (ii) increasing Congo Basin forest benefits accruing to Congo Basin Governments and forest dependent communities (including women, children and ethnic minorities), (iii) improving Congo Basin Forest management and conservation, and (iv) women participation in the management of the Congo Basin Forest;
- Assess the performance of the key CBFF stakeholders including the Governing Council and AfDB;
- Assess the key factors influencing the quality of the CBFF project selection, design, implementation and results, and of the likely sustainability of the project results;
- Identify and assess the strengths, weaknesses, constraints and opportunities of the CBFF projects from design to results;
- Draw, on the basis of objective (a) - (g) above, conclusions, and lessons and recommendations for sustaining the CBFF project results, and providing guidance for the future strategic direction of the CBFF, and also for designing and implementing similar development initiatives.

#### 4. Evaluation Focus and Questions

The evaluation will serve both learning and accountability purposes, as well as be forward looking. The importance of gender and human-natural systems nexus will be reflected in assessing the quality of the CBFF project design, governance, implementation, and intended and unintended results. The evaluation will cover the CBFF portfolio of 38 projects with a focus on the ongoing and completed, as well as the CBFF thematic areas, activities, results and their contributions to the overall CBFF purpose at the community, national and regional levels during the period 2008- April 2016<sup>19</sup>. The evaluation will be based on the standard OECD-DAC evaluation criteria of relevance, coherence efficiency, effectiveness and sustainability as defined in the ECG good practice standards<sup>20</sup>, and also cross-cutting criteria including inclusiveness and gender equality.

The evaluation questions, framed around the evaluation criteria comprise the following<sup>21</sup>:

<p><b>Relevance</b> of CBFF project objectives and designs towards realizing the intended CBFF strategic objectives –how well the CBFF projects are designed and coherent?</p> <ul style="list-style-type: none"> <li>• To what extent are the CBFF projects’ objectives relevant to the: <ul style="list-style-type: none"> <li>○ Human-natural systems nexus of the Congo Basin (CB)?</li> <li>○ Forest development and management agendas of the CB countries?</li> <li>○ Development needs/priorities of the CBFF intended primary impactees/beneficiaries (including CB dwelling communities in particular women, children and ethnic minorities)?</li> <li>○ Strategies and approaches of other CB initiatives (including private sector and other development partners)?</li> <li>○ Bank’s strategic programme priorities for the CB countries</li> <li>○ CBFF strategic objectives and themes</li> </ul> </li> <li>• How well are the CBFF projects coherent?</li> <li>• To what extent are the CBFF projects’ theories of change plausible, feasible, evaluable, and in line with the overall CBFF theory of change?</li> <li>• How well are the CBFF projects’ monitoring and evaluation designed?</li> <li>• How well are the CBFF and CBFF project designs gender and equity focus?</li> <li>• To what extent are the CBFF governance and management arrangements, consistent with achieving the CBFF strategic objectives?</li> </ul>
<p><b>Efficiency</b> of CBFF (fund) governance and management, and of CBFF project implementation for delivering the intended results –how well the fund was governed and managed, and the projects implemented to lead to the intended results, and what were the driving factors?</p> <ul style="list-style-type: none"> <li>• How well was the CBFF governed and managed especially with respect to the rules of procedures and expected roles and responsibilities of the CBFF Governance and management infrastructure?</li> <li>• To what extent were the CBFF’s governance and management arrangements and delivery model (including the use of an external Fund Management Agent) cost-effective in delivering the CBFF projects and their results?</li> </ul>

<sup>19</sup> The CBFF themes including civil society participation, forest protection and REDD+, green innovation and entrepreneurship, knowledge and capacity development, sequestering carbon and Sustainable financing mechanisms for forest protection.

<sup>20</sup> <https://www.ecgnet.org/documents/4792/download>

<sup>21</sup> The evaluation questions will be further refined during the inception phase.

<ul style="list-style-type: none"> <li>• How efficient were the CBFF partnerships/collaboration with NGOs, CSOs, regional institutions and CB governments?</li> <li>• To what extent the CBFF approaches and strategies remained coherence with those of other interventions in the Congo Basin?</li> <li>• Which CBFF projects/interventions were cost-effective or not, and why?</li> <li>• How well were the CBFF and CBFF projects delivered, and why?</li> <li>• How well were the CBFF and project monitoring, evaluation and learning systems operationalized and used? Why or why not?</li> </ul>
<p><b>Effectiveness of CBFF projects</b> in achieving intended results and their drivers:</p> <ul style="list-style-type: none"> <li>• To extent women and ethnic minorities participated in delivering the CBFF projects, and why?</li> <li>• Which CBFF projects/interventions were effective or not effective in generating the expected outcomes? What are the key success/limiting factors?</li> <li>• To what extent have the CBFF projects benefitted primary intended impactees especially forest dependent communities, women, ethnic minorities, children, COMIFAC and Central African Governments?</li> <li>• To what extent has the CBFF achieved and/or is likely to achieve its intermediate outcomes? What key factors facilitated or limited the achievement/non-achievement of the CBFF intermediate outcomes?</li> </ul>
<p><b>Extent of overall CBFF project intended and unintended results, and their sustainability and contribution</b> to relevant long-term and strategic development outcome changes in the Congo Basin.</p> <ul style="list-style-type: none"> <li>• To what extent has the CBFF project generated unintended results?</li> <li>• To what extent were the CBFF projects designed and implemented to ensure the sustainability of their results?</li> <li>• To what extent are the CBFF project benefits/results likely to be sustained? What are the key factors facilitating/limiting the sustainability of the CBFF project benefits – especially financial, institutional, social, environmental, economic and political aspects?</li> <li>• To what extent have the CBFF project results contributed to Congo Basin Development outcomes: (i) poverty alleviation; (ii) reduced deforestation; (iii) reduced forest degradation; (iv) enhanced forestry sector value added; (v) increased benefits from forest resources; (vi) increased stakeholder participation in sustainable forest management (including women, ethnic minorities and private sector)?</li> </ul>
<p><b>Performance of the key CBFF stakeholders</b> –the Governing Council, Bank (including CBFF Secretariat), project grantees/implementing partners ((NGOs &amp; CSO beneficiaries of the CBFF) Governments and regional bodies in designing and delivering the CBFF projects and ensuring the sustainability of their results:</p> <ul style="list-style-type: none"> <li>• How well the key CBFF stakeholders worked together for the purpose of achieving the strategic objectives and outcomes of the CBFF? What factors facilitated or hindered collaboration?</li> </ul>
<ul style="list-style-type: none"> <li>• To what extent the quality of services of the Governing Council efficient and effective?</li> </ul>
<ul style="list-style-type: none"> <li>• To what extent was the quality of the <b>Bank services</b> for quality-at-entry and of supervision of the CBFF projects satisfactory?</li> </ul>
<ul style="list-style-type: none"> <li>• To what extent did the <b>CBFF project grantees/implementing partners</b> assume ownership and responsibility to ensure quality of preparation and implementation, and comply with covenants and agreements, towards the achievement of the project outcomes and sustainability?</li> <li>• How well the project grantees ensured effective participation of key impactees including forest-dependent communities, ethnic minorities, women and COMIFAC?</li> </ul>

<ul style="list-style-type: none"> <li>• How well the <b>CB Governments and Regional Institutions/bodies</b> participated in the design and implementation of the CBFF projects?</li> </ul>
<p><b>Forward Looking Aspects:</b></p> <ul style="list-style-type: none"> <li>• What are the emerging strengths, weaknesses, constraints and opportunities in managing and implementing the CBFF and its projects?</li> <li>• What are the key risks, constraints and opportunities that the CBFF will have to continue to deal with?</li> <li>• What are the key options for improving the implementation performance of the CBFF and its projects?</li> </ul>
<p><b>Conclusions, lessons learned and recommendations:</b></p> <ul style="list-style-type: none"> <li>• On the basis of the evaluation findings, what are the key conclusions, lessons and recommendations to be drawn?</li> </ul>

## 5. Methodology and Process

The IDEV evaluation policy, and the Evaluation Cooperation Group’s Big Book on Evaluation Good Practice Standards<sup>22</sup>, both documents reflect the standard OECD-DAC development evaluation criteria and quality standards, will guide this evaluation. The **evaluation approach** will require a reconstitution of the supposed CBFF theory of change including those of the projects from the CBFF results logical framework and reports/documents and discussions with the key stakeholders. The CBFF theory will guide the refinement of the indicative evaluation questions, and the development of the evaluation methodological framework. The inception phase of the evaluation will clearly define and detail the most credible methodological framework for responding to the evaluation questions. The methodological approach should be of mixed designs and methods. The data sources, the basis for the evaluation streams of evidence, should include but not be limited to the following:

- Desk review of relevant documents/reports and databases including those of the CBFF (and its projects) and Bank, and the literature
- Substantive interviews and discussions with key CBFF stakeholders including the Governing Council, Bank’s Board of Directors and Management, donors, other development partners, CBFF staff, women and Congo forest-dependent community members.
- Survey(s) of CBFF stakeholders
- Evidence-based case studies of a sample of CBFF projects; this will complement the evidence from the portfolio review. It will focus on generating evidence on the substantive CBFF outputs and their effects (including on women and ethnic minorities), and on the key success/limiting factors –where project performance was satisfactory/was not satisfactory.
- Field visits to CBFF secretariat and offices, and a sample of CBFF countries and project sites.

**Sampling** especially regarding the evidence-based case studies of the CBFF projects will be required. The appropriate sampling strategy (type and size) will be defined at the inception stage by the evaluation team. With regards the evidence-based case studies, the sample of the CBFF projects will be drawn from the completed projects (18) and ongoing projects (16 in particular the 12 almost at the point of completion). The sampling strategy will ensure that the sample is of adequate size and representative of the nature of the CBFF projects in terms of the status (completed; ongoing), country coverage (single

<sup>22</sup> ECG Big Book on evaluation good practice standards, <http://www.ecgnet.org/document/ecg-big-book-good-practice-standards>

country; multilateral), management agency/grantee type (Government; non-Government), and project type/theme areas.

