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Independent Evaluation of the Congo Basin Forest Fund

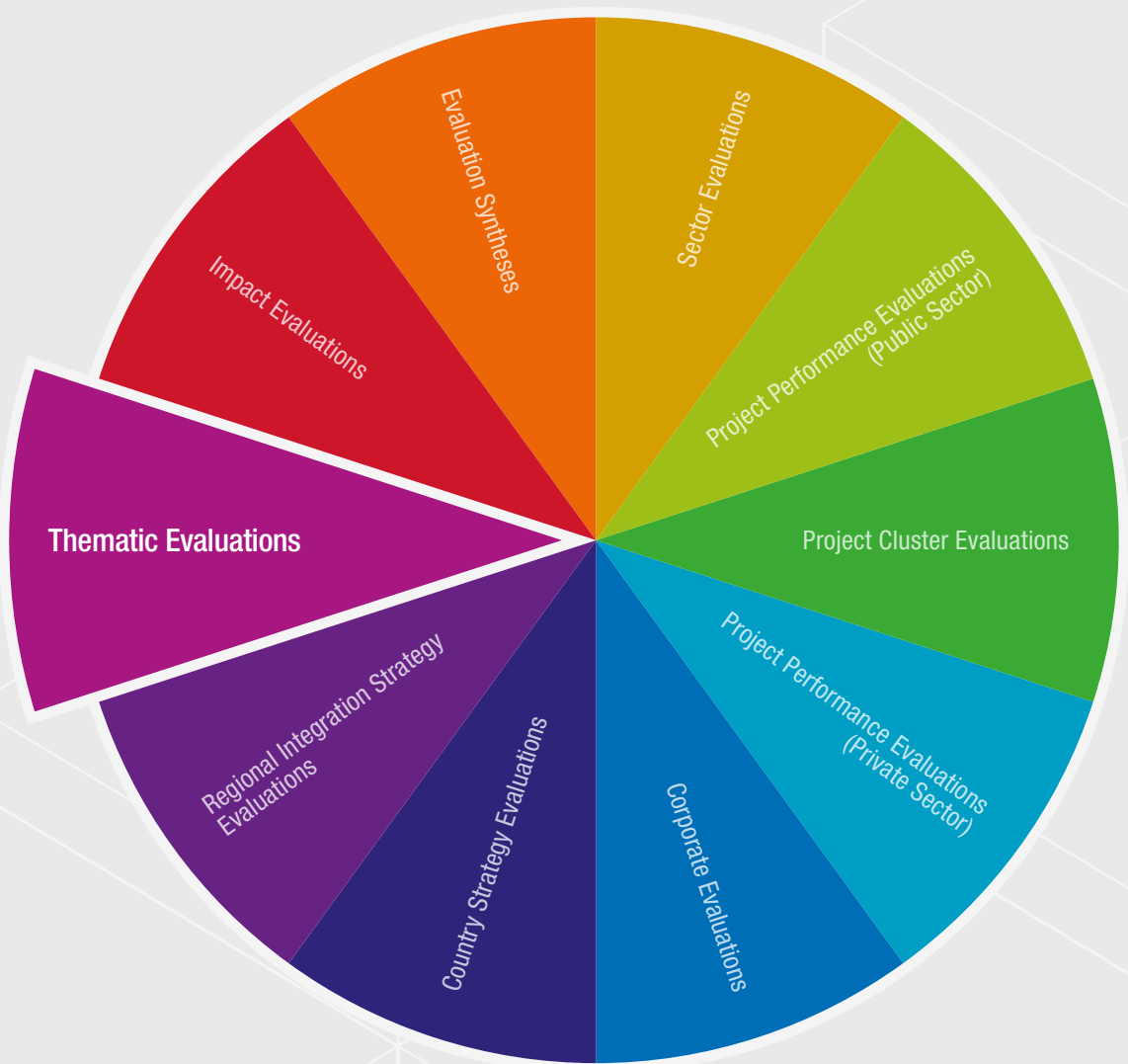
Summary Report

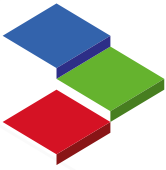


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July 2018

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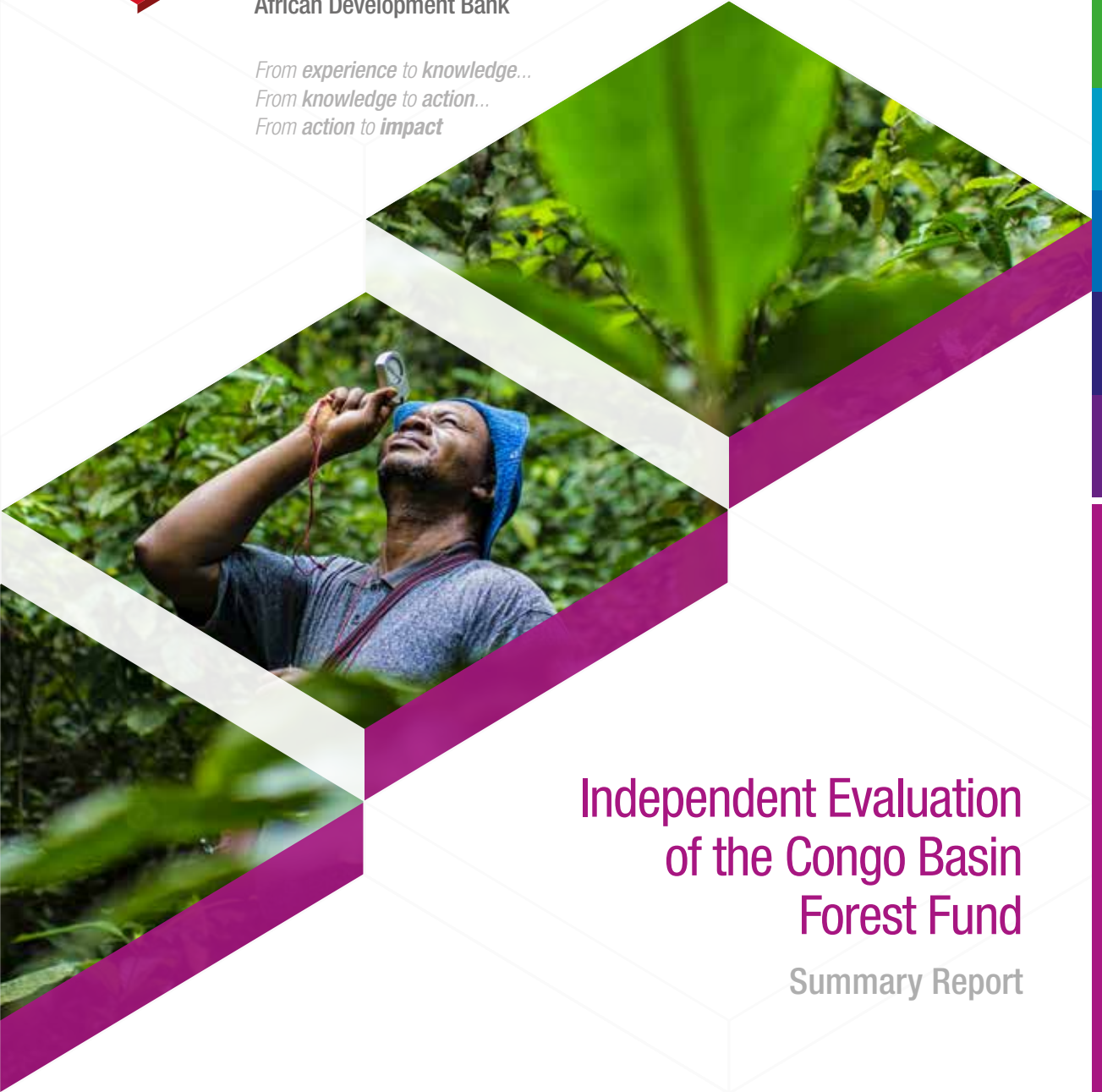




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Independent Evaluation of the Congo Basin Forest Fund

Summary Report



AFRICAN DEVELOPMENT BANK GROUP

July 2018

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Independent Evaluation of the Congo Basin Forest Fund – Summary Report
IDEV Thematic Evaluation, July 2018

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Independent Development Evaluation (IDEV)

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Design & layout: CRÉON – www.creondesign.net

Photography: Center for International Forestry Research (CIFOR)

Cover photography: © Olivier Girard/CIFOR

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Abbreviations and Acronyms

| | | | |
|-----------------|----------------------------------------------|--------------|--------------------------------------------------------------|
| AfDB | African Development Bank | MRV | Measurement, Reporting and Verification |
| CAFI | Central African Forest Initiative | PES | payments for ecosystem services |
| CAR | Central African Republic | PPR | Portfolio Performance Review |
| CBFF | Congo Basin Forest Fund | RBM | Results-Based Model |
| CBFs | Congo Basin Forests | REDD+ | Reducing Emissions from Deforestation and Forest Degradation |
| CBO | Community Based Organization | RISP | Regional Integration Strategy Paper |
| COMIFAC | Central Africa Forest Commission | SFM | Sustainable Forest Management |
| CSOs | Civil Society Organisations | SFLM | Sustainable Forest and Land Management |
| DRC | Democratic Republic of the Congo | UNEP | United Nations Environment Programme |
| Dfid | Department for International Development | VfM | Value for Money |
| ECCAS | Economic Community of Central African States | WCS | Wildlife Conservation Society |
| ERG | Evaluation Reference Group | WWF | World Wide Fund for Nature |
| FMA | Fund Management Agent | | |
| Logframe | Logical Framework | | |



Executive Summary

The Congo Basin Forest Fund

The Congo Basin Forest Fund (CBFF) is a multi-donor fund that was established in 2008. It is administered by the African Development Bank (AfDB or the Bank). The CBFF initially received a total of €119 million from the United Kingdom and Norway. The AfDB received an additional €14 million from Canada in 2012, which was released to the CBFF in September 2013.

The geographic scope of the CBFF covers all member countries of the Economic Community of Central African States (ECCAS), the Central Africa Forests Commission (COMIFAC) and the Congo Basin Forest Partnership (CBFP).

The main objective of the CBFF is “alleviating poverty [and] mitigating climate change by reducing the rate of deforestation in the Congo Basin through sustainable forest management ...”¹ The CBFF adopted a strategy of funding innovative and transformative projects capable of demonstrating inclusivity and contributing to building institutional capacity in the region.

The CBFF was intended to work with a wide range of development partners including Governments, Regional Economic Communities, donors, other initiatives (e.g. the Global Environment Facility), Non-Governmental Organisations (NGOs), civil society and the private sector in the Congo Basin sub-region.

The CBFF came into being during a time when forests had become an important priority in international climate negotiations. There was a sense of urgency around the forest agenda, and enthusiasm for the CBFF was high and broadly supported by a diversity of stakeholders.

From two calls for proposals, the CBFF approved funding for thirty-eight projects, accounting for a budget of approximately €73.6 million, of which €62.4 million had been disbursed as of December 2017.

The CBFF evaluation

The main purpose of this evaluation is threefold, namely to: (i) inform decision making at the Governing Council and AfDB levels; (ii) draw lessons learned for the CBFF stakeholders including the AfDB, donors and implementing partners; and (iii) ensure accountability for the CBFF investments towards the Governing Council, donors, AfDB Board, and COMIFAC.

The evaluation focused on five overarching questions: How well was the CBFF governed and managed? How strategic was the selection of CBFF projects given relevant national and regional strategies? How well did the CBFF projects perform? Did the CBFF induce innovation and prepare for transformational change? How sustainable are the CBFF results?

It was based on (i) the OECD/DAC criteria of relevance, effectiveness, efficiency and sustainability, and in addition, inclusivity, innovation and performance of the AfDB/CBFF secretariat, Governing Council and other stakeholders; and (ii) a four-point rating scale: highly satisfactory, satisfactory, unsatisfactory and highly unsatisfactory. It used evidence from literature and document reviews, stakeholder interviews, an online survey, site visits and beneficiary focus group discussions. The evaluation consisted of three phases: (i) Inception, (ii) Document Review, Data Collection and analysis, and (iii) Final Synthesis and Engagement, leading to the production of three background reports and a synthesis report.

CBFF performance

Overall, the CBFF has performed well. Its portfolio was strategically coherent and effective in generating relevant outputs and outcomes against its seven main areas, including the promotion of innovations for transformational change required to reduce deforestation, and supporting capacity development in the Congo Basin countries. The CBFF projects have been, however, inefficiently delivered, with results that are unlikely to be sustained, notably where projects do not have alternative sources of funds.

| CBFF performed well | |
|---------------------|---------------------|
| Rated criteria | Overall rating |
| Strategic coherence | Highly satisfactory |
| Effectiveness | Satisfactory |
| Efficiency | Unsatisfactory |
| Sustainability | Unsatisfactory |

Strategic coherence

The strategic coherence of the CBFF portfolio is highly satisfactory. This performance resulted from five key aspects: (i) the CBFF's relatively open and non-prescriptive calls for proposals from a very wide range of potential grantees – this helped to stimulate innovations, and to produce a very diverse portfolio, covering a range of project themes, sizes, locations, grantee types and types of activities; (ii) the extensive geographical reach of the CBFF portfolio ensuring the coverage of almost all the COMIFAC countries including the Democratic Republic of the Congo (DRC) and Cameroon with the largest areas of Congo Basin forests; (iii) the portfolio's consistency with the CBFF agenda of developing the capacity of people and institutions in the Congo Basin countries, as a significant percentage (76%) of project grantees and implementers are institutions based within the region; and (iv) complete alignment of CBFF project objectives with the stated priority themes and purpose of the CBFF. These projects reflect all the CBFF priority themes, of which the most common comprise

Forest Management and Sustainable Practices, Reforestation/afforestation, and Livelihoods and Economic Development; and (v) alignment of the objectives of CBFF project to Congo Basin national and regional policy frameworks. The alignment was strong with the strategic areas of the COMIFAC convergence plan but weak with other regional or national policy frameworks. The alignment with the AfDB's Central Africa Regional Integration Strategy Paper (RISP) was also highly unsatisfactory; only one of the 38 CBFF projects has objectives that were consistent with those of the RISP.

Effectiveness

The overall effectiveness the CBFF portfolio is rated satisfactory notwithstanding the notable variation in project performance against each of the seven results areas. Strongest performance was found within the capacity development theme, and the weakest in the gender and vulnerability theme. Overall effectiveness was assessed as satisfactory or highly satisfactory for four thematic areas, but unsatisfactory in three.

At the portfolio level, results reported against the CBFF's RBM Model targets were broadly satisfactory. All themes were supported though the majority of the CBFF projects contributed to three themes: Forest Management and Sustainable Practices, Livelihoods and Economic Development and capacity development in REDD, MRV and SFM. More than half of the projects which were funded and implemented, were effective.

Improved forest management and sustainable practices: The contribution of the CBFF portfolio to this is **unsatisfactory**. Although more than half of the projects reported results that contributed to this thematic area, the results were considerably less than 50% of the majority of the indicator targets.

Improved livelihoods and economic development: The CBFF portfolio performance is **unsatisfactory** in this area, as its contribution in terms of project results

Table 1: CBFF Effectiveness Ratings

| Results area | Rating |
|-------------------------------------------------------------------------------------------|---------------------|
| Improved forest management and sustainable practices | Unsatisfactory |
| Improved livelihoods and economic development | Unsatisfactory |
| Monitoring Reporting and Verification (MRV), and/ or benefit sharing mechanisms for REDD+ | Satisfactory |
| Benefit sharing related to carbon markets and ecosystem services | Satisfactory |
| Capacity development | Highly satisfactory |
| Gender and vulnerability | Unsatisfactory |
| Innovation and transformation | Satisfactory |

is modest. More than half of the projects reported results that contributed to this thematic area, but they attained less than 50 percent of their targets on two-thirds of the indicators. Nevertheless, they did contribute to the creation of temporary employment, piloting new livelihood models and improving access rights, and an unintended outcome on improved health and sanitation.

Monitoring Reporting and Verification (MRV) of deforestation and forest degradation: The CBFF portfolio achieved **satisfactory** results on the MRV theme. It achieved most of its intended results, as well as contributing to government policy frameworks for MRV. Its achievements also include the mapping and designation of 35 million hectares of forest area for reforestation and REDD+ finance in five countries.

Carbon markets and ecosystem services: The CBFF's contribution to this theme is **satisfactory**, as it produced the majority of the intended results relating to benefits from international REDD+ and payments for ecosystem services (PES) schemes (one from Cameroon and six from DRC). The reported results include two REDD+ pilot projects that achieved Gold Standard and in preparation for applying to voluntary carbon markets. The output of seven CBFF projects made a significant contribution to advancing national REDD+ policy frameworks in the region, especially in DRC.

Capacity development: The CBFF portfolio exhibited a **highly satisfactory** performance in strengthening capacity. It contributed significantly to knowledge of

the forest resource, and to the quality of research and academic and professional training in the sub-region. It also improved the project management and implementation capacity of national NGOs in the sub-region.

The CBFF achieved significant results from embedding capacity development in small NGOs and CBOs' project administration and management. Online survey responses from this project indicate that implementation was positively affected by training for project staff in Bank procedures before starting the project, and regular support through supervision from the CBFF. However, embedding capacity development in government organizations has been less effective. This was partly because most projects, in which government was the contract signatory were implemented in a "through-funding" arrangement by NGOs or private sector bodies. Also, of the four projects that were implemented directly by government agencies, two were discontinued due to problems of non-performance and failure to adhere to procedures.

Gender and vulnerability: The inclusivity of women and vulnerable groups in CBFF projects is **unsatisfactory**. Only a few of the small projects specifically integrated a gender vulnerability focus into the intervention approach and achieved good results. Although almost all CBFF projects claim to target forest dependent communities including women and minority groups, relatively few of the projects demonstrated in their designs a strong approach to address the issue of inclusivity of women and vulnerable groups. Where reported,

project results were disaggregated by gender within the Results Based Model (RBM), women made up fewer than half of beneficiaries.

Innovation and transformational change:

Innovation is rated as **satisfactory**. CBFF funded projects and innovations, the building blocks for contributing to ‘transformational’ change, required to reduce deforestation in the development of the countries of the Congo Basin. Individual projects included innovative aspects with sixty-six percent of the projects developing potentially replicable tools and/or models. This represents a potentially valuable contribution to the policy and practice of protecting the forests of the sub-region, and the livelihoods of those who depend on them.

However, CBFF made insufficient efforts toward the documentation, evaluation, communication, replication, uptake and learning from the innovative tools and models developed through its support.

Efficiency

The efficiency of the CBFF portfolio is unsatisfactory. This results from the limited value for money (VfM), significant project implementation delays, and fund mismanagement. Although good VfM practices were found implemented across a majority of the CBFF projects, there was no overall CBFF framework for VfM, nor was cost-effectiveness a central concern for the CBFF portfolio. The VfM was limited by substantial implementation challenges most notably serious project cancellations, disbursement delays, resource mismanagement/leakage, and difficulties in following AfDB procedures, and the lack of a third round of funding.

Eleven of the 38 CBFF projects (29%) were cancelled or discontinued before their planned completion dates. Project implementation delays were also substantial. Although all the 38 CBFF projects were initially planned for completion before or by 2017, by end 2017, only 18 were completed, with 11 cancelled or discontinued, and the remaining

ongoing. High disbursement delays, and difficulties in following the AfDB’s procedures contributed to a greater extent to the project cancellations and implementation delays. The disbursement of all the CBFF project funds was expected to be completed during the first quarter of 2018. However, by end 2017, the overall disbursement rate of the CBFF projects was 84 percent. By the end of 2015, seven years after the CBFF came into being, less than half the funds promised had been disbursed.

Sustainability

Sustainability of CBFF portfolio results is unsatisfactory. It is unlikely that without further external funding support, especially for capitalizing individual project achievements, including the innovations, the project will see sustainability. This is due to a number of factors including:

- The CBFF was not meant to provide long-term commitment and support required in addressing deforestation and forest degradation and improving forest people’s livelihoods in the Congo Basin region.
- A majority of the CBFF projects have sought other external funding or looked for other means to ensure the sustainability of their results. Without external funding inputs, some of the CBFF innovations were not financially viable – notably because of the public/community nature of their outputs and services- and likely to be lost.
- The financial sustainability of many projects is not assured. Most of the CBFF innovations need a longer time to mature in order to produce the desired impacts. Many of the projects were piloting new approaches, and were designed to have a second phase in order to reach maturity and achieve long term impact. But there was no second phase.
- Knowledge sharing and collective learning were limited. CBFF projects lacked good measurement

systems and tools. The tools and innovations developed with the support of CBFF funding have not yet been adequately capitalized. Information sharing and promotion of uptake of such tools and innovations were also limited. With the exception of the six DRC REDD+ pilot projects, there has been little direct exchange and common learning between grantees working on similar themes and activities.

- CBFF's missing strategy for sustaining project results, and for phasing out.

CBFF governance and management

Overall the governance and management of CBFF has been unsatisfactory, though specific aspects have improved over time. The CBFF experience with regard to governance and management is ripe with lessons for the AfDB, donor partners and other stakeholders.

The fund was born out of a high level of political commitment and a sense of urgency as, at the time, donors wished to concretely demonstrate their commitment to the 2009 Copenhagen Climate Summit. However, the high political profile of the CBFF was accompanied by unrealistic expectations for early wins. These expectations were not effectively managed, and the fund got off to a hasty start.

This haste to get the fund up and running is at the root of many of its under-achievements. This is one of the major paradoxes of the CBFF as, although rapidly implemented, the accelerated process created many of the obstacles which subsequently slowed it down. Most notably, (i) the fund began its life without clearly defined objectives nor ways to understand progress to these objectives; and (ii) the first call for proposals in 2008 was announced on the same day the fund was launched, which was a year before the CBFF Secretariat was set up.

The AfDB accepted to manage the fund despite its lack of experience in the subject matter and in the

administration of small grant schemes targeting civil society. In addition, the AfDB's systems of fiduciary control and grant management procedures were not well suited to the CBFF portfolio of relatively small projects.

The CBFF Secretariat team recruited by the Bank gradually strengthened over time but also suffered from a slow start-up and multiple reporting lines. Since the team were new recruits, the CBFF suffered in the early years in terms of capacity and a lack of familiarity with AfDB procedures. The Secretariat's performance was very mixed in terms of communication with donors, project executants and the outside world.

To its side, the Governing Council was conceived with two principal functions: (i) strategic guidance on defining and meeting objectives; and (ii) decision-making on which projects to fund in order to meet those objectives. However, in practice, the Governing Council was highly engaged in resolving operational matters in the early years. This left it little time to fulfil its strategic role, as well it contributed to confused reporting lines for the Secretariat. None-the-less, project selection was done reasonably well, based on broad parameters encouraging innovation and diversity.

Recommendations

This evaluation recommends that the AfDB ensures:

- i. **The CBFF and its Governing Council should ensure a full and considered completion phase for the CBFF; and**
- ii. **The CBFF Secretariat should invest in capturing and capitalising on lessons learned.**

Without these actions, many of the CBFF's innovations, achievements and lessons will be lost.

The evaluation also provides several concrete recommendations in the case that the CBFF

continues or that a similar forest and climate trust fund will be implemented in the future. These recommendations, directed at the AfDB, focus on how the Bank could improve Fund design and management:

iii. The AfDB should consider continuing to use a trust fund, such as the CBFF, as one of its tools and funding mechanisms in the forest and climate sector. In the event the AfDB does continue to use a similar trust fund model, it should:

- a. Analyse how the political and international environment has changed from 2008 to 2018;
- b. Increase AfDB ownership and governance of the trust fund;
- c. Coordinate with national agendas in REDD+, climate resilience and sustainable forest and landscape management;
- d. Tailor operations and procedures;
- e. Improve communications; and
- f. Improve performance measurement and reporting. ■



Photo: Flickr, Oliver Grand/CFOR

Management Response

Management welcomes the evaluation of the Congo Basin Forest Fund (CBFF) by the Independent Development Evaluation Department (IDEV). The report provides observations and analyses that will inform the Bank's intervention and ultimately strengthen the impact of its ongoing and future investments in climate change mitigation and adaptation. In addition, the operational lessons learned from the management of the CBFF will be invaluable to improving the operations of the Bank's existing trust funds.

According to the evaluation, the overall performance of the CBFF is satisfactory. Its portfolio is strategically coherent and effective in generating relevant outputs and results against its seven main themes, including promoting innovations for transformational change required to reduce deforestation, and supporting capacity development in Congo Basin countries. The evaluation indicated that CBFF projects yielded results that are unlikely to be sustained, particularly where projects do not have alternative sources of funds. Recommendations from the report will be implemented where possible.

Introduction

The Congo Basin Rainforest is the second largest tropical forested area in the world after the Amazon. Given its importance, the Bank in partnership with the Central African Forest Commission (COMIFAC) and the UK's Department for International Development (DFID) organized an international conference in 2008 in Tunis, Tunisia on funding mechanisms for the sustainable management of these forests. Following the conference, Central African governments made an appeal to all technical and financial partners to support their concerted efforts for the sustainable management of the Congo Basin Forest. This led to the creation of the CBFF, which at the time of its inception was a unique vehicle allowing close collaboration between Central African governments, regional institutions, technical partners and civil society organizations towards the common objective of preserving the second lung of the world.