The evaluation **process** will include the following phases:

1. Inception phase to produce the inception report, which will include the full evaluation methodology (including sampling, evaluation matrix, limitations, risks and mitigations, data collection and analysis tools/instruments, rating scale and standards), evaluation team composition and responsibilities for each of the individual evaluation team members. This will involve inter-alia desk reviews and discussions with key stakeholders, rapid assessment of available data, reconstruction of the supposed CBFF theory of change stakeholder mapping and preparation of the inception report.
2. Portfolio review phase, which will overlap with the inception phase. Involving desk reviews and discussions around the 38 CBFF projects, the phase will report on the CBFF project design and implementation, and results, and drivers of the portfolio performance, and also issues for further assessment during the case studies.
3. Data collection and analyses for the generation of findings, and drawing of conclusions, recommendations and lessons learned: This phase will concern all the data sources, highlighted above. It will be the basis for the preparation of the background reports (portfolio performance review, organisational and management performance review (focusing on the quality of the CBFF institutional arrangements, and coordination and partnership mechanisms) and evidence-based case studies' reports), and the evaluation synthesis report. Emerging findings from field work and country visits will be shared with in-country stakeholders for initial feedback.
4. Synthesis, report writing and feedback leading to the draft evaluation synthesis report and its presentation to the CBFF evaluation Reference Group (defined under the quality assurance section below), Governing Council and other stakeholders for feedback on the draft evaluation findings
5. Production and delivery of the final evaluation report in the appropriate format and languages (English) for dissemination and follow up
6. Communication and dissemination of evaluation results

**Risks and mitigation actions:** The evaluation risks and mitigation actions will be identified at the inception phase by the evaluation team.

Available **documents and e-database** including the following: CBFF legal framework, results framework, annual reports, work programme, project appraisal reports and completion reports; CBFF project portfolio file, medium term review, summaries of conclusions of the Board of the Bank, minutes of the Governing Council, operational effectiveness review of CBFF, and relevant IDEV evaluations/reviews.

## 6. Evaluation Deliverables and Timeline

The key deliveries of the evaluation team will be the following outputs:

- Inception report (in English and French)
- Background reports: CBFF portfolio performance review; CBFF organisation and management performance review; evidence-based case studies' reports
- Draft evaluation report and its presentation to the CBFF evaluation reference group and Governing Council, and for peer review (draft in English, and unedited French version); the evaluation report will include an executive summary, background and context, evaluation



purpose, objectives and questions, key aspects of the methodological approach and limitations, findings, conclusions, lessons and recommendations, and annexes

- Final evaluation report including an executive summary of up to two pages and essential annexes (in English)
- Technical annexes including the methodology and its instruments and evidences.
- Electronic version of data collected and evidence set (analysed data)

The evaluation will have an indicative duration of **355 person days** over a period of six months, and its timeline is presented in the table below. The final CBFF evaluation report is expected to be completed and delivered in March 2017.

<b>Evaluation phase-Delivery-Timeline</b>		
<b>Phase/Output</b>	<b>Timeline</b>	<b>Responsibility</b>
Preparatory phase: <ol style="list-style-type: none"> <li>1. Terms of reference (ToR): draft &amp; final</li> <li>2. Comments on draft ToR</li> <li>3. Evaluation team recruited</li> </ol>	October 2016	IDEV  IDEV  CBFF Secretariat & other key CBFF stakeholders  CBFF Secretariat/IDEV
Inception phase: <ul style="list-style-type: none"> <li>• Draft inception report</li> <li>• Comments on draft report</li> <li>• Final inception report incorporating comments</li> <li>• Approval of inception report</li> </ul>	October 2016	Evaluation team  Evaluation team IDEV/ CBFF secretariat/Reference Group (RG)  Evaluation team IDEV
CBFF Portfolio performance review (PPR) & CBFF organisational and management performance review (OMPR) phase: <ul style="list-style-type: none"> <li>• Draft PPR &amp; OMPR reports</li> <li>• Comments on draft reports</li> <li>• Final PPR report incorporating comments</li> </ul> Approval of PPR & OMPR reports	October 2016 – January 2017	Evaluation team  Evaluation team IDEV/ CBFF secretariat/Reference Group (RG)  Evaluation team  IDEV
Data collection & analysis phase (including evidence-based case studies): <ol style="list-style-type: none"> <li>1. Logistic arrangements</li> <li>• Primary &amp; secondary data</li> <li>• Analysed data/findings</li> <li>• Field validation of preliminary findings</li> </ol>	November 2016 – February 2017	Evaluation team  Evaluation team/CBFF Secretariat Evaluation team Evaluation team Evaluation team  IDEV/RG/CBFF Secretariat/other CBFF

<ul style="list-style-type: none"> <li>Feedback on preliminary findings</li> </ul>		stakeholders
<b>Reporting phase:</b> <ul style="list-style-type: none"> <li>Draft &amp; revised CBFF organisation &amp; performance review report</li> <li>Draft &amp; revised evidence-based case studies' reports</li> <li>Draft report</li> <li>Presentation of draft findings to RG &amp; Governing Council (GC)</li> <li>Comments/suggestions on draft report</li> <li>Final report incorporating comments/suggestions</li> <li>Feedback on evaluation process</li> </ul>	January – March 2017	Evaluation team Evaluation Evaluation team Evaluation team IDEV/CBFF Secretariat/ Governing Council (GC)/other stakeholders Evaluation team Evaluation team
<b>Communication &amp; dissemination phase:</b>	November 2016– April 2017	IDEV

## 7. Profile of the Evaluation Team (qualifications, experiences and competencies)

The evaluation work will be undertaken by a firm with an evaluation team with the appropriate qualifications, experiences and competencies including:

- Balanced and appropriate academic qualifications including content and evaluation
- Extensive and proven experience in evaluating complex development programmes involving human-natural resource systems nexus or similar programmes
- Extensive knowledge of development evaluation designs, and methods and techniques (qualitative and quantitative approaches incorporating poverty, gender and social aspects)
- Understanding of international development work and issues especially within the context of Africa including the Central African countries
- Knowledge and experience of human-natural resource systems development and management issues in Africa particularly the Central African Region
- Expertise in human-natural resource systems (including forestry) and their technical planning, management, development and conservation issues, REDD, climate change and mitigation, institutional and systems development, gender, sustainable livelihoods, and evaluation
- Extensive experience and knowledge of development programme/project management
- Experience with development operations of Multilateral Development Banks
- Strong report writing and verbal communication skills in English and French –an appropriate mix of English and French language skills
- Strong computer literacy in standard applications and analytical packages

## 8. Management and Quality Assurance Arrangements

The evaluation will be managed by an **IDEV team**. The IDEV team will be responsible for (i) overall guidance and approval of the evaluation process and outputs (inception report; draft and final evaluation reports); (ii) quality assurance process including the external peer review of the key evaluation products, and receiving comments from the CBFF Secretariat and Reference Group; (iii) recruiting the evaluation team (iv) briefing the evaluation team, and technical meetings and discussions with the evaluation team; (v) establishing the evaluation reference group (ERG); (vi) all data, evidence and materials that will be produced by the evaluation team; (vii) communicating to the Bank's Management and Board of Directors, and the CBFF Governing Council, and disseminating the evaluation results to the key stakeholders. IDEV will also recruit at least two competent and experienced international experts (content-area; evaluation) for the external peer review of the CBFF process and outputs; (viii) ensuring the payment of the consultant.

The **CBFF Secretariat** will provide necessary logistical support to the evaluation team especially in arranging stakeholder meetings, and facilitating access to relevant documents/reports and database, and to CBFF project sites and grantees/beneficiaries. The CBFF Secretariat will also review and comments on the CBFF evaluation process and products.

The **CBFF evaluation reference group (CBFF-ERG)** will be composed of selected Bank staff (IDEV, OSAN/CBFF Secretariat, East Resource Center (EARC), Central African Region, African Natural Resources Center (ANRC) and Research Department (EDRE)), and representatives of CB NGOs and CSOs, CBFF project implementing partners, COMIFAC and development partners. The CBFF-ERG will review and comment on the CBFF evaluation process and outputs (inception report; evaluation reports), and also provide a sounding platform for rapid feedback especially on the evaluation plan (including design and methods) and emerging evaluation findings.

## **9. Evaluation Budget**

The evaluation budget will comprise all expenses including fees, travel and taxes. The firm/consultant will provide a detailed budget with breakdown against activities and key milestones.

# Annex 2. Draft document review, interview and survey questions

## Evaluation Sub-Questions

Document review template (draft)

A. At project level: (Yellow shading indicates questions to be addressed via online survey and/or interview. Other questions addressed first by document review and MAY be further explored via survey/interview if necessary).