The intention behind setting up the CBFF was to slow the rate of deforestation in the Congo Basin Region by developing the capacity of people

and institutions in Congo Basin countries to manage their forests and help local communities find livelihoods that were consistent with its conservation.

The evaluation of the CBFF was undertaken at the request of the Fund's Governing Council. The objectives of the evaluation were to assess how well the CBFF achieved its objectives and results. Specifically, the evaluation sought to: (i) provide an analysis on ways in which the CBFF portfolio and CBFF governance structures contributed to the achievements of the Fund's objectives and results; (ii) inform the decisions of donors, the CBFF Governing Council, the Bank's Board of Directors and the Bank's Management on the way forward for the CBFF; and (iii) provide lessons learnt for programs and funds tackling issues related to climate change and the reduction of deforestation and forest degradation in the Congo basin region.

The evaluation covered the period 2008–2017 and provided recommendations for the future. The analysis was based on the standard OECD-DAC evaluation criteria—relevance, coherence,

efficiency, effectiveness and sustainability, and took into account cross-cutting criteria including inclusiveness and gender equality. The evaluation was based on a desk review of background papers, an online survey of the projects funded, semi-structured interviews with staff from both the Bank and the CBFF Secretariat; and group discussions with beneficiaries of selected projects on the field. In addition, case studies were conducted in the Ivory Coast, DRC, Cameroon, Rwanda and Gabon.

The evaluation reported on the strategic coherence of the CBFF, its effectiveness, efficiency and sustainability as well as its governance.

Strategic coherence of the CBFF portfolio

Management notes the Evaluation Report's rating of the strategic coherence of the CBFF as satisfactory. This finding highlights deliberate efforts made to ensure that CBFF projects are aligned with the regional Convergence Plan of the Central Africa Forest Commission (COMIFAC) and the countries' Poverty Reduction and Growth Strategy Papers (PRGSP). Furthermore, coherence was also secured with the Bank's Environmental Policy Paper (ADB/BD/WP/89/123) and the Bank's then flagship operation – Congo Basin Ecosystems Conservation Support Project (PACEBCo) which ended in 2017.

However, we note that the evaluation indicated that alignment with other regional or national policy frameworks was weak. Furthermore, alignment with the AfDB's Central Regional Integration Strategy Paper (RISP) was also seen as highly unsatisfactory, with only one of the CBFF projects having objectives that were consistent with those of the RISP. Management agrees with the finding that points to the absence of mainstreaming of the Bank's strategies, policies and projects into trust fund entities (including the CBFF) during the design and review process. This is a lesson learned that will be addressed

going forward by ensuring convergence between objectives of trust funds and the Bank's regional and national strategies. This will facilitate the use of trust funds to co-finance Bank's national and / or regional investments during the processes leading up to establishment of the trust fund.

Effectiveness

Management notes that the overall effectiveness of the CBFF portfolio was rated satisfactory, notwithstanding the notable variations in the key development outcomes as follows:

- Improved forest management and sustainable practices was rated unsatisfactory;
- Improved livelihoods and economic development was rated unsatisfactory;
- Monitoring, reporting and verification (MRV) was rated satisfactory;
- Benefit sharing related to carbon markets and ecosystem services was rated satisfactory;
- Capacity development was rated highly satisfactory;
- Gender and vulnerability was rated unsatisfactory; and,
- Innovation and transformation was rated satisfactory.

In the area of forest management and sustainable practices, the poor rating (unsatisfactory) is mainly due to the fact that the project reported results were less than 50% of indicated target. This was a consequence of the two forest community projects that were dropped in the Central African Republic (CAR) and the Democratic Republic of Congo (DRC). Nevertheless, the report acknowledges tangible project results in this area, including:

- 16 million hectares set aside for the protection of soil and water, conservation of biodiversity;
- Six million hectares covered by management plans;
- Over 27,000 hectares of new forested land planted;

- More than 11 million saplings produced, and five alternatives to wood fuel developed.

Going forward, the project institutional environment will be better assessed before expected targets are set. Pilot tests and approaches need to be anchored on government and regional planning frameworks for ease of subsequent integration of results.

Regarding improved livelihoods and economic development, it is clearly too early to be able to demonstrate economic development outcomes given the relatively short-term nature of these pilot intervention projects in forests, which by nature require 7–10 years to assess impact. However, management observes that the report mentions that CBFF projects did contribute to the creation of temporary employment, piloting new livelihood models and improving access rights, and an unintended outcome of improved health and sanitation. These contributions are significant given the importance of improving livelihoods to any sustainable forest management strategy.

Management notes the satisfactory rating for benefit sharing related to carbon markets and ecosystem services. The lessons learned from CBFF funded projects in this area have informed similar components of the Forest Investment Program (FIP).

The **satisfactory** rating for MRV systems can be attributed to the CBFF-funded and FAO-implemented Congo Basin Regional MRV Project Phase I. This very successful regional project developed monitoring and measurement systems, national reporting and verification for Congo Basin countries, which significantly contributed to their national policies and strategic processes on sustainable forest management.

Management notes the highly satisfactory rating for capacity development. The Bank will leverage the experience from the CBFF to further promote the training of stakeholders, especially

local CBOs and NGOs, in view of a more inclusive approach to the sustainable management of forest ecosystems. The Bank's Climate Smart Agriculture (CSA) operations already embed this approach; the second phase of the PACEBCo (Programme d'Appui à la Conservation des Écosystèmes du Bassin du Congo) program will further emphasize its use.

Management notes the weak gender and vulnerability rating. This is generally due to the lack of specific gender related indicators in the CBFF initial logical framework. Moreover, the availability of gender-disaggregated data at the local community levels were often scanty. Going forward, emphasis will be placed on mainstreaming gender into project design, encouraging a greater use of gender indicators and gender experts throughout the project cycle.

The Report rates the CBFF's Innovation and transformation as satisfactory. This is largely a result of the CBFF's approach to project selection through a non-prescriptive call for proposals, which was able to attract innovative proposals from various actors across the Congo Basin region. Open calls are often used by the Bank's trust funds to ensure the financing of cutting edge ideas. For example both the Africa Climate Change Facility (ACCF) (<https://www.afdb.org/en/topics-and-sectors/initiatives-partnerships/africa-climate-change-fund/>) and the Agriculture Fast Track Fund (AFTF) (<http://www.aftfund.org>) project selection is done through a call for proposals.

Efficiency

Management notes that the Evaluation Report finds that the efficiency of the CBFF portfolio was unsatisfactory. This resulted from the limited value for money (VfM), significant project implementation delays, and fund mismanagement. Although good VfM practices were found implemented across a majority of the CBFF projects, there was no

reported overall CBFF framework for VFM, nor was cost-effectiveness deemed a central concern for the CBFF portfolio. The VFM was reportedly limited by substantial implementation challenges most notably serious project cancellations, disbursement delays, resource mismanagement/leakage, and difficulties in following the AfDB procedures, and the lack of a third round of funding.

Management acknowledges that the operational efficiency of the CBFF was beleaguered by a multiplicity of factors, including the rush to get projects selected, reviewed and funded, and the Bank's limited experience with managing NGO-led projects. But performance improved over time when a number of processes were adapted to meet the demands of the Fund.

Concerning the VfM findings, Management notes that the absence of an overall VfM framework was perhaps the determining factor for the poor rating. Going forward, the Bank will endeavor to mainstream such a framework into similar initiatives, where feasible.

With regard to project cancellations, most of these were deemed as necessary given the conflict crisis in CAR and the fiduciary breaches observed in other countries. Nonetheless, going forward Management notes the importance of including adequate capacity building measures or seeking joint ventures with more robust agencies to reduce fiduciary risks.

The implementation efficiency lapses cited are acknowledged. Management is of the view that these were in large part due to a rushed start-up; an overly complex administrative process; an incompatibility between the Bank's fiduciary control systems and the management of small grants; and the recruitment of the Fund Management Agent (FMA) to manage small grants valued at under 2.5 million Euros.

Management is pleased that the Evaluation Report recognizes the flexibility that the Bank demonstrated to increase efficiency and value

for money, notably by adapting its procedures to better accommodate the particularities of the Fund.

Management would like to report that with resolute actions, the financial and procurement irregularities revealed in two CBFF-funded projects in DRC and Gabon have since been resolved and all ineligible expenses have been reimbursed (DRC) or are in the process of being refunded to the Bank (Gabon). In addition, the Bank's Office of Integrity and anti-corruption is reviewing the case of Gabon and additional actions may be taken, should the results of the independent investigation reveal any sanctionable conduct.

Sustainability

The Evaluation Report rates the sustainability of the CBFF portfolio as unsatisfactory. This is due in part, to the absence of a strategy for sustaining project results, and for phasing out. Other factors cited include limited knowledge sharing and collective learning.

In order to improve sustainability in this area, management will endeavor to incorporate successful pilots into the Climate Smart Agriculture (CSA) flagship program of Feed Africa and in the design of other afforestation programs to be designed by the Bank. Knowledge activities of the CSA flagship in collaboration with PEVP will seek to provide knowledge activities emanating from the CBFF experience.

Furthermore, the proposed second phase of the PACEBCo program, could be an ideal vehicle to provide longer term support for the successful experiences registered under CBFF. Indeed, PACEBCo could be used to roll out to a larger scale the innovative tools created by the Fund's projects including approaches to establishing and improving agroforestry systems; establishing payment for ecosystem services for re-afforestation and for charcoal production; and

creating improved approaches to the establishment of forest land tenure, amongst others.

Governance and management of the CBFF

Management notes that the CBFF Governance and management is rated unsatisfactory. This was due to the rushed start-up of the CBFF; the Bank's limitation in managing small grant-based projects and the governing council's extensive involvement in the management of operational issues. In addition, the CBFF Governing Council lost one of its co-chair Nobel Laureate Wangari Maathai who died three years after the fund's inception; the second co-chair The Right Honorable Paul Martin resigned in 2016. Both of these events undermined the ability of the GC to make decisions and negatively impacted the governance of the CBFF.

Notwithstanding, management is pleased to learn that the governance structure improved over time and that grantees reported a more constructive working relationship with the CBFF.

Going forward, management will undertake a frank assessment of the capacities within the Bank vis-à-vis modalities of project implementation for the best administration of such trust fund activities in the Bank.

Conclusion

Management finds this Evaluation Report to be very insightful and affirms that the CBFF was innovative in the sense that it provided a funding niche for local NGOs and CSOs that could not receive funding elsewhere. It also served a population that was hitherto, largely neglected by donors.

The Bank takes notes of the evaluation's recommendation that the Bank support projects that contribute to national agendas in REDD+, climate resilience and sustainable forest and landscape management. The design of the PACEBCo program is underway and is poised to include all of these very important elements.

Recommendations from the report for the CBFF and its Governing Council to take appropriate decision/action(s), to have a full and considered completion phase for the CBFF and invest in capturing and capitalizing on lessons learnt will be pursued with vigor where possible.

The Bank, in collaboration with donors, have identified a series of actions and steps and associated timelines to ensure an efficient and effective closeout of the Fund and effective communication with all CBFF's stakeholders. A workshop to document and capture lessons learned from CBFF is also being organized as part of closeout activities in collaboration with CBFF donors.

In addition, the Bank will leverage its experiences with the CBFF to support COMIFAC in operationalizing the newly established Congo Basin Blue Fund, which seeks to counter the exploitation of forest ecosystems by promoting the sustainable use of water resources as a basis for economic development in the Congo Basin. A symposium on the ways in which the Bank can support the Blue Fund is planned for the second semester 2018.