<b>Project number and title:</b>		
<b>EQ and related questions</b>	<b>Findings</b>	<b>Documents consulted/source of information</b>
<b>EQ1</b>		
What are the project's objectives?		
Does the project sit within a national framework? If so, which one? What value does it add to the national context?		Document review/e-survey/interview
Which objectives of CBFF and/or CBFF results frame indicators are these intended to contribute to? [include checklist] tick all that apply.		
How well do they actually contribute to achievement of CBFF objectives/ indicators? [Fully – partly – weakly – not at all.]		
What are the primary target beneficiary groups for project activities and outcomes? (tick all that apply) [Communities – households – private sector – local government agency – other]		
<b>EQ3</b>		
Does the project have a theory of change or planning framework?		
How closely is the ToC/results framework aligned to the CBFF results framework? [Fully – partly – weakly – not at all.]		
How adequately does the project ToC/results framework address		

risks and assumptions? [Fully – partly – weakly – not at all.]		
<b>EQ4</b>		
Are indicators included? (Y/N)		
Are the following elements stated for the indicators: Baselines, Targets, Means of Verification (Y/N for each element)		
To what extent are the indicators SMART? [Fully – partly – weakly – not at all.]		
Is it clear who is responsible for gathering the necessary data for monitoring purposes? (Y/N)		
<b>EQ5</b>		
Does the project design differentiate between the interests of (i) men and women, and/or between (ii) dominant and potentially marginalised groups? (+ see EQ14)		
<b>EQ7</b>		
Does the project design incorporate innovative approaches and/or means to stimulate transformation? (Y/N)		
How were innovative approaches and/or means to stimulate transformation incorporated into the design/delivery of the project?		Interview
<b>EQ11</b>		
What aspects of the relationship with CBFF secretariat went well? (3 aspects). What aspects could have been better? (3 aspects)		Interview (with NGOs, CSOs, regional institutions and CB government representatives)
<b>EQ13</b>		
Do the project's monitoring and financial reports provide sufficient data for a cost-effectiveness analysis to be conducted? Y/N		
<b>EQ14</b>		
What aspects of CBFF delivery worked well? (3 aspects) What aspects could have been done better? (3 aspects) [see also EQ9] – need to clarify the difference or re-arrange the questions to set these together]		Interview

What aspects of the delivery of this project have worked well? (3 aspects) What aspects could have been done better? (3 aspects)		e-survey/Interview
<b>EQ16</b>		
Do the project's design documents target the participation of women and/or members of minority groups in delivering the project?		
What mechanism(s) were used to ensure/facilitate participation of target groups in the project's (i) design and (ii) implementation? With what success?		Interview
How many women/members of minority groups participated?		
What proportion or percentage of the total participants does that represent?		
Did the project's interventions include separate provision for participation in consultations by women and men, and by different social groups? (tick all that apply) <ul style="list-style-type: none"> <li>• Women</li> <li>• Men</li> <li>• Youth</li> <li>• Indigenous peoples</li> <li>• Other minority groups (specify)</li> </ul>		Document review/e-survey
In what way did the intervention's design and implementation approach take account of differences in patterns of forest resource use and livelihood activities among these different groups?		Interview
<b>EQ17</b>		
Did the project achieve the outcomes that it set for itself? [Wholly (80-100%) – largely (50-79%) – partly (30-49%) – weakly/not at all (0-29%)]		Document review/e-survey
<b>EQ18</b>		
What are the project's intended beneficiary groups? – tick all that apply (forest dependent communities, women, ethnic minorities, children, COMIFAC,		Document review/e-survey

Central African Governments/other - please state)		
What benefits were accrued by the project's different intended beneficiary groups as a result of the project?		e-survey/interview
<b>EQ20</b>		
Do the project documents report any unexpected results? (Y/N) If so, please give details.		
Were there any unintended outcomes/results of implementing your project? If so, please give details.		e-survey/Interview
<b>EQ21</b>		
Does the project design include an exit strategy/plan for sustainability of results?		
Was an exit strategy put into effect to ensure sustainability of the project's results beyond the funding period? If so, please give details.		e-survey/Interview
What have been the results of this strategy?		e-survey/Interview
<b>EQ24</b>		
<i>[Steve to formulate suitable questions to put to project executants]</i>		e-survey /Interview
<b>EQ26</b>		
<b>(a question for external stakeholders)</b> : Did grantees/implementing partners prepare and implement the project in a professional manner/to sufficient quality? What aspects of their performance were well done? (up to 3 aspects) What aspects of their performance could have been improved? (up to 3 aspects)		e-survey /Interview
<b>(for grantees)</b> : Were you able to comply with all relevant covenants and agreements within the framework of the CBFF grant? If not, why not? <b>(for the secretariat)</b> : Did grantees and /or implementing partners comply with all relevant covenants and agreements within		Interview

the framework of the CBFF grant? If not, what do you think are the reasons? And what actions did you take to remedy the situation?		
<b>EQ28</b>		
See under EQ14		
<b>EQ29</b>		
<i>[Steve to formulate suitable questions to put to project executives]</i>		Document review/interview

**B. At programme level: [All these Qs to be examined via document review and/or interview]**

	Findings (or evaluation file where findings are recorded)
<b>EQ1</b>	
What are the objectives of analogous/parallel initiatives? (COMIFAC convergence plan; CBFP; CAFI; FIP; PACEBCO; other donor funds?)	
Do CBFF objectives overlap with those of the other initiatives? Are they complementary, parallel or conflictual? <b>[see also EQ12]</b>	
<i>[remainder of EQs listed here need though on measurement framework/traffic lights etc]</i>	
<b>EQ6.</b> How coherent is the CBFF results framework itself? [see also EQ19]	
<b>EQ8.</b> To what extent are the CBFF governance and management arrangements, consistent with achieving the CBFF strategic objectives?	
<b>EQ9.</b> How well was the CBFF governed and managed especially with respect to the rules of procedures and expected roles and responsibilities of the CBFF governance and management infrastructure?	
<b>EQ10.</b> To what extent were the CBFF's governance and management arrangements and delivery model (including the use of an external Fund Management Agent) cost-effective in delivering the CBFF projects and their results?	
<b>EQ12.</b> To what extent the CBFF approaches and strategies remained coherent with those of other interventions in the Congo Basin? [see also EQ1 above]	
<b>EQ15.</b> How well were the CBFF and project monitoring, evaluation and learning systems operationalised and used? Why or why not?	



<b>EQ19</b> (rephrased) How appropriate are the indicators for contributing to the intermediate outcome?	
<b>EQ25.</b> To what extent was the quality of services of the Governing Council efficient and effective?	
<b>EQ26.</b> To what extent was the quality of the Bank services for quality-at-entry and of supervision of the CBFF projects satisfactory?	

### C. Via portfolio analysis

EQ2	Summary of Conclusions
Taken together, to what extent do the projects that were funded make up a coherent programme?	
What are the gaps and overlaps?	
Bearing in mind that the programme explicitly adopted a non-prescriptive call for proposals model, do the identified gaps and overlaps matter?	
<b>EQ19.</b>	
To what extent has the CBFF achieved and/or is likely to achieve its intermediate outcomes?	
What key factors facilitated or limited the achievement/non-achievement of the CBFF intermediate outcomes?	
To what extent did the various categories of project contribute? /What category/ies of project contributed most/least to achieving the outcomes? <i>[add list during analysis, depending on findings of pattern matching]</i>	
<b>EQ22</b>	
(via sustainability framework): To what extent are the CBFF project benefits/results likely to be sustained? What are the key factors facilitating/limiting the sustainability of the CBFF project benefits – especially financial, institutional, social, environmental, economic and political aspects?	
<b>EQ23</b>	
<b>EQs30-33 inclusive</b>	

## Portfolio Document Review Template

### Initial Rapid Project Assessment

#### Questions for initial projects portfolio review (project rapid assessment)

**The Congo Basin Forest Fund (CBFF):** From the 2008 CBFF legal framework, the CBFF aims at alleviating poverty and mitigating climate change by reducing rate of deforestation in the Congo Basin through the sustained management of the Congo Basin forest resources for increased benefits accruing to the Congo Basin Governments and forest-dependent communities. Towards achieving these results the CBFF is to focus on:

- Developing the capacity of the people and institutions in the countries of the Congo basin for effective management of their forests;
- Helping local communities find livelihoods that are consistent with sustainable conservation of forests;
- Developing new financial mechanisms and appropriate models for reducing the rate of deforestation.

## 1. What CBFF thematic area (s) was the project intended to contribute to (from project document, if stated)

### *Thematic Areas of Intervention*

The areas of intervention for CBFF grant funding are primarily those that slow the rate of deforestation, reduce poverty amongst forest dwellers and contribute to a reduction in greenhouse gas emissions while maximizing the storage of carbon. Within the context of its objectives, the CBFF has identified the following key thematic areas:

- **Forest Management and Sustainable Practices** to support initiatives that contribute towards achieving progress in key areas of Sustainable Forest Management (SFM), including forest governance and biodiversity initiatives by instituting the legal, policy and institutional arrangements necessary for effective action.
- **Livelihoods and Economic Development** to support initiatives that target vulnerable groups and promote appropriate livelihoods that are compatible and positively impact on sustainable forest management.
- **Monitoring, Reporting and Verifications ('MRV')** to support the establishment of national and regional strategies and frameworks for monitoring, reference level-setting (assessment) and verification of deforestation and degradation within the Congo Basin.
- **Benefits from an International Regime on REDD and Payments for Ecosystem Services** to leverage maximum benefits of a new international climate change regime, which might include funds, market-based incentives for REDD as well as voluntary schemes.
- **Capacity Building in REDD, in Monitoring, Reporting and Verification and in SFM** to strengthen the capacity of government, civil society and private sector institutions within the Congo Basin, in particular in the establishment and operation of partnerships between institutions, constitutes an important element of all initiatives funded by the CBFF.

## 2. Which of the following intervention areas does the project focus on?

### *Intervention or activity areas*

	<b>Intervention or activity area</b>	<b>Indicator numbers</b>
1	Re-forestation/ tree nurseries	14, 15
2	Sustainable forest & landscape management	5, 6, 11, 12, 31
3	Alternatives to wood fuel	27,
4	Improved /diversified livelihood activities from forest management, including NTFP and alternatives	13, 19, 21, 25, 26, 28
5	Improved agriculture	8, 21, 26, 28
6	Development/testing of community benefit sharing mechanisms	24, 30
7	Land use/access rights including community rights	22, 23

8	CBO / NGO capacity & participation in policy development	25, 29, 39, 40
9	Landscape-level mapping/land use planning	9, 12, 16, 23,
10	REDD+ pilot projects/engagement with carbon markets	33, 34, 35, 36
11	National REDD+ readiness, including design of MRV and Safeguards	10, 20, 32, 37, 38
12	Higher education and technical training	17
13	Research/ improved knowledge of the forest resource	18, 39
14	Other - specify	

For each project that you are reviewing, fill out the project information into the columns in the table below:

- Column headed 'Thematic coverage' - enter the **target CBFF thematic area(s)** that the project design was intended to address, as stated in the project proposal or reports (mark with a cross). For this, use the 'Thematic Areas of Intervention' listed under (1) above. Enter all the thematic areas that apply. If the documents don't clearly specify any thematic area, we write 'None stated'.
- Column headed 'Intervention or activity areas' - enter the **actual thematic focus/focii** of the project, using the above list which is derived from the programme indicators at immediate outcome and output level. Enter all the intervention areas that apply.
- If the project doesn't address any of the areas on our list, and/or includes significant elements that are not aligned with the logframe indicators, write 'Other' in this column, with a brief description of what the project is focused on.

## Detailed Project Document Review

### *Instructions to the team*

A template PPR document review fiche is attached. This must be completed for each one of the CBFF projects.

The list below shows how the responsibility for completing the project fiches has been divided between team members. Please can you complete a PPR fiche for each of the projects assigned to you (in consultation with others where responsibility is shared).

To do this, you should consult the project documents that are in the dropbox folder and any other documentary sources of information that you have obtained during the review. If the project is also a case study, you can add relevant information that you have gained from interviews etc. Please make a note in the fiche of the sources of the information you provide (document titles and dates plus filenames.)

If any of the information asked for is not available from these sources, please state this in the fiche.

### *Notes on the PPR process as a whole*

1. The main sources of information for the portfolio review are the project documents (in the Dropbox) and the project executives.
2. To ensure the PPR adequately addresses all the key questions in the evaluation framework, we have developed three primary tools for gathering data: the document review template, the e-survey and the semi-structured interview guide.
3. The PPR document review template (attached) must be completed for all projects, using information drawn from the documents that are in the dropbox folder and any

other documentary sources of information that the team are able to obtain during the review.

4. The e-survey is intended to elicit further information from project executants. It will be sent out by email, though it may be necessary in the case of some projects for an interview to be arranged by a team member, to get answers to the questions.
5. Semi-structured interviews can help us gain further information on the projects from project executants, and to verify information gained from other sources. The time available to us for interviewing means that the level of detail we can expect to obtain, will be far less for the non-case-study projects than for those selected for the case studies. The semi-structured interview guide (already shared) supports the case studies and also provides sets of suggested questions that could be explored during the meetings, if they are relevant to the nature of the project and the interviewee's domain of knowledge. All of these suggested questions reflect key indicators of the evaluation framework.

### Portfolio Project Document Review Template

<b>CBFF Project number:</b>	<b>Project title:</b>
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Question #	Related EQ	Question	Y/N	Details	Source of information (which document, section/page number reference)
1	1.2	Does the project sit within a national framework? If so, which ones? What value does it add to the national context?		[list relevant national policies/documents and note how project is related to them]	
2	3.1	Does the project have a theory of change or planning framework?		[if yes, make a copy or provide document reference/ filename]	
3	4.1	Are indicators included?		[copy logframe/indicators or give file name and location]	
4	4.2	Are the following elements stated for the indicators:			
	-	- Baselines?			
	-	- Targets?			
	-	- Means of Verification?			
5	1.5;18.1	What are the primary target <b>beneficiary</b> groups for project activities and outcomes?		[underline all that apply: Forest dependent communities - women - ethnic minorities - children - private sector - local government agency – COMIFAC - Central African Governments - Other (please state)]	
6	5.2	Does the project design differentiate between the interests of			

Question #	Related EQ	Question	Y/N	Details	Source of information (which document, section/page number reference)
	-	- men and women?			
	-	- dominant and potentially marginalised groups?			
7	16.1; 28.1	What mechanism, if any, was included in the project's design to ensure participation in delivery of the project by (i) women; (ii) members of minority groups, (iii) other target beneficiaries?		[Please describe or copy/paste information on mechanism(s) included.]	
8	18.2	What benefits were accrued by the project's different intended beneficiary groups as a result of the project? (if reported)		[briefly describe and/or copy and paste]	
9	7.2	Did the project develop a tool-kit or other innovations or means to stimulate transformation? If so, did the project design allocate implementation time and resources for its development?		[briefly describe and/or copy and paste information]	
	-	- Toolkit?			
	-	- Other innovations/means to stimulate transformation			
	-	- Resourcing allocated?			
10	13.1	Are copies of financial reports provided?		[note file name and location]	
11	13.3	What are the key results reported, and how are these defined (eg whether beneficiaries = households who receive training/small businesses helped/ etc )?		[briefly describe the definition used and most recent reported results]	



Question #	Related EQ	Question	Y/N	Details	Source of information (which document, section/page number reference)
		- hectares		Number of hectares protected/managed/conserved (select): .....	
		- numbers of beneficiaries		Number of men: ..... / number of women: ..... / number of youth: ..... / number of people from minority groups ..... (which groups: .....); other target beneficiaries (please describe)	
		- other key results		(please describe)	
12	13.4	Do the project design documents include a risk analysis and mitigation strategy?		[copy/paste or provide document reference]	
13	17.2	In the most recently available monitoring or completion report what score was given to the project using the CBFF's satisfaction scorecard (if available)		[1: Unsatisfactory 2: Moderately satisfactory 3: Satisfactory 4: Highly satisfactory]	
14	17.3	What evidence was provided to support the project's results?		[please describe – examples may be: photographic evidence, workshop reports, list of attendees, external monitoring reports]	
15	17.4	Do the project documents report any unexpected results?		[If yes, please give details]	
16	21.1	Does the project design include a plan for ensuring the sustainability of results?		[If yes, please give details]	

Question #	Related EQ	Question	Y/N	Details	Source of information (which document, section/page number reference)
17	21.2	[If yes to Q17 above] What sustainability elements does the plan include?		[Underline any that apply: (i) applying tools developed under the project in other programs; (ii) setting up viable local organisations, (iii) a viable production-to-market chain, (iv) a revolving (credit) fund, (iv) seeking new funding for upscaling (v) government internalising the project results into its own planning or policy frameworks; (vi) other – please describe]	
18	24.1	How was the project selected?		[Call for projects; Developed with government stakeholder; other –please state]	

## Online Survey (the e-survey)

### Introduction

Dear ....

As you may be aware, the African Development Bank (AfDB) has recruited LTS International to undertake an evaluation of the Congo Basin Forest Fund (CBFF) and we would like to request your assistance in filling out a short survey about your experience of implementing a CBFF project. At the same time the survey gives you the opportunity to highlight some of the key results of your project and issues of sustainability.

The survey, which is available in both English and French, consists of 20 questions and will take approximately 20 minutes to complete. Your answers are important as they provide the information to understand how the CBFF really worked in practice. Your answers will inform our evaluation and help us to both assess the performance of the CBFF and provide recommendations for any potential future funding rounds. We kindly ask that you respond by **Thursday 15 December 2016**. If you have any difficulty in accessing or completing the survey, please let me know.

Enquête en français: <https://www.surveymonkey.co.uk/r/NYRHY2R>

Survey in English: <https://www.surveymonkey.co.uk/r/X5MBTZW>

Thank you for taking the time to assist us with this evaluation,

### Online Survey Questions

1. How is gender defined in the project's design and implementation? [Ref#5.1]
2. Did the project develop a tool-kit? Did the project design allocate implementation time and costing for its use and implementation? [Ref#7.2]
3. What aspects of the relationship with CBFF secretariat went well? (3 aspects).  
What aspects could have been better? (3 aspects) [Ref#11.1]
4. What were the main challenges that were encountered during the project? (list 3)  
How were these managed? (describe what was done) and with what level of success? [Ref#13.5]
5. What are three good value for money practices from this project?  
[e.g. Joining together with other partners to procure goods and services in bulk; Anti-corruption or avoidance of fraud training for staff; Sharing of supplier lists and info on costs of commonly used services; Using a training of trainers (ToT) approach; Risk assessment and management; Documenting failures and negative lessons learned (generates learning for others and thus creates value); Building capacity of

- community groups to ensure services delivered sustainably; Leveraging extra donor/government support for project; other-please give details.] [Ref#13.6]
6. Any reflection on what the project could have done differently/additionally? Any lessons learnt? [Ref#13.7]
  7. What were the main factors (positive or negative) that influenced the delivery of this project? [Ref#14.1]
  8. How many women/members of minority groups participated? [Ref#16.4]
  9. What proportion or percentage of the total participants does that represent? [Ref#16.4]
  10. Did the project's interventions include separate provision for participation in consultations by women and men, and by different social groups? (tick all that apply) [Ref#16.6]
    - Women
    - Men
    - Youth
    - Indigenous peoples
    - Other minority groups (specify)
  11. What results did the project achieve? [Ref#17.1]
  12. What are the project's intended beneficiary groups? – tick all that apply [forest dependent communities, women, ethnic minorities, children, COMIFAC, Central African Governments/other – please state] [Ref#18.1]
  13. What benefits were accrued by the project's different intended beneficiary groups as a result of the project? [Ref#11.2]
  14. Were there any unintended outcomes/results of implementing your project? If so, please give details. [Ref#20.2]
  15. Was a sustainability strategy put into effect to ensure sustainability of the project's results beyond the funding period? [Ref#21.3]  
[(i) applying tools developed under the project in other programs; (ii) setting up viable local organisations, (iii) a viable production-to-market chain, (iv) a revolving (credit) fund, (iv) seeking new funding for upscaling (v) government internalising the project results into its own planning or policy frameworks; (vi) other – please describe]
  16. If so, please give details. [Ref#21.3]
  17. What have been the results of this strategy to date? [Ref#21.4]
  18. Which CBFF stakeholders were involved in the design and implementation of this project, and in what capacity? [Ref#24.2]
  19. How satisfactory was the AfDB's process for assessing CBFF projects to support? How timely was the disbursement of funding and what were the main causes of delays? How satisfied were you with the level of supervision and support provided by the bank? [Ref#26.1]

# Interview Guide (Case Studies)

## Some guide line for the Case Studies

Priorities to look at/focus on:

1. Innovation & transformational aspects of the project (an analyses and description of this),
2. Sustainability and what can be, or has been, capitalised of the project's results;
3. Any particular operational issues of the project and how this was resolved (so relationship with procedures, CBFF Secretariat, FMA, AfDB staff, auditors etc.) and
4. A value statement of the project in its local and national context

We are particularly interested in understanding how beneficiaries (and vulnerable groups in particular) were involved in: When you visit the field, can you please make an effort to speak with project beneficiaries (if possible, try to speak with vulnerable groups – women, minority groups, youth – without project staff joining the group discussion). It is important that where relevant we include focus groups with project beneficiaries as part of your fieldwork.