Lastly, the Bank recognizes the need to build measurement protocols into project implementation to increase trust, support learning, and capitalize on early successes, which can then be scaled up to enhance sustainability. ■

| MANAGEMENT ACTION RECORD | |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| RECOMMENDATION | MANAGEMENT RESPONSE |
| RECOMMENDATION 1 : The CBFF and its Governing Council take appropriate decision/actions for a full and considered completion phase for the Fund. | |
| <p><i>The CBFF, AfDB and its donors should communicate to all the CBFF's stakeholders about the positive outputs of the Funds' projects, mitigating the negative perceptions of the CBFF. More can be done by the CBFF to ensure the documentation, communication, replication and uptake of the innovative tools and models that have been created with its support, including by looking into projects that were not covered as case studies in this evaluation.</i></p> | <p>AGREED: The Secretariat in collaboration with donors have identified a series of actions and steps and associated timelines to ensure an efficient and effective closeout of the Fund and communication with all CBFF's stakeholders. These include:</p> <ul style="list-style-type: none"> ■ Preparing a communication strategy to inform the relevant audience on the results achieved, the challenges faced, the success stories and the lessons learnt using appropriate channels. The draft strategy will be discussed with CBFF donors in September 2018 ■ Preparing a final report of the CBFF that covers technical achievements and lessons learned. The final report will be submitted in April 2019. |
| RECOMMENDATION 2 : The CBFF Secretariat invests in capturing and capitalising on lessons learned. | |
| <p><i>The Governing Council should consider whether the funds still available can be used to facilitate a completion phase. There needs be a commitment to make the necessary funds available to implement this phase. A completion phase could include:</i></p> <ul style="list-style-type: none"> ■ <i>Some funding for temporary, additional capacity within the CBFF Secretariat.</i> ■ <i>Capitalisation of experience' phase for existing CBFF projects.</i> ■ <i>Specific small investments to improve sustainability of a number of the CBFF projects.</i> ■ <i>A selection of projects could be invited to produce one/some technical project briefs/reports capturing the essence of what they have done. Project stories could be published on the CBFF website and promoted by the Congo Basin Forest Partnership.</i> ■ <i>A collective exercise of bringing project executants together in well moderated environment to develop common lessons for the future.</i> ■ <i>In a separate exercise the AfDB itself should draw its own lessons from working with international and national civil society organisations and decide either to transform the administrative procedures required for grantees, or to recognise the limitations of AfDB procedures for working with these types of organisations.</i> | <p>AGREED: The Bank will look into developing a strategy to mainstream the results of CBFF projects into its operations, especially those designed by the climate change and green growth department, the Climate Development in Africa Program, and ACCF. However, in terms of using remaining CBFF resources to facilitate capturing and capitalizing on lessons learned, this will be impossible since donors have requested that they be reimbursed all non-committed funds by December 2018.</p> <ul style="list-style-type: none"> ■ The Bank will hold an internal workshop to share the results and lessons learned from the Fund towards the end of 2018. (AHAI, before end 2018). ■ The Bank will hold a symposium on the Bank's support to the Blue Fund (AHAI, before end of 2018). ■ The CBFF will update its website with the knowledge work and the innovative models and tools developed by the projects before its sunset date (AHAI, December 2018).The Final report of the CBFF mentioned above will include boxes with briefs on some selected projects capturing the essence of their achievements. (AHAI, April 2019). ■ The Management takes note of the suggestion for a collective exercise bringing together some projects executants to develop common lessons for the future. This kind of gathering was organized by the CBFF in Douala in October 2012 with the participation of FIFC, PCGL, SNFI, AHAI and the FMA. The objective was to discuss the "CBFF Operational Procedures"; it had helped all parties involved to improve their cooperation. Going forward, The Bank is exploring the possibility of organizing a colloquium on using the lessons learned from the CBFF to support the operationalization of the newly-established Blue Fund for the Congo Basin Region. The Blue Fund seeks to mobilize resources for promoting resilient economic development through the sustainable management of both forest and water resources. The Blue Fund also seeks to strengthen the ecosystem approach to the integrated management of Congo Basin forests and watersheds. |

| MANAGEMENT ACTION RECORD | |
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| RECOMMENDATION | MANAGEMENT RESPONSE |
| <p>RECOMMENDATION 3: The AfDB should consider continuing to use a trust fund, such as the CBFF, as one of its tools and funding mechanism in the forest and climate sector.</p> <p><i>By its very nature, such a fund would seek to support innovation for transformational change and would therefore recognise the possibility of 'failure'. It would recognise that success may come from failure, if failures are understood and learnt from.</i></p> | <p>AGREED: The successful pilots of the CBFF and other lessons learned, including cases of failure will be capitalized and internalized in the planned second phase of the PACEBCo and other similar programs in the region.</p> |
| <p>RECOMMENDATION 3a: Analyse how the political and international environment changed from 2008 to 2017.</p> <p><i>If the AfDB were to support a future forest and climate sector through a trust fund, it should first undertake a thorough analysis of recent changes in the political and international environment (such as the new Sustainable Development Goals, the 2015 Paris Agreement, countries' Nationally Determined Contributions (toward climate change mitigation), AfDB's High 5 Priorities, among others). These would need to be considered in the design of a future forest and climate sector trust fund. It would also be worthwhile for the AfDB to review its own funding tools in the forest and climate sector, and to consider whether a CBFF-type tool would be a more effective funding mechanism (for instance for its present Forest Investment Programme mechanism).</i></p> | <p>AGREED: The Bank has already undertaken this analysis as evidenced by the approval of the second Climate Change Action Plan (CCAP2), which is designed to incorporate the Bank's High 5 priorities, the Paris Agreement, the 2030 development agenda, the Bank's Green Growth Framework and the lessons learned in the implementation of the first climate change action plan (CCAP1), 2011–2015.</p> |
| <p>RECOMMENDATION 3b: Increase Bank ownership and governance of such a trust fund.</p> <p><i>If the AfDB were to support a future Forest and Climate Sector Trust Fund, the AfDB should take full ownership of it, including providing the necessary seed money. The purpose of this would be to mobilise the interest of potential donors, whilst also ensuring the Bank is involved in decisions about such a fund. Such a trust fund should seek to support innovations and impacts at the local level or for a specific topic or research. It should not be an investment fund and therefore should not require a large amount of investment. It would however require a broad constituency and should fit the regional forest and climate agenda including sustainable forest and landscape management, economic development and improved livelihoods for those that live in the Congo Basin's forests.</i></p> | <p>AGREED: The Bank acknowledges the need for it to increase its ownership of trust funds, especially by directly investing in them. The Bank is already implementing this recommendation as evidenced by its direct investment in the Leadership4Agriculture Platform, a trust fund financed by the Rockefeller Foundation.</p> |
| <p>RECOMMENDATION 3c: Coordinate with national agenda's in REDD+, climate resilience and sustainable forest and landscape management.</p> <p><i>If the AfDB were to support a future forest and climate sector through a trust fund, all projects funded should explicitly contribute to the development and implementation of national strategies. Within AfDB's new governance structure – in consultation with national governments, civil society and the private sector – the Forest and Climate Sector Trust Fund should seek to identify the theme(s) and areas of intervention relevant for each country. Following this, it would launch coordinated calls for proposal at both national and regional levels.</i></p> | <p>AGREED: As noted in the report, the CBFF has always ensured that its interventions were aligned with national agendas. For example, investment in REDD+ was used specifically to inform DRC's national REDD strategy. In addition, the CBFF financing of the sustainable forest management of forest resources in Gabon was perfectly in line in line with the provisions of the National Forest Code, notably the axes relating to sustainable management, restoration and conservation of forest ecosystems. In addition, this project was aligned with the Forest and Environment Sector Program (PSFE) validated in 2003. Lastly, despite its fiduciary problems, the project remained well aligned with the national policy on poverty reduction.</p> |

| MANAGEMENT ACTION RECORD | |
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| RECOMMENDATION | MANAGEMENT RESPONSE |
| RECOMMENDATION 3d: Tailor operations and procedures | |
| <i>Project grantees should not be allowed to refuse operational procedures; however, it is necessary that the procedures are tailored to fit the type of projects and grantee types being supported. The AfDB should develop separate sets of procedures for different grantee types.</i> | AGREED: The Bank further recognizes the need to develop rules, policies, and procedures that are tailored to the requirements of trust funds. As mentioned earlier, the Bank has already simplified a number of its processes to improve CBFF operations namely: the review and approval of projects; the operational procedures; and cancellation procedures. These revised processes are now being used by some of the Bank's other trust funds to improve their operations. |
| RECOMMENDATION 3e: Improve communications | |
| <i>A multi-donor and multi-actor fund such as a forest and climate trust fund needs an open approach to communication. This requires a flexible secretariat which, supported by its partner institution, has an open non-bureaucratic way of functioning. The secretariat should have the capacity to follow-up both on issues raised by its donors, as well as those raised by its partners and grantees. It requires a minimum of autonomy of functioning. A forest and climate trust fund would need a diversity of tools for communication. It would need an up-to-date website and would need to ensure that successes, failures and lessons are documented in such a way that they can be shared and communicated. In addition, lesson learning and sharing platforms between groups of project executants should be promoted to ensure innovations are shared and improved upon.</i> | AGREED: Management accepts that there were communication challenges between both the Bank and the grantees on one hand and the Bank and donors on the other hand. According to the report, while communication improved significantly for the former, it did not for the latter, and this is one of the reasons given by Norway and the United Kingdom (UK) for their decision to pull out of the Fund. However, Management would like to underscore that the Bank has always prioritized good communication with the donors. The Bank facilitated innumerable meetings and teleconferences, at donors' request and provided requested information. Likewise, the Bank also ensured that representatives from all relevant departments within the Bank including those at the highest echelons of senior management were always at donor's disposal. Although the involvement of all relevant Bank's department slowed the communication, it helped ensure that the information provided to Donors is accurate and complete. |
| RECOMMENDATION 3f: Improve performance measurement and reporting | |
| <i>A forest and climate trust fund should recognise the importance of incorporating measurement protocols into project implementation. This would ensure (i) transparent and convincing reporting that builds trust; (ii) learning is supported and does not avoid reporting and learning from 'failures'; (iii) performance-based project implementation; and (iv) early successes are capitalised on and scaled-up (including setting aside funds at the outset for scaling-up of particularly promising innovations). Such a forest and climate trust fund should have the capacity to support project grantees and provide advice on the design of such measurement protocols.</i> | AGREED: In order to improve performance measurement and reporting, a robust M&E system needs to be designed before a program such as the CBFF is launched. The Bank will ensure that this is done in a systematic manner. Individual projects will then have to align their M&E system to that overall system. In addition, investments need to be made in terms of capacity building for project teams to improve their measurement and reporting. |



Introduction

The Congo Basin Forest Fund

The Congo Basin Forest Fund (CBFF) is a multi-donor fund that was established in 2008. It is administered by the African Development Bank (AfDB or the Bank). The CBFF initially received a total of €119 million from the United Kingdom and Norway². The AfDB received an additional €14 million from Canada in 2012, which was released to the CBFF in September 2013.

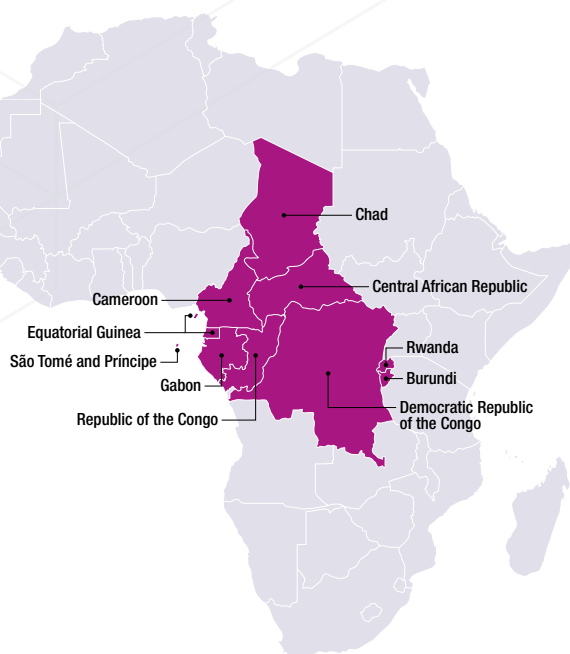
The geographic scope of the CBFF covers all member countries of the Economic Community of Central African States (ECCAS), the Central Africa Forests

Commission (COMIFAC) and the Congo Basin Forest Partnership (CBFP) (Figure 1).

The main objective of the CBFF is “alleviating poverty [and] mitigating climate change by reducing the rate of deforestation in the Congo Basin through sustainable forest management...”³

The CBFF’s intended impact is stated 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.’ From this Results Based Model (RBM), this evaluation identified two pathways for change (Annex 2):

Figure 1: CBFF country coverage



- Pathway 1: Sustainable and viable forest management by local communities (and private sector);
- Pathway 2: Building sustainable forest and landscape management enabling environment and REDD+ readiness at the national level.

Box 1 outlines the five key themes that CBFF projects aimed to support as well as the approaches these projects were expected to adopt – all with an emphasis on innovation, inclusivity and capacity.

The CBFF was intended to work with a wide range of development partners including Governments, Regional Economic Communities, donors, other initiatives (e.g. the Global Environment Facility), Non-Governmental Organisations (NGOs), civil society and the private sector in the Congo Basin sub-region.⁴ Eligibility to apply for project funding extended to government agencies of AfDB Regional Member Countries, as well as regional

inter-governmental agencies and institutions, NGOs, civil society organisations (CSOs), community-based organisations (CBOs), research and training institutions, regional, sub-regional and sectoral organisations, and private sector institutions⁵.