- Project design and implementation (for example, who was involved in different committees)
- Decisions around beneficiary selection, sharing of project benefits etc. and how these decisions were made
- Who benefited from the projects.
- Most significant change: ask beneficiaries what has been the 'most significant change' as a result of the CBFF project. Note all of the responses, then ask the group to choose 1-3 most important changes and discuss in more detail: talk about what happened, why, who was involved etc.

Please keep a record of who you meet, and in the case of project beneficiaries, how they were selected/who decided who to invite as we will need to provide this type of information in our final report.

I attach herewith a long-list of questions / issues for case study projects. This should be used as a guide to help you to identify the things you may want to look at and the breadth of issues to consider.

Each case study would produce at maximum a 10 page report - without annexes. Actually we don't want annexes to the case study report. The case study should depict analyses and not be a source of information about the project. We will propose a set-up with table of contents for the case study reports.

### *Case Study Questions (long list)*

1. What innovations/ means to stimulate transformation were incorporated into the project design? [Ref#7.3]
2. How were the innovative approaches and/or means to stimulate transformation incorporated into the design/delivery of the project? [Ref#7.4]
3. What aspects could have been better? (3 aspects) [Ref#7.4]
4. What aspects of the relationship with CBFF secretariat went well? (3 aspects). [Ref#11.1]
5. What were the main challenges that were encountered during the project? (list 3) How were these managed? (describe what was done) and with what level of success? [Ref#13.5]
6. What are three good value for money practices from this project? [e.g. Joining together with other partners to procure goods and services in bulk; Anti-corruption or avoidance of fraud training for staff; Sharing of supplier lists and info on costs of commonly used services; Using a training of trainers (ToT) approach; Risk assessment and management; Documenting failures and negative lessons learned (generates learning for others and thus creates value); Building capacity of community groups to ensure services delivered sustainably; Leveraging extra donor/ government support for project; other-please give details. ] [Ref#13.6]
7. Any reflection on what the project could have done differently/ additionally? Any lessons learnt? [Ref#13.7]
8. What were the main factors (positive or negative) that influenced the delivery of this project? [Ref#14.1]
9. What were the main factors that influenced – facilitated or constrained - delivery of the CBFF? [Ref#14.2]
10. What was the level of influence of women/members of minority groups who participated? [for example, were they involved in all levels of decision making?] [Ref#16.2]
11. What mechanism(s) were used to ensure/facilitate participation of target groups in the project's (i) design and (ii) implementation? [Ref#16.3]
12. With what success? [Ref#16.3]
13. How many women/members of minority groups participated? [Ref#16.4]
14. What proportion or percentage of the total participants does that represent? [Ref#16.5]
15. In what way did the intervention's design and implementation approach take account of differences in patterns of forest resource use and livelihood activities among these different groups? [Ref#16.7]
16. What results did the project achieve? [Ref#17.1]
17. What were the key factors that led to (or limited) achievements/impact? [Ref#17.4]
18. What benefits were accrued by the project's different intended beneficiary groups as a result of the project? [Ref#18.2]

19. Were there any unintended outcomes/results of implementing your project? If so, please give details. [Ref#20.2]
20. Was a sustainability strategy put into effect to ensure sustainability of the project's results beyond the funding period? If so, please give details.  
[(i) applying tools developed under the project in other programs; (ii) setting up viable local organisations, (iii) a viable production-to-market chain, (iv) a revolving (credit) fund, (iv) seeking new funding for upscaling (v) government internalising the project results into its own planning or policy frameworks; (vi) other – please describe] [Ref#21.3]
21. What have been the results of this strategy to date? [Ref#21.4]
22. How was the project selected (call for projects 1 or 2; developed with government stakeholder; other –please state) [Ref#24.1]
23. Which CBFF stakeholders were involved in the design and implementation of this project, and in what capacity? [Ref#24.2]
24. How involved were various stakeholders of the CBFF in the project? [Ref#24.3]
25. Which stakeholders were involved in which types of decisions / meetings? [Ref#24.3]
26. How frequently did key stakeholders of meet? [Ref#24.3]
27. What records were kept of these meetings (i.e. meeting minutes, workshop reports etc.)? [Ref#24.3]
28. What aspects of their participation helped the project contribute to achieving the CBFF's strategic objectives and outcomes? What aspects were problematic? [Ref#24.4]
29. How satisfactory was the AfDB's process for assessing CBFF projects to support? [Ref#26.1]
30. How timely was the disbursement of funding and what were the main causes of delays? [Ref#26.1]
31. How satisfied were you with the level of supervision and support provided by the bank? [Ref#26.1]
32. **(for grantees):** Were you able to comply with all relevant covenants and agreements within the framework of the CBFF grant? If not, why not? [Ref#27.2]
33. **(for the secretariat):** Did grantees and /or implementing partners comply with all relevant covenants and agreements within the framework of the CBFF grant? [Ref#27.3]
34. If not, what do you think are the reasons? [Ref#27.3]
35. And what actions did you take to remedy the situation? [Ref#27.3]
36. How did impactees participate in project implementation? [Ref#28.2]
37. Were CB governments and/or regional institutions involved in the design of this project, and if so, which ones, and in what capacity? [Ref#29.2]
38. How involved were the relevant government or regional institution in the project? [Ref#29.3]
39. In which types of decisions / meetings did they participate? [Ref#29.3]
40. How frequently did they participate? [Ref#29.3]

## Draft Interview Questions (Donors and Other Stakeholders)

1. What was the regional context within which the CBFF was established? [Ref#1.7]
2. What triggered UK-DFID and later NORAD to initiate funding? [Ref#1.7]
3. And what made Canada enter in 2012? [Ref#1.7]
4. Did the donors share the same vision and priorities for the fund? What was the motivation for the Afdb to engage and house the fund? [Ref#1.7]
5. Do CBFF objectives overlap with those of the other initiatives (including other AfDB initiatives)? [Ref#1.9]
6. Are they complementary, parallel or conflictual? [Ref#1.9]
7. In setting the objectives of the CBFF, to what extent were the objectives of other initiatives and/or opportunities for synergies taken into consideration? [Ref#1.10]
8. How appropriate was the bank to host the fund?
9. What was its comparative advantage? [Ref#8.1]
10. And what did it do to ensure it was able to do so consistent with achieving CBFF strategic objectives? [Ref#8.1]
11. How has the approach to managing this fund changed over the duration of CBFF implementation? [Ref#8.2]
12. What were the factors that led to the decision to make these changes? [Ref#8.2]
13. What actions have been taken in response to previous fund evaluations? [Ref#8.2]
14. What impact has this had on the way the CBFF operates? [Ref#8.2]
15. Were roles and responsibilities (between CBFF Secretariat, AfDB, donors etc.) clearly defined and articulated in the programme documents? [Ref#9.1]
16. Were these relationships supported by an MoU or other formal document? Were the ToR clear from the outset? [Ref#9.2]
17. How did the relationships play out in practice? [Ref#9.3]
18. What aspects worked well? [Ref#9.3]
19. What aspects were problematic? Why? [Ref#9.3]
20. How satisfactory were the CBFF procedures that were implemented at each phase of the project cycle? [design/preparation – approval – implementation (including monitoring and reporting/disbursement of funds/approval of expenses) – evaluation] [Ref#9.4]
21. What aspects could have been better? (3 aspects) [Ref#9.4]
22. Did the governance and management arrangements adequately reflect and mitigate the risk profile of the CBFF? [Ref#10.1]
23. What aspects of the relationship with CBFF secretariat went well? (3 aspects). [Ref#11.1]
24. How have the approaches and strategies employed by other initiatives evolved since 2008? [Ref#12.1]