The CBFF came into being during a time when forests had become an important priority in international climate negotiations. There was a sense of urgency around the forest agenda, and enthusiasm for the CBFF was high and broadly supported by a diversity of stakeholders.

The CBFF completed two calls for proposals⁶, from which thirty-eight projects were approved by the AfDB (Annex 1). These 38 projects form the CBFF's portfolio, accounting for a budget of approximately €73.6 million, of which €62.4 million had been disbursed by the end of 2017. Nine of these projects are multinational in scope, 13 are in the DRC, nine in Cameroon, and two in the Central African Republic (CAR). (Table 3, page 23).

Box 1: CBFF Broad Parameters

Five themes for CBFF projects:

(I) Sustainable forest [landscape] management; (II) Livelihoods and economic development; (III) Measurement, Reporting and Verification (MRV) of deforestation and forest degradation within the Congo Basin; (IV) Benefits from carbon markets and ecosystem services; and (V) building in Reducing Emissions from Deforestation and forest Degradation (REDD+), MRV and sustainable forest management.

Projects were expected to adopt approaches that:

Demonstrated innovation and sought to stimulate transformation; Adopted effective approaches to inclusivity – factoring in gendered intervention approaches (and enabling participation by marginalized groups); and Incorporated strengthening the capacity of institutions based in the Congo Basin into their interventions.

Source: Operations Procedures

Box 2: The Congo Basin's global and local importance

The Congo Basin is a vast area in Central Africa, rich in forest, wildlife, petroleum and metal resources. It is shared by several countries including Cameroon, the CAR, the DRC, the Republic of Congo and Equatorial Guinea (see Figure 1).

The Congo Basin forests (CBFs) are of national, regional and global importance, as they account for about 70 percent of Africa's forest cover and approximately 26 percent of the world's remaining rainforest. They also constitute the second largest tropical forested area on the planet. The CBFs remain important economic pillars of national economies in the Congo Basin. They are home to around 30 million people, support livelihoods for 75 million people, and store about 25 percent of tropical forest carbon globally.

Box 2 outlines the importance of the Congo Basin to the region and whole planet.

CBFF exists alongside a range of other initiatives aimed to preserve the region. With increasing Congo basin deforestation and forest degradation, a number of national, regional and international development initiatives have been created to address these issues. These initiatives include:

- The COMIFAC, established in 1999 by the Congo basin countries⁷. All the COMIFAC countries are members in the CBFP and the CBFF;
- PACEBCo (Programme d'Appui à la Conservation des Ecosystèmes du Bassin du Congo) supported by the AfDB;
- CBFP supported by USAID;
- Program for the Conservation and Use of Forest Ecosystems in Central Africa (PCUFCA) supported by the European Union;
- The World Bank supported Forest Carbon Partnership Facility (FCPF), launched at the same time as the CBFF and the United Nations REDD Facility's (UN-REDD) Program; and
- The Central African Forest Initiative (CAFI), the most recent initiative, a collaborative partnership of Central African partner countries and a coalition of donors.

The CBFF evaluation

Purpose and questions

The purpose of this evaluation is threefold, namely to: (i) provide an opportunity for the key CBFF stakeholders - Governing Council, AfDB, donors and COMIFAC- to learn lessons and understand CBFF aspects and how its activities have worked / not worked and why; (ii) inform decisions of the donors, CBFF Governing Council and AfDB Board on the way forward for the CBFF; and

(iii) ensure accountability for CBFF investments in several key results areas towards donors, AfDB Board, and COMIFAC. In addition to informing ongoing project delivery and wider decisions around the future of CBFF post-2018, this evaluation is intended to provide lessons for other complementary programs and funds addressing similar complex issues related to reducing deforestation in the Congo Basin.

The evaluation mainly assesses how well CBFF projects were selected, designed, implemented and produced results. The inception phase retained five overarching evaluation questions⁸ comprising:

- 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?
- 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?
- How well did the CBFF projects perform? What results were achieved on-the-ground?
- Did the CBFF induce innovation and prepare for transformational change?
- How sustainable are the CBFF results?

Methodology

The evaluation used a theory-based approach with realist principles for synthesising key findings from the background reports. The evaluation team reconstructed the CBFF theory of change during the evaluation inception phase (see Annex 2). The evaluation was based on: (i) the DAC criteria of relevance, effectiveness, efficiency and sustainability, but also includes inclusivity and innovation; (ii) multiple lines of evidence; (iii) a comparative analysis

and pattern matching; (iv) a four-point rating scale of: highly satisfactory, satisfactory, unsatisfactory and highly unsatisfactory (see Annex 4).

The evaluation consisted of three phases. (i) An Inception Phase to prepare an inception report to guide the evaluation; (ii) A Document Review and Data Collection and Analysis Phase - to prepare three key background reports for the evaluation: a Portfolio Performance Review, an Organization and Management Performance Review, and 11 Case Study Reports (Box 3); and (iii) A Final Synthesis and Engagement Phase under a synthesis approach drawn on realist principles and comparative analysis. This last phase produced the final evaluation report based on a synthesis of findings from the background reports, and comments and feedback from evaluation reference group (ERG) members, peer reviewers, and other stakeholders. The evaluation team also held a learning and reflection workshop based on the findings.

Limitations

The evaluation was subject to the following limitations:

- **Data Quality:** There were gaps in available documentation, particularly for the project portfolio. A CBFF Secretariat interviewee inferred that poor document storage had led to the loss of some documents. This was partially overcome through the use of an online survey, which allowed standardized information to be collected

across the portfolio and provided an opportunity to request some additional documentation from the project executants, although substantial gaps remain. In addition, due to the need to assess the full portfolio of 38 projects, with the exception of the case studies, the time devoted to each project was necessarily limited.

- **Political Instability:** Political instability in the DRC meant that it was not possible to visit DRC case study projects to see the results on-the-ground, nor to speak directly with beneficiaries to understand broader impacts of the projects. The DRC case studies, therefore, rely heavily on interviews with project executants with these opinions verified through interviews with the DRC National REDD+ Coordinator and external project evaluations that were conducted as part of the CBFF monitoring and evaluation processes.
- **Tight time and budget constraints:** The pressure to begin early, combined with limitations in the quality of data and problems with some field visits meant that it was only possible to undertake a primarily qualitative analysis of impact, with a look to the value for money and contribution to the CBFF's objectives. The late assembly of an ERG also meant that the theory of change developed during the inception phase was carried out without participation of the ERG and stakeholders, and was not, therefore, able to be finalized in time to influence the field work and data analysis in the way that it was envisaged. ■

Box 3: Data collection methods

Data collection involved desk reviews, an online survey of all 38 CBFF projects, semi-structured interviews with AfDB and CBFF Secretariat staff, and interviews with project executants and focus group discussions with beneficiaries from a selection of projects.

This phase included in-country interviews and field work in the Ivory Coast, DRC, Cameroon, Rwanda and Gabon (refer to Annex 6 for a full list of documents reviewed and people met).

The data was used to assess how well the CBFF was organised and managed as well as the performance of its portfolio of projects. This phase also included the development of eleven evidence-based case studies, which provided more nuanced and contextual information to complement the performance reviews.

Performance of the CBFF

Overall, the CBFF performed well. Its portfolio is strategically coherent and effective in generating relevant outputs and results against its seven results areas, including promoting innovations for transformational change required to reduce deforestation, and supporting capacity development in Congo Basin countries. The CBFF portfolio was, however, inefficiently delivered, with results that are unlikely to be sustained, notably where projects do not have alternative sources of funds. Table 2 summarizes the performance ratings of the CBFF portfolio.

Table 2: CBFF Performance Ratings

| Rated criteria | Overall rating |
|---------------------|---------------------|
| Strategic coherence | Highly satisfactory |
| Effectiveness | Satisfactory |
| Efficiency | Unsatisfactory |
| Sustainability | Unsatisfactory |

Strategic coherence of the CBFF portfolio

The relevance of the CBFF portfolio is assessed as **highly satisfactory**, measured in terms of its approach, geographical reach, and alignment with the CBFF's capacity development agenda and thematic areas as well as alignment to national and regional policy frameworks.

The heterogeneity of the portfolio, reflects the **non-prescriptive approach chosen for the Fund, and the focus on innovation**. At the outset, the CBFF adopted a relatively open and less prescriptive call for proposals from a very wide range of potential grantees. The CBFF set out only broad limits to define the thematic scope of its funding, and its eligibility criteria, followed by the launch of a competitive

bidding process. This helped the CBFF stimulate innovations, and produce a very diverse portfolio, covering a range of project themes, sizes, locations, grantee types and types of activities.

The geographical coverage of the CBFF portfolio is highly appropriate. The portfolio extended across all countries of COMIFAC, except Angola, and concentrated in those countries (DRC and Cameroon) that have the largest areas of Congo Basin forests (Table 3). DRC and Cameroon account for respectively 107 million hectares of lowland rainforest (or almost 60 percent of the total) and 2 million hectares of lowland rainforest⁹. The use of both single-country and multi-country projects ensured that no countries of the sub-region were entirely excluded. However, projects in CAR had to be cancelled because of the civil war.

The CBFF portfolio is consistent with its objective of developing the capacity of people and institutions in the Congo Basin countries. A significant share (76 percent) of project grantees and implementers were institutions based within

Table 3: CBFF Portfolio Concentration

| Country | Number – single country projects | Number – multi-country projects |
|------------------------------------|----------------------------------|---------------------------------|
| Burundi | 1 | 3 |
| Cameroon | 9 | 8 |
| Central African Republic (CAR) | 2 | 6 |
| Democratic Republic of Congo (DRC) | 13 | 5 |
| Equatorial Guinea | 1 | 3 |
| Gabon | 1 | 6 |
| Republic of Congo (RC) | 1 | 7 |
| Rwanda | 1 | 3 |
| Chad | 0 | 3 |
| São Tomé and Príncipe | 0 | 1 |

the region. The CBFF succeeded in attracting and funding a wide range of grantee/implementing mechanisms (Figure 2). Among these diverse grantees, the projects varied in size from 'small grants' of less than €1 million (13 projects) through 'medium grant' (20 projects) of €1-3.5 million to 'large grants' (6 projects) of over €3.5 million.

The portfolio of 38 projects is also consistent with CBFF priority themes and purpose. These projects reflect all the CBFF priority themes, of which the most common themes are Forest Management and Sustainable Practices, Reforestation/afforestation,

and Livelihoods and Economic Development (Table 4). Within this overall framework of CBFF's key thematic areas, the projects covered a wide range of activity areas including:

- Community forest enterprises;
- Fuel efficient smoke houses in mangrove areas;
- Encouraging female entrepreneurship;
- Emancipation of forest indigenous people (Bagyeli);
- National forest zoning and land use planning in Gabon;
- Restoration of forestry plantations and

Figure 2: CBFF project grantees by share of approved funds

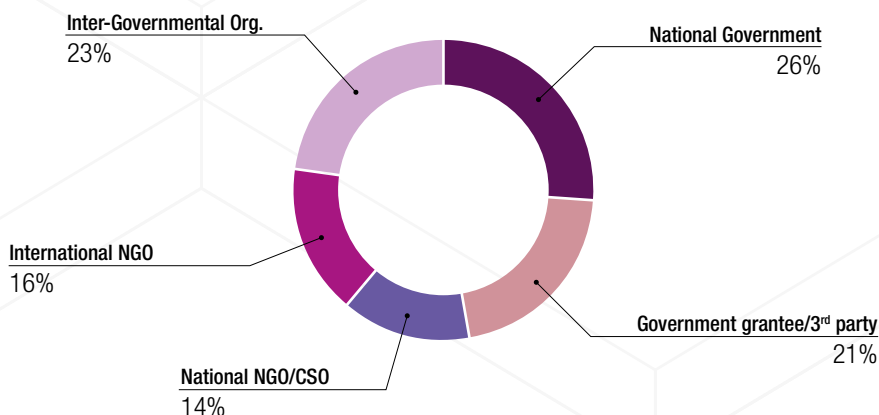


Table 4: Alignment with CBFF Thematic Areas

| CBFF Thematic Areas | Projects |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|
| ■ 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 legal, policy and institutional arrangements necessary for effective action | 32 |
| ■ 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. | 31 |
| ■ Monitoring, Reporting and Verification (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. | 16 |
| ■ 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. | 15 |
| ■ Capacity Building in REDD, in MRV and in SFM to strengthen the capacity of government, civil society and private sector within the Congo Basin, in particular in partnerships between institutions. | 14 |

agroforestry in Rwanda;

- Artisanal commercialization of Jatropha in Burundi;
- REDD+ Pilot projects in DRC and other projects addressing REDD+ issues in DRC;
- Biochar and high value medicinal plants projects in DRC; and
- Forest inventory in the Republic of Congo.