25. To what extent has this influenced the CBFF approaches and strategies? [Ref#12.1]
26. What were the main factors that influenced – facilitated or constrained - delivery of the CBFF? [Ref#14.2]
27. What were the key factors that led to (or limited) achievements/impact? [Ref#17.4]
28. To what extent did the various categories of project contribute? [Ref#19.1]
29. What category/ies of project contributed most/least to achieving the outcomes? [Ref#19.1]
30. How was the project selected (call for projects 1 or 2; developed with government stakeholder; other –please state)? [Ref#24.1]
31. How involved were various stakeholders of the CBFF in the project? [Ref#24.3]
32. Which stakeholders were involved in which types of decisions / meetings? [Ref#24.3]
33. How frequently did key stakeholders of meet? [Ref#24.3]
34. What records were kept of these meetings (i.e. meeting minutes, workshop reports etc.)? [Ref#24.3]
35. What aspects of their participation helped the project contribute to achieving the CBFF’s strategic objectives and outcomes? [Ref#24.4]
36. What aspects were problematic? [Ref#24.4]
37. How satisfactory was the AfDB’s process for assessing CBFF projects to support? [Ref#26.1]
38. How timely was the disbursement of funding and what were the main causes of delays? [Ref#26.1]
39. How satisfied were you with the level of supervision and support provided by the bank? [Ref#26.1]
40. **(a question for external stakeholders):** Did grantees/implementing partners prepare and implement the project in a professional manner/to sufficient quality? [Ref#27.1]
41. What aspects of their performance were well done? (up to 3 aspects) [Ref#27.1]
42. What aspects of their performance could have been improved? (up to 3 aspects) [Ref#27.1]
43. How did impactees participate in project implementation? [Ref#28.2]
44. With which project or projects did your organisation play a role? [Ref#29.1]
45. What role did you play? [Ref#29.1]
46. Were CB governments and/or regional institutions involved in the design of this project, and if so, which ones, and in what capacity? [Ref#29.2]
47. How involved were the relevant government or regional institution in the project? [Ref#29.3]
48. In which types of decisions / meetings did they participate? How frequently did they participate? [Ref#29.3]

## Draft Interview Questions (AfDB, CBFF Secretariat and ERG)

1. How has the approach to managing this fund changed over the duration of CBFF implementation? [indicating adaptive management] [Ref#8.2]
2. What were the factors that led to the decision to make these changes? What actions have been taken in response to previous fund evaluations? [Ref#8.2]
3. What impact has this had on the way the CBFF operates? [Ref#8.2]
4. Were the fiduciary challenges that were encountered by the CBFF on the same scale, or significantly bigger/smaller, relative to other AfDB programmes? [Ref#10.2]
5. What steps were taken to ensure value for money in the projects selected? [such as, encouraging and/or prioritising projects that included in-kind contributions or match funding; comparing financial costs of similar projects (both geographically and thematically) to identify areas for improvement; ranking projects for selection based on their cost per hectare or other criteria] [Ref#10.3]
6. What kinds of measures were implemented to control project costs? [for example, setting maximum proportion of budget allowed for administrative and management costs; financial controls required of the projects; rules around disbursement of funds based on performance] [Ref#10.4]
7. How did the external FMA add value to the CBFF operations? [Ref#10.5]
8. How does this compare with AfDB management of the fund? [Ref#10.5]
9. What lessons did you learn from using an FMA? [Ref#10.5]
10. What steps were taken to ensure overall value for money of the CBFF? [Such as providing a forum for sharing lessons between projects, processes to share lessons with other programmes in the region] [Ref#10.6]
11. What were the main factors that influenced (facilitated or constrained) CBFF delivery? [Ref#14.2]
12. What M&E procedures were used? How were these funded? [Ref#15.1]
13. How have operational or strategic management decisions been influenced by M&E results? [Ref#15.2]
14. Have M&E results influenced decisions around portfolio selection and risk management? [Ref#15.2]
15. To what extent did the various categories of project contribute? [Ref#19.1]
16. What category/ies of project contributed most/least to achieving the outcomes? [Ref#19.1]
17. How satisfactory was the AfDB's process for assessing CBFF projects to support? [Ref#26.1]
18. How timely was the disbursement of funding and what were the main causes of delays? [Ref#26.1]
19. How satisfied were you with the level of supervision and support provided? [Ref#26.1]

## Annex 3. Useful theories of change

Most development interventions are aimed in part at changing how people and institutions behave. There is a lot written on behaviour change theories and it seems reasonable then that theories of change use these insights. Mayne (2015) discusses behaviour-based theories of change. Figure 1 in Section 3.3 illustrates such a generic ToC model.

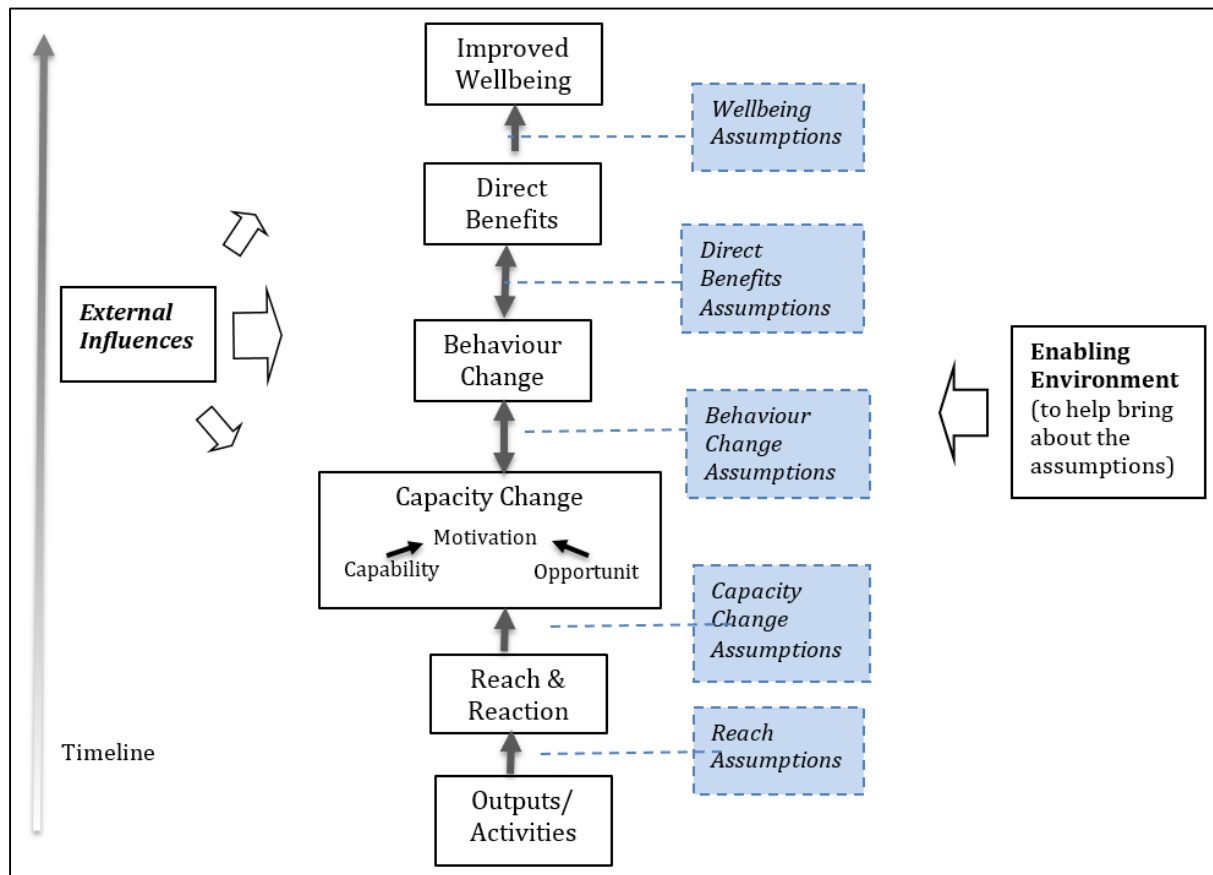
Figure 1 is based on the behaviour change model of Michie, Stralen and West (2011). The model argues that behaviour change comes about as the result of interaction between three *necessary* conditions, capabilities (C), opportunities (O) and motivation (M):

*Capability* is defined as the individual's psychological and physical capacity to engage in the activity concerned. It includes having the necessary knowledge and skills. *Motivation* is defined as all those brain processes that energise and direct behaviour, not just goals and conscious decision-making. It includes habitual processes, emotional responding, as well as analytical decision-making. *Opportunity* is defined as all the factors that lie outside the individual that make the behaviour possible or prompt it. (Michie et al. 2011: 4) [italics added]

Figure 1 is also based on the theory of change models discussed by Mayne (2015) and Mayne (2016). *Direct benefits* are the improvements in the state of individual beneficiaries. *Well-being changes – impact* – are the longer-term cumulative improvement in overall well-being of individual beneficiaries, such as better health, reduced poverty, and better food security.

Figure 4 appears to represent a fairly simple linear intervention, but key feedback loops are shown and the assumptions can include considerable complexity such as the efforts of partners in bringing about change.

Figure 4. The COM-B Based Generic Theory of Change



# Annex 4. Risk Matrix

Table 9 outlines the evaluation risks and the approach proposed to mitigate or minimise these risks. Any risks identified have been quantified in terms of likelihood and possible consequences (refer to Table 6 and Table 7 below). The cumulative risk rating is calculated according to Table 8 below.