At the regional-level, the CBFF funded four projects on the theme of supporting REDD+ readiness, research of carbon stocks and ensuring community participation: (i) one on enhancing training capacity amongst 22 forestry training institutions in the region; (ii) one on policy and practice of non-timber forest products; (iii) one on community land rights; and (iv) one research project on multi-purpose trees in forestry concessions.

The alignment of the portfolio to national and regional policy frameworks is also satisfactory.

The objectives of all the CBFF-projects show alignment with at least one of the 10 strategic areas of the COMIFAC convergence plan¹⁰, but only a minority of the projects are aligned to other regional or national policy frameworks. The CBFF portfolio's alignment with the AfDB's Regional Integration Strategy Paper (RISP)¹¹ is very weak; the objectives of only one of the CBFF projects are aligned with those of the RISP.

Effectiveness

The overall effectiveness the CBFF portfolio is rated **satisfactory** notwithstanding the notable variation in project performance against each of the seven results areas. Strongest performance was found within the capacity development theme, and the weakest in the gender and vulnerability theme. Overall effectiveness was assessed as satisfactory or highly satisfactory for four thematic areas, but unsatisfactory in three (Table 5).

At portfolio level, the results reported against the CBFF's RBM targets were broadly satisfactory. All themes were supported though the majority of

Table 5: CBFF Effectiveness Ratings

| Thematic area | Rating |
|-------------------------------------------------------------------------------------------|---------------------|
| Improved forest management and sustainable practices | Unsatisfactory |
| Improved livelihoods and economic development | Unsatisfactory |
| Monitoring Reporting and Verification (MRV), and/ or benefit sharing mechanisms for REDD+ | Satisfactory |
| Benefit sharing related to carbon markets and ecosystem services | Satisfactory |
| Capacity development | Highly satisfactory |
| Gender and vulnerability | Unsatisfactory |
| Innovation and transformation | Satisfactory |

the CBFF projects contributed to three themes: Forest Management and Sustainable Practices, Livelihoods and Economic Development and capacity development in REDD, MRV and SFM.

More than half of the funded and implemented projects were effective. The CBFF has achieved half (16 out of 32) of its 2015 interim targets and met the 2018 target level for ten of these, but missed its 2015 targets for nine indicators, of which seven reported less than 50% of the 2015 target. (Annex 7).

Improved forest management and sustainable practices

The contribution of the CBFF portfolio is rated as **unsatisfactory** with regard to the theme of **improved forest management and sustainable practices**. Twenty-one projects reported results that contributed to this thematic area, but the results were considerably less than 50 percent of the majority of the indicator targets.

Nevertheless, the project results include 16 million hectares for the protection of soil and water, conservation of biodiversity or social services as primary designated function; 6 million hectares covered by management plans; 345 million hectares with designated use; over 27,000 hectares of

new forested land planted; more than 11 million saplings produced, and five alternatives to wood fuel developed. The CBFF portfolio also contributed to policy and strategy development at the regional and sub-regional levels especially in the areas of forest land use planning, community, civil society participation, non-timber forest products and biodiversity and ecosystem protection.

Improved livelihoods and economic development

Performance is rated unsatisfactory on improved livelihoods and economic development area because of its modest contribution in terms of project results. Although more than half of the projects reported results that contributed to this thematic area, they attained less than 50 percent of their targets in two-thirds of the indicators.

Nevertheless, the projects did contribute to the creation of temporary employment, piloting new livelihood models and improving access rights, and an unintended outcome on improved health and sanitation. The main quantitative results in this thematic area include: more than 134,000 people directly involved in production, processing and/or sales organizations originating from CBFF projects; 821,500+ forest-dependent people with livelihood benefits directly protected or improved via CBFF projects; 22 additional sources of livelihood/income developed and implemented; almost 33,000 men and women with improved access rights to land and property, and 13,500+ persons in CBOs involved in processing or selling forest products.

On the policy side, the CBFF portfolio contribution was limited to a small project in Burundi that claimed to have made a potential contribution to national poverty reduction, employment and growth. This was through developing and modelling viable alternatives to fuelwood and alternative sources of subsistence in order to help preserve national reserves.

Monitoring reporting and verification (MRV) of deforestation and forest degradation

The CBFF portfolio is rated as satisfactory on the MRV theme. It achieved most of its intended results, as well as contributing to government policy frameworks for MRV. Seven projects contributed to the MRV thematic area. The reported results include 35 million hectares of forest area mapped and designated for reforestation and REDD+ finance; and five countries (Burundi, Chad, Equatorial Guinea, Rwanda and Sao Tome) developed REDD+ Readiness Preparation Proposals (R-RPs) with the support of the CBFF. Two of the multinational projects (covering Cameroon, Congo, and COMIFAC) made significant contributions to government policy frameworks for MRV and/or participation in the context of REDD+. In Cameroon and Congo, the CBFF projects helped in the identification of deforestation hotspots and the definition of carbon stocks and carbon emissions from forests. Within COMIFAC, five countries developed and validated national REDD+ R-PPs, and four countries elaborated an action plan for implementing a national forest MRV.

Carbon markets and ecosystem services

Contribution to the theme on carbon markets and ecosystem services is rated as satisfactory, as it produced the majority of the intended results relating to benefits from international REDD+ and PES schemes (one from Cameroon and six from DRC). The reported results include two REDD+ pilot projects that achieved Gold Standard and are in preparation for applying to voluntary carbon markets; two additional projects working towards Gold Standard (though not captured in the RBM); two REDD+ Project Design Documents submitted by a CBFF project; six REDD+ pilot projects developed in DRC; and three projects in Cameroon with the objective of preparing communities and land use for REDD+ recognition.

The output of seven CBFF projects made a significant contribution to advancing national REDD+ policy frameworks in the region,

Table 6: Projects Contributing to Benefit Sharing Within REDD+ Policy

| CBFF Project | Contribution to: |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------|
| Multinational project: Supporting multi-stakeholder participation in the REDD+ process in Cameroon, Congo, Gabon, and CAR | Processes and institutional structures for developing national REDD+ strategies. |
| DRC: The Sankuru community Fair Trade Carbon Initiative: Innovative Management of Community Controlled Protected Area | Design of the REDD+ Benefit sharing mechanism |
| DRC: Cluster of six REDD+ Pilot projects, (i) Pilot Project REDD+ geographically integrated Ecomakala+; (ii) Pilot Project REDD+ Agroforestry in Kwamouth; (iii) Pilot Project REDD+ geographically integrated Isangi; (iv) Civil Society & Government Capacity Building with the REDD+ Process; and (v) Pilot Project REDD+ geographically integrated around the biosphere reserve of Luki (LBR) in hr Mayombe Forest | Pilot for National REDD+ Strategy & its operationalization |

Source: document review, e-survey and interviews, synthesis of narrative responses

especially in DRC. The DRC's six REDD+ pilot projects are the only identifiable and coherent 'cluster' of medium-sized projects in the CBFF portfolio. All but one of these were implemented through financing agreements in which the government acted as contract signatory while implementation, including grant management, was in the hands of NGOs. This arrangement worked well, as it yielded a suite of policy-relevant results that can be capitalized upon. Table 6 highlights the contributions of the one multinational project and six DRC projects.

Capacity development

The performance of the CBFF portfolio is assessed as **highly satisfactory in strengthening capacity**. It contributed significantly to knowledge of the forest resource, and to the quality of research and academic and professional training in the sub-region. It also improved the project management and implementation capacity of national NGOs in the sub-region. Slightly more than half of the CBFF portfolio (21 projects) contributed to this thematic area through two sub-areas comprising (i) REDD+, MRV and SFM, and (ii) Congo Basin country institutions implementing CBFF projects.¹² Regarding the REDD+, MRV and SFM areas, reported results from the CBFF RBM include:

- Improved knowledge on forest resources: At least half of the CBFF projects, from almost all Congo Basin countries (Burundi, Cameroon,

Congo, DRC, Equatorial Guinea, Gabon and multinational), undertook research and forest resource knowledge improvement activities. As a result, these activities produced at least 150 knowledge documents, including 61 studies, 17 communications materials, 16 scientific/technical reviews/reports, 14 strategy papers, nine inventories, eight maps, six databases, six training materials, and five position papers.

- Strengthened forest training institutions: The COMIFAC/RIFFEAC Project to support the Expanded Natural Resource management training program in the Congo Basin¹³ has been successful in strengthening 21-member forestry training institutions in the Congo Basin through curriculum development, building classrooms and equipping laboratories. It has contributed significantly to the available capacity in the region to undertake research and training at academic and professional levels. This was the only project to be approved for a second phase.
- National stakeholder platform for participation in forest policy: The FAO¹⁴/COMIFAC MRV project supported five COMIFAC countries (Burundi, Chad, Equatorial Guinea, Rwanda and Sao Tome and Principe) with national stakeholder platforms for participation in forest policy development.
- Forty-six information sharing platforms, including numerous meetings, workshops, working groups

and platforms, as well as several radio programs through the support of five of the DRC REDD+ pilot projects, and medium-sized multinational projects.

Embedding capacity development of Congo Basin institutions into their implementation approaches was also part of CBFF's purpose in working with 16 small NGOs and CBOs as grantees/field partners/delivery agents.

In this area, significant results were achieved among these small national NGOs and CBOs that benefitted from mainly very small grants to implement projects at a local level. The majority of these grantees started from a very low level of capacity, and put in considerable effort to master the required project administration and management processes. One notable example is the CSO, *Association Tubane de Gikuzi ASBL*, which implemented the integrated exploitation of the *Jatropha* plant in Burundi project¹⁵, and was considered to be among the best performers in terms of compliance with project planning and Bank procedures¹⁶. Online survey responses from this project indicate that implementation was positively affected by training for project staff in Bank procedures before starting the project with regular support through supervision from the CBFF. However, embedding capacity development in government organizations has been less effective. This was partly because most projects, in which government was the contract signatory, were implemented in a “through-funding” arrangement by NGOs or private sector bodies. Also, of the four projects that were implemented directly by government agencies, two were discontinued due to problems of non-performance and failure to adhere to procedures.

Gender and vulnerability

The inclusion of women and vulnerable groups in CBFF projects is limited and rated as unsatisfactory. Almost all projects that responded to the online survey (22 out of 25 projects) stated that they targeted forest dependent communities, while

a majority reported making separate provisions for women and minority groups. However, relatively few of the CBFF projects demonstrated in their designs a strong approach to address the issue of inclusion of women and vulnerable groups. Where reported project results were disaggregated by gender within the RBM, women made up fewer than half of beneficiaries, suggesting that the approaches used to ensure inclusivity were not particularly effective.

Nevertheless, a few of the small projects which specifically integrated a gender vulnerability focus into the intervention approach achieved good results. In this category are: *the Alternatives to Mangrove Destruction for Woman's Livelihoods in Central Africa* project implemented in Cameroon¹⁷, which won awards for its work; and the *Implication des Peuples Autochtones Bagyéli dans la Gestion du Parc National de Campo-Ma'an*¹⁸, in Cameroon. Funding for this latter project was, however, cancelled by the CBFF Governing Council because of its perceived low value for money.

Innovation and transformational change

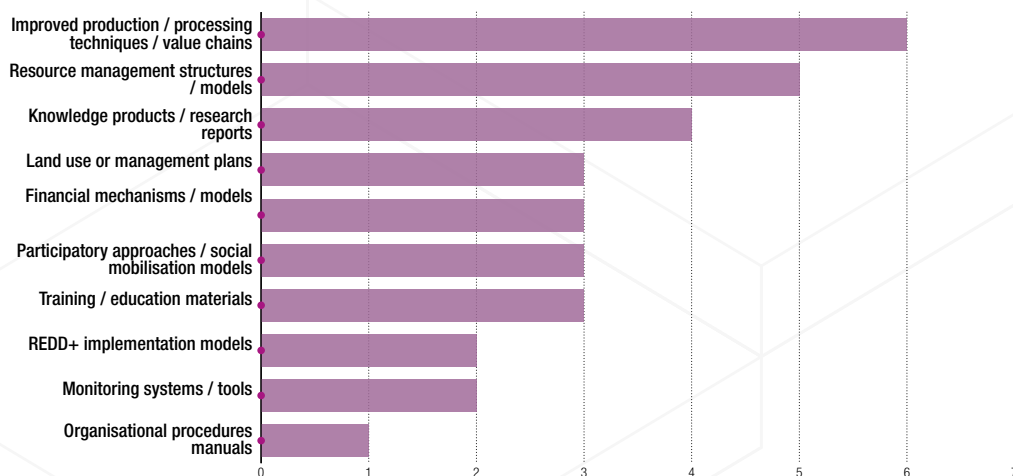
Innovation is rated as satisfactory. CBFF funded projects and innovations, the building blocks for contributing to ‘transformational’ change, required to reduce deforestation in the development of countries in the Congo Basin. Individual projects included innovative aspects.