## Guidelines on Risk Quantification

Table 6. Qualitative Measures of Likelihood

Descriptor	Score	Example detail description
Rare	1	May occur only in exceptional circumstances
Unlikely	2	Could occur at some time
Possible	3	Might occur at some time
Likely	4	Will probably occur in most circumstances
Almost certain	5	Is expected to occur in most circumstances

Table 7. Qualitative Measures of Impact

Descriptor	Score
Insignificant	1
Minor	2
Moderate	3
Major	4
Catastrophic	5

## Risk Rating

Table 8. Cumulative Risk Rating

Overall Score	Rating
1-6	Low
7-13	Medium
14-20	High
21-25	Extreme

## Evaluation Risks

Table 9. Evaluation Risks

Risk	Inherent Risk			Mitigating Action	Residual Risk		
	Probability	Impact	Risk		Probability	Impact	Risk
1. Risk that that there are significant gaps in CBFF project documents, in particular annual reports and M&E data (surveys or data gathering by projects), or that these are not provided in a timely manner.	Likely (4)	Major (4)	High (16)	AfDB has been very supportive in trying to provide full project documentation. The evaluation will also supplement project information through an online survey to CBFF project executives to ensure key information is collected in a consistent format. The Evaluation Team will establish direct contact with projects as much as is deemed needed. But some information gaps are likely to remain.	Likely (4)	Moderate (3)	Medium (12)
2. Risk that there is a lack of commitment and/or support within AfDB to engage constructively with the evaluation supplier.	Possible (3)	Major (4)	Medium (12)	AfDB have been very supportive of evaluation activities to-date. The Evaluation Team will continue to engage closely with IDEV to maintain momentum.	Unlikely (2)	Major (4)	Medium (8)
3. Risk that closed projects cannot be evaluated as part of the case studies due to lack of ongoing activities by project implementers and/or lack of sustainable results.	Likely (4)	Moderate (3)	Medium (12)	The evaluation has budgeted to provide assistance to closed project staff to assist with the evaluation.	Possible (3)	Moderate (3)	Medium (9)
4. Given timelines, risk that we select CS ones where project executants are not	Likely (4)	Major (4)	High (16)	The Evaluation Team will select a long-list of case study projects, prioritised in order of importance. If project staff are not	Unlikely (2)	Major (4)	Medium (8)

available at time that evaluation team are available.				available different project will be selected and this will be documented.			
5. Risk that stakeholders not available during in-country visit.	Likely (4)	Major (4)	High (16)	AfDB has been engaged early and is developing the agenda and setting up stakeholder meetings for the in-country visits. If necessary, follow up interviews will be conducted via Skype.	Possible (3)	Major (4)	Medium (12)
6. Unwillingness of CBFF projects to engage constructively with surveys, interviews and site visits.	Possible (3)	Moderate (3)	Medium (9)	Where projects will not engage this will be documented and the evaluation will rely on project documents. On the whole, the Evaluation Team has a wide network of contacts in the Central Africa region and this will be used when necessary to reach out. Also the participation of the Team Leader in the Rwanda CBFP meeting of late November will help establish direct contact with a range of CBFF stakeholders.	Possible (3)	Minor (2)	Low (6)
7. Risk that the proposed team composition is not fit-for-purpose or that one or other team member could become unavailable.	Unlikely (2)	Major (4)	Medium (8)	The team has been engaged since the EOI stage of the evaluation and remain committed to the evaluation. In the unlikely event that a team member needs to be replaced, LTS will communicate with AfDB to ensure a smooth transition.	Unlikely (2)	Minor (2)	Low (4)
8. Risk that the political/security situation is not conducive to conducting in-country evaluation related work within the pilot countries.	Possible (3)	Major (4)	Medium (12)	The majority of field work will be undertaken by national team members, who are better able to evaluate and respond to the political situation within each country. In the event that a key country cannot be assessed, LTS will work	Possible (3)	Minor (2)	Low (6)

				with AfDB and the ERG to assess how the remaining resources can be reallocated to support the evaluation.			
9. Risk of deviating from RBM (because ToC changes themes into activity areas).	Possible (3)	Moderate (3)	Medium (9)	The Evaluation Team will continue to refer back to the RBM and logical framework for the majority of EQs.	Unlikely (2)	Moderate (3)	Low (6)
10. Given the large number of EQs, there is a risk that the evaluator cannot access sufficient information to give unambiguous answers to all the questions.	Possible (3)	Moderate (3)	Medium (9)	The Evaluation Team will consultant with the ERG prior to finalising the Inception Report to prioritise the ten key questions that must be answered as part of the evaluation. The other EQs will still be addressed but the focus of the key informant interviews and case studies will be to ensure key questions can be fully answered. Furthermore a focus on the overall and specific objectives of the evaluation as per ToR will be maintained.	Unlikely (2)	Moderate (3)	Low (6)



## Annex 5. List of CBFF Approved Projects by Country

Project code	Project	Country	Executant	Status	Year of completion
P-Z1-C00-039	<i>Exploitation Intégrée de la plante de Jatropha au Burundi</i> (Integrated operation of the plant Jatropha in Burundi)	Burundi	ASSOCIATION TUBANE DE GIKUZI ASBL	Completed	2015
P-CM-C00-035	<i>Projet de rehabilitation de zone d'intérêt biologique de Tchebona</i> (Area Rehabilitation Project of biological interest of Tchebona)	Cameroon	Garoua Wildlife School	On-going	2016
P-Z1-C00-022	Implication des peuples autochtones Bagyéli dans la gestion du parc national de Campo-Ma'an	Cameroon	Réseau des ONGs de Campo Ma'an et Environs	Cancelled	2013
P-Z1-C00-015	Achieving Conservation and Improving Livelihoods through the Sustainable management of Community-Based Forest Operations in Cameroon (Assurer la Conservation et l'Amélioration des Moyens de Subsistance Grace à la Gestion Durables des Exploitations Forestières Communautaires au Cameroun)	Cameroon	Rainforest Alliance	Completed	2015
P-Z1-C00-041	<i>Mise en valeur des rebus forestiers et reforestation des espaces dégradés en Afrique Centrale</i> (Enhancement of forestry waste and reforestation of degraded areas in Central Africa)	Cameroon	GWP-CMR	Completed	2015
P-Z1-C00-048	<i>Projet de reforestation et de rehabilitation des écosystèmes forestiers autour des palmeraies villageoises de l'Arrondissement de Matomb</i> (Reforestation and rehabilitation of forest ecosystems around the village groves Borough Matomb)	Cameroon	CODEMA II	Completed	2015
P-Z1-C00-016	Partnerships for the Development of Community Forests (PDFC) (Partenariats pour le Développement des Forêts Communautaires)	Cameroon	Nature+	Completed	2013

Project code	Project	Country	Executant	Status	Year of completion
P-Z1-C00-003	Reforestation of degraded areas and recovery of non-timber forest products in the Sanaga Maritime <i>(Reboisement des espaces degradés et valorisation des produits forestiers non ligneux dans la Sanaga Maritime)</i>	Cameroon	Cameroon Ecologie	Completed	2013
P-Z1-C00-007	Alternatives to Mangrove Destruction for Woman's Livelihoods in Central Africa <i>(Alternatives à la Dégradation des Mangroves pour la Vie des Femmes en Afrique Centrale)</i>	Cameroon	OPED	Completed	2013
P-Z1-C00-045	Eliminating firewood consumption in the Cocoa sector: Passive solar + Biogas Combo ovens	Cameroon		Cancelled	2013
P-Z1-C00-042	<i>Apiculture améliorée et reforestation autour de la forêt de Bagandou</i> (Improved apiculture and reforestation around the woods of Bagandou)	CAR	CODICOM	Cancelled	2013
P-Z1-C00-050	<i>Gestion et restauration participative des paysages forestiers dégradés de la Réserve de Biosphère-Basse Lobaye</i> (Participatory management and restoration of degraded forest landscapes of the biosphere reserve-Basse Lobaye)	CAR	OCDN	Cancelled	2013
P-CG-C00-035	<i>Inventaire Forestier multi ressources en vue de l'élaboration du plan d'affectation des terres</i> (Forest Inventory Multi resources for the development of the land use plan)	Congo (RoC)	CENTRE NATIONAL D'INVENTAIRE D'AMENAGEMENT DES RESSOURCES FORESTIERES ET FAUNIQUES	On-going	2017
P-CD-C00-037	Reduce Deforestation and Alleviate Poverty in Virunga Hoyo	DRC	WCS	On-going	2018
P-Z1-C00-043	<i>Projet de valorisation des plantes médicinales Africaines pour la promotion de l'entrepreneuriat et la protection de l'environnement</i> (Development project for African medicinal plants for the promotion of entrepreneurship and protection of the environment)	DRC	Fondation BDA	On-going	2016

Project code	Project	Country	Executant	Status	Year of completion
P-Z1-C00-021	The Sankuru community >> Fair Trade >> Carbon Initiative: Innovative Management of Community Controlled Protected Area <i>Initiative du Commerce Equitable du Carbone de la Communauté de Sankuru</i>	DRC	BONOBO CONSERVATION INITIATIVE (BCI)	On-going	2016
P-Z1-C00-029	Civil Society & Government Capacity Building with the REDD+ Process	DRC	WOODS HOLE RESEARCH CENTER	On-going	2016
P-Z1-C00-031	<i>Projet Pilote REDD géographiquement intégré autour de la réserve biosphère de Luki (LBR) dans la forêt du Mayombe</i> (REDD Pilot Project geographically integrated around the biosphere reserve Luki)	DRC	WORLD WILDLIFE FUND BELGIQUE	On-going	2016
P-Z1-C00-026	<i>Projet Pilote REDD géographiquement intégré Ecomakala+</i> (REDD Pilot Project geographically integrated EcoMakala)	DRC	WORLD WILDLIFE FUND BELGIQUE	On-going	2016
P-Z1-C00-027	<i>Projet Pilote REDD d'agroforesterie Sud Kwamouth</i> (REDD Pilot Project of South agroforestry Kwamouth)	DRC	NOVACEL SPRL	On-going	2016
P-Z1-C00-032	<i>Projet Pilote REDD géographiquement Intégré Mambasa</i> (Integrated REDD Pilot Project geographically Mambasa)	DRC	WCS	Completed	2016
P-Z1-C00-028	<i>Projet Pilote REDD géographiquement intégré Isangi</i> (REDD Pilot Project geographically integrated Isangi)	DRC	OCEAN et UNIKIS sous MECNT	Completed	2016
P-CD-C00-035	<i>Appui au développement de l'agroforesteire communautaire en RDC</i> (Support for the development of Community Agroforestry in the DRC)	DRC	MECNT/PADA	Completed	2015
P-Z1-C00-025	Bonono Conservation Concession in Equateur Province in DRC <i>(Concession de Conservation de Bonobos en Province de l'Equateur)</i>	DRC	CI	Completed	2015
P-Z1-C00-009	Innovative, Sustainable Management and Operation of Forest Resources <i>(Gestion et Exploitation Durable et Innovante des Ressources Forestières (GEDIRF))</i>	DRC	AWF	Completed	2013
P-Z1-C00-006	Curbing Slash-and-Burn Agriculture through use of Biochar <i>(Freiner l'Agriculture de Brulis à l'Aide de Biochar)</i>	DRC	ADAPEL	Completed	2013