Sixty six percent of the projects developed potentially replicable tools and/or models. This represents a potentially valuable contribution to the policy and practice of protecting forests of the sub-region, and the livelihoods of those who depend on them. The list of tools developed include: (i) forest inventories and research on forest measurement and management systems; (ii) training materials at all levels from community to academic and professional education facilities, course curricula and modules; (iii) land use and management plans; (iv) a smartphone-based monitoring tool; (v) cooperative and community-based institutional models; (vi) micro-credit systems; and (vii)

methodologies for social mobilization, participatory mapping and community participation. Figure 3 also shows the list of replicable tools or innovations from the CBFF projects.

users was done to a limited extent by the grantee organizations within their own networks (for example, work on carbon stocks in Congo Basin forests done by the World Resource Institute was widely

Figure 3: Potentially replicable models and tools



Source: document review, online survey and interviews - synthesis of narrative responses

A wide range of examples of CBFF innovations were identified and analyzed through the eleven case studies. These innovations include: (i) measurement and reporting innovation; (ii) social innovations in land tenure and benefit sharing contracts in REDD+ tree planting projects; (iii) community forest enterprises; (iv) innovations in fish-smoking practices and fish-selling enterprise; (v) slash-and-char agriculture; and (vi) piloting REDD+ at local levels. Examples from each of these areas are included in Annex 9, for the purpose of lessons learned.

However, CBFF made insufficient efforts toward the documentation, evaluation, communication, replication and uptake of innovative tools and models developed through its support. Communication of innovations to potential new

distributed within its networks) or, through a more or less spontaneous word-of-mouth transmission of new techniques to neighboring communities (such as occurred with women's uptake of improved fish processing techniques in mangrove areas¹⁹). This was contrary to donor's wishes who repeatedly asked the CBFF Secretariat to put project information, results, studies, reports and links to implementing organizations and project websites on the CBFF website.²⁰

Efficiency

The efficiency of the CBFF portfolio is unsatisfactory. This results from the limited VfM practices, significant project implementation delays, and leakage of funds.

Value for money (VfM) practices

Cost Effectiveness was not a concern. Although good VfM practices were found implemented across a majority of the CBFF projects, there was no overall CBFF framework for VfM, nor was cost-effectiveness a central concern for the CBFF portfolio. The most commonly reported VfM practices were building capacity of local groups to ensure sustainability of results, using a training of trainers approach, and documenting failures and lessons learned (Figure 4). Furthermore, 16 projects also reported leveraging additional funding, amounting to 12% (€10.3 million leveraged) of the total value of the portfolio. Leveraging additional funding was important, as some of the projects had to pre-finance activities in order to avoid implementation delays related to the CBFF disbursement procedures. However, the VfM of the CBFF portfolio was significantly and negatively impacted by substantial project cancellations, and other implementation deficiencies including disbursement delays, resource mismanagement/leakage and lack of a third round of funding.

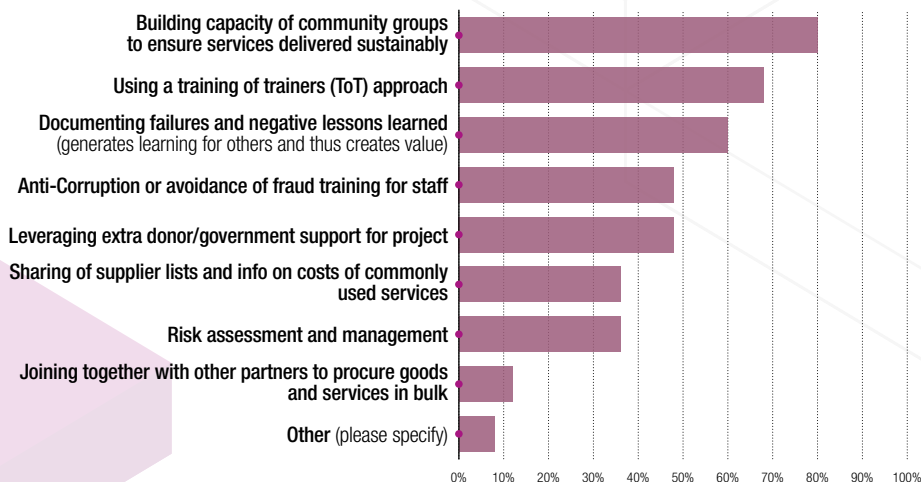
Respondents of 22 of the CBFF projects also cited performance enablers, which were overwhelmingly

associated with the skills, knowledge and approach of the implementation agencies and their staff, collaborative approaches and participation of beneficiary groups and institutions. Other positive factors cited by project implementers were good relations with the CBFF task managers, flexible approach by CBFF to allow budget revisions in some cases, and the AfDB's monitoring and evaluation.

The high number (29 percent) of cancelled or discontinued CBFF projects also adversely affected the VfM.

Cancelled or discontinued projects comprise: (i) two projects implemented by national NGOs in CAR because of the civil war; (ii) two due to the withdrawal of international advocacy NGO grantees from CBFF funding – these grantees considered their continued participation in the CBFF as a risk to their programs because of incompatibilities to their financial management procedures and those required by AfDB/CBFF; and (iii) seven because of either mismanagement or other non-performance by the grantee, or they were perceived to offer low VfM. These seven projects include two of the four implemented by national governments, and five of the 16 projects implemented by small national NGOs. While the five small NGO-run projects account for

Figure 4: Multiple Value for Money practices in use



Source: CBFF online Survey

the largest number of project cancellations, they represent only a small share of allocated CBFF funding in comparison with the two large government-run projects that were cancelled. Civil conflict was a risk that was foreseen by the region, while the cancellation of the remaining projects points to avoidable difficulties the CBFF Governing Council could have been expected to address. These failings can be associated with the initial selection of projects and/or vetting of grantees, the administrative processes of the CBFF/AfDB, and decision-making processes within the Governing Council.

Implementation efficiency

Project implementation delays were substantial.

All of the 38 CBFF projects were planned for completion before or by 2017. However, by end 2017, only 18 were completed, 11 were

cancelled or discontinued, and the rest (9) remain ongoing. From the available completion reports of 13 of the CBFF projects, only four of these completed their implementation activities on time. The rest of the nine projects were not completed on time. The CBFF project implementation delays resulted mainly from severe delays in early disbursement of funds, and the AfDB's overly complex administrative processes.

Substantial disbursement delays. The disbursement of all CBFF project funds was expected to be completed during the first quarter of 2018. However, by end 2017, the overall disbursement rate of the 38 CBFF projects was at 84 percent (Figure 5). By the end of 2015, seven years after the CBFF came into being, less than half the funds promised had been disbursed. A particularly slow case in point was one of the DRC projects, Working with Communities to Reduce Deforestation and Alleviate

Figure 5: Cumulative disbursement for CBFF projects

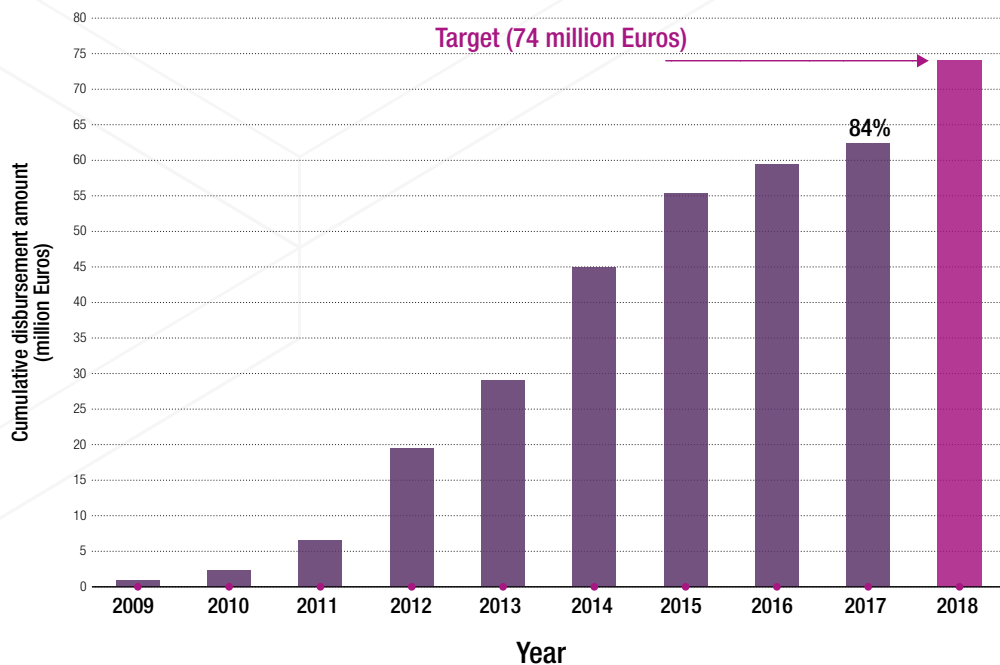


Table 7: Implementation challenges experienced by projects

| Category of challenge | Projects affected |
|----------------------------------------------------------------------------|-------------------|
| I Challenges related to AfDB/CBFF rules, procedures and performance | |
| - Difficulty following the required rules and procedures | 19 |
| - Disbursement delays arising from auditors or slow Bank processes | 11 |
| - Problems with the Fund Management Agency (FMA) | 4 |
| - Unclear distinction of roles between CBFF secretariat and AfDB | 1 |
| - Lack of interest or policy changes by CBFF donors | 5 |
| I Challenges related to project stakeholder engagement and buy-in | |
| - Insufficient key stakeholder buy-in and/or lack of political support | 4 |
| I Challenges related to national and local context | |
| - Civil conflict | 2 |
| I Logistical challenges | |
| - Language barriers | 3 |
| I Challenges related to non-performing projects | |
| - Weak design | 3 |
| - Mismanagement or difficulty managing implementation partners | 5 |

Poverty in the Virunga-Hoyo Region. This project saw a delay of eight years from design to funding (2016), which the implementer attributed to: changing AfDB requirements for the format of documentation; prolonged disbursement procedures that were not appropriate for this kind of project; and an unsupportive approach by the Bank. Disbursement issues reported by project grantees include: (i) hold-ups of over a year in the disbursement procedures following the signing of the grant agreement; (ii) use of their own funds to get activities off the ground followed by problems in obtaining reimbursement; and (iii) extremely slow or incorrectly done audit processes – several respondents cited procedural mistakes by auditors as a cause of delays (Table 7).

Substantial implementation challenges undermined the efficiency of three quarters of the CBFF projects. Table 7 highlights the CBFF project implementation challenges of which the largest numbers concern the difficulty following or incompatibilities related to AfDB/CBFF rules and procedures, and associated long disbursement delays. Challenges included a range of factors relating to the difficulty of the local environment, such as inaccessibility of insecurity in some cases,

however, they also included challenges relating to how the fund was administered. These include:

- I Difficulty following Bank procedures was problematic.** Nineteen projects encountered difficulties due to: not being fully cognizant of procedures at the outset; procedures that were poorly adapted to local conditions; difficulty in implementing required procurement processes; frequent change of task managers; and changes to required accounting and budgeting templates. One respondent commented that the AfDB's structures "...were apparently designed for development works but not for typical research projects". Two international NGO grantees (RFUK and Fern) withdrew from CBFF funding as a result of fundamental incompatibilities between the grantee organization's internal systems and those required by AfDB. Small national NGOs proved to be as capable of following the rules and procedures as larger organizations, and more capable than large advocacy/rights-based international NGOs.
- I In five cases mismanagement or difficulty managing implementation partners was cited**

by project respondents as a challenge. This category included: unsatisfactory performance by grantees in relation to procurement, contract agreements, contract monitoring and financial management (2); difficulties in managing the administrative and financial performance of field implementation partners (1); and failure of the grantee to initiate or complete project activities (2). Three of these five were cancelled or discontinued before the completion date.

Fund mismanagement/leakage was a concern in two specific CBFF projects, one in Gabon and the other in DRC. The irregular expenses identified for the Gabon and DRC projects account for 11 percent and 20 percent of the approved grants respectively. These leakages were due mainly to deficiencies in financial management procedures, financial and fiduciary monitoring, and use of funds (Box 4).