Project code	Project	Country	Executant	Status	Year of completion
P-GQ-C00-035	<i>Projet de gestion durable des écosystèmes de hautes valeurs socioéconomiques dans la Réserve Naturelle de Rio</i> (Project for sustainable management of high socioeconomic values ecosystems in the Nature Reserve of Rio)	Equatorial Guinea	AMIS DE LA NATURE ET DU DEVELOPPEMENT DE LA GUINEE EQUATORIALE (ANDEGE)	Completed	2016
P-Z1-C00-037	<i>L'appui à la gestion durable des ressources forestières du Gabon</i> (Sustainable management of forest resources of Gabon)	Gabon	MINISTERE DES EAUX ET FORETS	Completed	2016
P-Z1-C00-034	Rwanda Sustainable Woodland management and Natural Forest Restoration ( <i>Gestion durables des boisements et Restuaration des Forets</i> )	Rwanda	RNRA/PGRéF	On-going	2016
P-Z1-C00-008	<i>Stabilisation des émissions de carbone dans le complexe forestier du Tri-national de la Sangha par financement durable et l'amélioration des moyens d'existence</i> (Stabilization of carbon emissions in the forest complex of the Tri-National Sangha through sustainable funding and improving livelihoods)	Multi (CMR, RoC, RCA)	Fondation TNS	Completed	2015
P-Z1-C00-047	<i>Renforcement de la contribution des produits forestiers non ligneux à la sécurité alimentaire en Afrique centrale</i> (Enhancing the contribution of non-timber forest products to Food Security in Central Africa)	Multi (Bur., G.Eq., Rwanda, Tchad)	COMIFAC / FAO	On-going	2016
P-Z1-C00-013	Quantifying Carbon Stocks and Emissions in the Forests of the Congo Basin	Multi (CMR, RoC)	WRI	Completed	2014
P-Z1-C00-044	<i>Appui à la participation multi-acteurs au processus REDD au Cameroun, au Congo, au Gabon, et en RCA</i> (Supporting multi-stakeholder participation in the REDD + process in Cameroon, Congo, Gabon, and CAR)	Multi (CMR, RoC, Gabon, RCA)	UICN Cameroun	On-going	2016
P-Z1-C00-012	Building the foundations for success: Ensuring community participation is at the heart of REDD+	Multi (CMR, RoC, RCA, RDC, Gabon)	FERN	Completed	2014
P-Z1-C00-014	Promotion of land rights of forest communities in the Congo Basin	Multi (CMR, RoC, RDC, RCA, Gabon)	RFUK	Completed	2013

Project code	Project	Country	Executant	Status	Year of completion
P-Z1-C00-024	Beyond Timber Reconciling the needs of logging industry with those of forest dependant people	Multi (CMR, DRC, Gabon)	Biodiversity International (Italy)	Completed	2015
P-Z1-C00-052	<i>Systèmes de surveillance et de mesure, notification et verification (MNV) nationaux avec une approche régionale pour les pays de Bassin du Congo</i> (Monitoring and measurement systems, national reporting and verification with a regional approach to the countries of the Congo Basin)	Multi (COMIFAC 10)	FAO	Completed	2015
P-Z1-C00-038	Project to support the Expanded Natural Resource management training programme in the Congo Basin <i>Programme Élargi de Formation en Gestion des Ressources Naturelles dans le Bassin du Congo</i>	Multi (COMIFAC 9)	COMIFAC/RIFFEAC	Completed	2014

## Annex 6. CBFF Projects Selected for Case Studies

Project	Executant	Justification for Selection	Country
P-Z1-C00-022 - Implication des peuples autochtones Bagyéli dans la gestion du parc national de Campo-Ma'an	ROCAME	A very small initiative working with Indigenous peoples (Babyeli) on issues of access to their forest inside a national park and forest revenue sharing (rated failed, but with some interesting results and lessons learnt by ROCAME)	<b>Cameroon</b>  (Small projects implemented by national/local NGOs)
P-Z1-C00-015 - Achieving Conservation and Improving Livelihoods through the Sustainable management of Community-Based Forest Operations in Cameroon ( <i>Assurer la Conservation et l'Amélioration des Moyens de Subsistance Grace à la Gestion Durables des Exploitations Forestières Communautaires au Cameroun</i> )	Rainforest Alliance	2 projects working in different ways on Community Forests, both have components of REDD+ approach:  1 rated successful – Rainforest Alliance,	
P-Z1-C00-003 - Reforestation of degraded areas and recovery of non-timber forest products in the Sanaga Maritime ( <i>Reboisement des espaces dégradés et valorisation des produits forestiers non ligneux dans la Sanaga Maritime</i> )	CAM-ECO	1 rated moderately successful and with high focus on gender – CAM-ECO;	
P-Z1-C00-007 - Alternatives to Mangrove Destruction for Woman's Livelihoods in Central Africa ( <i>Alternatives à la Dégradation des Mangroves pour la Vie des Femmes en Afrique Centrale</i> )	OPED	1 project working on mangroves, improved fish drying stoves and ecological shrimp production – focussed on women (rated highly successful)	
P-Z1-C00-026 - <i>Projet Pilote REDD géographiquement intégré Ecomakala+</i> (REDD Pilot Project geographically integrated EcoMakala)	WWF	2 of the 6 REDD+ Pilot projects coordinated through government, but implementation delegated. The choice is to concentrate on two projects working on reforestation for charcoal production ; integrated with food production and promotion of improved stoves: Projects Eco Makala in Goma implemented by WWF and rated highly successful, and Sud-Kwamouth implemented by Novacel (private sector) – rated successful. Two very different approaches in different environments	
P-Z1-C00-027 - <i>Projet Pilote REDD d'agroforesterie Sud Kwamouth</i> (REDD Pilot Project of South agroforestry Kwamouth)	Novacel		<b>DRC</b>  (Medium sized projects implemented by a variety of actors)
P-Z1-C00-043 - <i>Projet de valorisation des plantes médicinales africaines pour la promotion de l'entreprenariat et la protection de l'environnement (VPMAPEPE)</i> (Development project for African medicinal plants for the promotion of entrepreneurship and protection of the environment)	Fondation BDA		Innovative project: development of value chain for high-value medicinal and cosmetic products from tree-based cultures and non-timber forest products: training of eco-entrepreneurs and establishment of a products' conditioning centre for high value products
P-Z1-C00-037 - <i>L'appui à la gestion durable des ressources forestières du Gabon</i> (Sustainable management of forest resources of Gabon)	Gabon Ministry of	Support to sustainable forest management (inventories, laboratories, replanting – enrichment planting) rated moderately successful, but with	<b>Gabon</b>

	Water and Forests	some problems – project was not completed, but should have interesting results.	(A relatively large Government project)
P-Z1-C00-034 - Rwanda Sustainable Woodland management and Natural Forest Restoration ( <i>Gestion durables des boisements et Restuaration des Forets</i> )	RNRA/PGRéF	Reforestation, woodlot and sustainable management of; rated highly successful by CBFF Secretariat, implemented through government at central and decentralised levels and with village cooperatives.	<b>Rwanda</b> (A relatively large Government project)
P-Z1-C00-052 - <i>Systèmes de surveillance et de mesure, notifiucation et verification (MNV) nationaux avec une approche régionale pour les pays de Bassin du Congo</i> (Monitoring and measurement systems, national reporting and verification with a regional approach to the countries of the Congo Basin)	FAO	<ul style="list-style-type: none"> <li>• Large regional REDD+ strategy development support and support for MRV for REDD+ (COMIFAC/FAO) or a policy project on NTFP in 4 countries of COMIFAC: both rated successful</li> <li>• Medium sized project supporting structuring of civil society and their engagement in national REDD+ processes (IUCN rated successful)</li> </ul>	<b>Multinationals</b>  (Choice still to be decided amongst the following)
P-Z1-C00-044 - <i>Appui à la participation multi-acteurs au processus REDD au Cameroun, au Congo, au Gabon, et en RCA</i> (Supporting multi-stakeholder participation in the REDD + process in Cameroon, Congo, Gabon, and CAR)	UICN Cameroon		
P-Z1-C00-013 - Quantifying Carbon Stocks and Emissions in the Forests of the Congo Basin	WRI	2 research projects: WRI – carbon research on forests ecosystems of the Congo Basin and BI – research in 6 natural and important tree species in forest concessions (genetic, propagation methods, socio-economic important - nutrition and NTFPs – training (MSc and PhD) working with private sector and local communities	Multinational (CMR, Congo)
P-Z1-C00-024 - Beyond Timber Reconciling the needs of logging industry with those of forest dependant people	Biodiversity International (Italy)		Multinational (CMR, DRC, Gabon)
P-Z1-C00-038 - Project to support the expanded training in Natural Resource management in the Congo Basin <i>Programme Élargi de Formation en Gestion des Ressources Naturelles dans le Bassin du Congo</i>	COMIFAC/ RIFFEAC	Large vocational and academic training programme – rated highly successful and the only one having a second phase (RIFFEAC)	Multinational (COMIFAC 9)