The creation of an intermediate layer of management, the Fund Management Agent (FMA) did not solve the problems. The FMA proved to be an additional financial burden that failed to generate the expected positive returns. Problems with the FMA cited by project respondents were: (i) a weak relationship between the FMA and the AfDB;

(ii) the FMA not understanding Bank requirements or providing contradictory advice to that provided by the AfDB; and (iii) a lack of templates and materials to help grantees understand the processes.

Sustainability of CBFF results

Sustainability of results is assessed unsatisfactory. Sustainability is unlikely without further external funding support, especially for capitalizing the individual project achievements including innovations. This is due to a number of factors including: the nature of the development problems that CBFF is addressing and its proposed solutions; project grantees' proposed sustainability strategies and continued funding; the lack of a CBFF sustainability strategy; and the limited collective/cross learning among grantees. Despite some possibility of capacity building efforts contributing to improve sustainability, the assessment of financial sustainability shows that overall sustainability of project benefits is unlikely.

There is a mismatch between the long-term nature of the development challenge, and the short-term life of the Fund. Reducing

Box 4: Irregularities in CBFF projects

Procurement and financial irregularities were noted in Gabon and DRC projects. The issues related to: (i) changing the acquisition mode (from quality and cost-based evaluation method to direct agreements) during the project implementation, without the Bank's non-objection (Gabon); and (ii) high fiduciary risk of using grant resources for unforeseen purposes (DRC).

With regard procurement, the Bank review of the post-contractual phase in Gabon included the following observations: (i) concluding contract amendments with larger values than the basic contract; and (ii) signing amendments to cover aspects already covered by the basic contract.

The irregular expenses identified amounted €1,197,492 for DRC project (20 percent of total grant amount approved) and €635,421 for Gabon project (11 percent of total grant amount approved). With regard to the DRC, this situation led to the suspension of disbursements. The DRC government acknowledged the irregularities and agreed to repay the funds.

In sum, various Bank oversight and accountability mechanisms, including the Integrity and Anti-corruption Department, highlight a number of significant deficiencies, in the financial management procedures and weakness in the financial monitoring and use of funds.

Procurement and financial irregularities made by the project implementation units reveal also insufficient technical and fiduciary monitoring during the projects' implementation on the part of the Bank.

Sources: Bank oversight departments' and operations' documentation

deforestation and forest degradation, and improving forest people's livelihoods is a long-term challenge that requires long-term commitment to sustained funding, and support to its building blocks, for the desired impacts. The CBFF only provided two calls for proposals. A third was planned but not funded.

The financial sustainability of many projects is not assured. Most of the CBFF innovations need a longer time to mature in order to produce the desired impacts. Many of the projects (including Cameroon's three community forestry projects, DRC REDD+ pilots, Rwanda reforestation project and COMIFAC/FAO MRV project) were piloting new approaches, and were designed to have a second phase in order to reach maturity and achieve long-term impact. But only one of the projects was provided funding for a second phase. Unable to secure CBFF funding for a second phase, some of the projects were able to get funding from other resources, while others were unsuccessful. Without external funding inputs, as some of the CBFF innovations were not financially viable, notably because of the public/community nature of their outputs and services, they are likely to be lost.

A majority of the projects have sought other external funding or looked for other means to ensure the sustainability of their results. In response to the online survey questionnaire (e-survey) 25 projects (66%) provided information

related to sustainability strategies. Of these, 20 (80% of sample or 53% of portfolio) stated that a sustainability strategy had been or was being implemented; three indicated that no such strategy had been implemented; and two provided no information. Respondents were invited to select from a checklist of sustainability strategies with an option to describe strategies that were not listed. The number of projects implementing each type of strategy is summarized in Table 8. Box 5 also provides examples on financial sustainability.

However, some of the projects have been internationally recognized for their positive sustainability prospects. *The REDD+ Pilot Project in the Integrated Geographic Region of Ecomakala+ and the Integrated Jatropha Plant Exploitation in Burundi* each won Energy Globe awards for the sustainability of their projects. *Alternatives to the Degradation of Mangroves for the Life of Women in Central Africa* won the Equator Prize in 2014. Of these three, one is a medium-size project, part of the cluster of REDD+ pilots in DRC, while the other two are small projects implemented by national NGOs.

Sustainability of the CBFF project results was also constrained by the limited knowledge sharing and collective learning. First, the CBFF projects lacked good measurement systems and tools, which are important in enabling sustainability of project results. Second, a number of the tools and innovations

Table 8: Sustainability strategies being implemented

| Strategy | Number of projects | Proportion sample (portfolio) |
|------------------------------------------------------------------------------------|--------------------|-------------------------------|
| Seeking new funding for upscaling | 12 | 48% (32%) |
| Setting up viable local organisation | 10 | 40% (26%) |
| A viable production-to-market chain | 5 | 20% (13%) |
| Government internalised project results into its own planning or policy frameworks | 5 | 20% (13%) |
| Applying tools developed under the project in other programs | 4 | 16% (11%) |
| A revolving (credit) fund | 2 | 8% (5%) |
| Other (please specify) | 2 | 8% (5%) |

Source: CBFF online survey

Box 5: Financial Sustainability: Examples from the Portfolio

Nature+ was unable to find new financial resources and had to discontinue its otherwise successful support to its 11 community forests, in addition, as an international NGO it was not able to maintain continuity of presence in Cameroon.

OPEd has managed to find some limited resources with the GEF/FAO Cameroon Mangrove project but has so far been unable to scale its activities to the wider mangroves ecosystem zone along the coasts of Cameroon. In the villages where OPEd has introduced improved fish smoking kiln, women have picked up the technique and continued to maintain existing kilns and build new ones adapting the technology to their specific needs.

Sustainability of the COMIFAC/FAO MRV project is based on the capacity and willingness of beneficiary countries, and COMIFAC at the level of regional coordination, to implement the R-PPs and National Forest Monitoring System Action Plans delivered by the project. To-date, the National Forest Monitoring Action Plan of DRC has been financed through CAFI. CAFI might support national forest monitoring systems in a number of other countries within the contexts of the National REDD+ Investment programmes. The Executive Secretariat of COMIFAC was reported to be seeking support of partner consortium to implement a second phase of this project.

Both Rainforest Alliance and Cam-Eco have found alternate financial support from the new DRYAD DFID/ICRAF project that seeks to support sustainable enterprise around forest products and services for the benefit of forest communities. The projects of these two grantees will, in effect, have a 2nd phase from a different funding stream initiated by DFID.

The Rwanda Sustainable Woodland Management and Natural Forest Restoration project, and the WWF Eco-Makala project also required additional financing in order to achieve their intended outcomes and reach a point where replication and self-sustaining would have been achieved. The former had to adapt to the new (2013) Forestry Law and maintain investment in early-stage forest establishment. The latter needed an extension to its project so as to finalize preparations for winning a significant carbon finance investment.

developed with the support of CBFF funding have not yet been adequately capitalized, and there has been only limited information sharing and promotion for the uptake of such tools to date. With the exception of the six DRC REDD+ pilot projects, **there has been little direct exchange and common learning between grantees working on similar themes and activities.** An opportunity has been missed to forge connections and share knowledge across the portfolio, for example by publishing the most promising tools for wider use within projects, programs and national strategies within the region.

Inadequate attention was given to the need for an overall sustainability or exit strategy

to secure a lasting legacy of impact for the CBFF portfolio.²¹ The project grantees, the CBFF Secretariat and Governing Council had initially expected a second phase to consolidate (scale-up and replicate) successful CBFF innovations. But a second phase of CBFF funding was not to be. Further, the CBFF has neither a sustainability strategy for its project results, nor a phase-out strategy. The CBFF Secretariat has been reduced to a minimum without a plan for capturing results and lessons for sustaining impacts achieved. This does not allow for a proper completion phase of the CBFF, which negatively impacts effectiveness and the capacity to capitalize and spread lessons learned and innovations. ■



Governance and Management of the CBFF

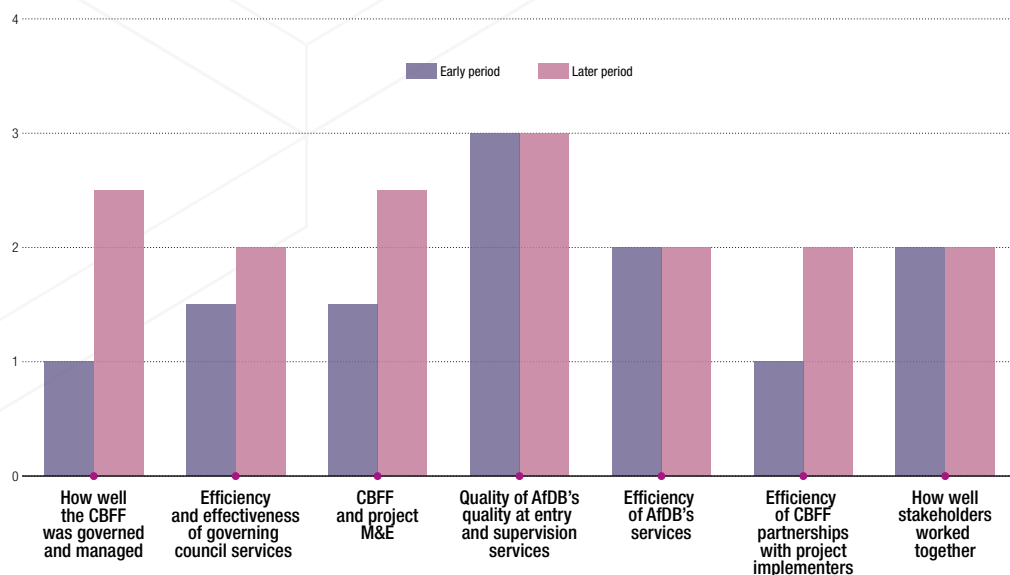
Overall, the governance and management of CBFF has been **unsatisfactory**, though specific aspects have improved over time (Figure 6). This performance reflects the CBFF's genesis, governance and management, including stakeholder participation.

The CBFF experience with regard to governance and management is ripe with lessons for the AfDB, donor partners and other stakeholders. All the evidence indicates that decisions and actions on governance and management were made in good faith by all parties. However, serious shortcomings have been identified which contributed to the underperformance of the Fund and are important to understand for learning purposes.

The genesis of the CBFF

The fund was born out of a high level of political commitment and sense of urgency. The UK made an initial pledge in 2007 with Norway joining in 2008, when the Fund secured the commitment of two high level Co-Chairs. The donors wanted to concretely demonstrate their commitment by the 2009 Copenhagen Climate Summit and sought to kick-start action in the Congo Basin, not set up a permanent institution²². However, the high political profile of the CBFF was accompanied by unrealistic expectations for early wins. These expectations were not effectively managed and CBFF got off to a hasty start.

Figure 6: Institutional Scorecard



Note: Independent scoring assessment used a scale of 1–4; 1 = Highly Unsatisfactory; 2 = Unsatisfactory; 3 = Satisfactory; and 4 = highly satisfactory.

The haste to get the Fund up and running is at the root of many of its under-achievements.

This is one of the big paradoxes of the CBFF. In essence, it started too fast, with the process creating many of the obstacles which subsequently made it too slow. By the end of 2015, seven years after the CBFF came into being, less than half the funds originally promised had been disbursed, meanwhile there were concerns regarding leakages and sustainability.

The Fund began its life without clearly defined objectives or ways to understand progress to those objectives.

In its first year, the Interim Secretariat prepared a strategic framework document without the proper participation of interested parties. This document was effectively relegated by the Governing Council to be a working document, however, it never became a formal guiding strategy and was not disseminated. Over time, the Secretariat saw nuances between the main donors in terms of priorities. Four years into the life of the CBFF, a results framework was endorsed.

The first call for proposals in 2008 was announced on the same day that the Fund was launched, which was a year before the CBFF Secretariat was set up, and before the availability of a clear strategy, and administrative procedures. (An Interim Secretariat was set up quickly to allow the first call for proposals to go out, with an initial operating procedure which later had to be revised). Perceived pressure to go quickly meant that two calls for proposals were issued in the period 2008-2010. The planned third call for proposals never took place. Neither call gave sufficient time to the respondents to properly prepare their project proposals, nor was there time or human capacity to appraise the approved project proposals in accordance with existing AfDB standards. The evaluation team considers this genesis of the CBFF highly likely to have contributed to the design flaw and implementation difficulties that the projects have experienced.

Institutional structures

The AfDB secretariat

The acceptance by the AfDB of the UK's request to manage the fund was also made at a high level.

Despite a lack of experience in the subject matter and in the administration of small grant schemes targeting civil society, the Bank accepted this responsibility. The basic design of the funding arrangement was in line with normal practices for Multilateral Development Bank administered trust funds. However, since the AfDB does not normally manage small grants directly, its standard procedures and protocols proved unsuitable, especially being too arduous for smaller grantees. Simplified procedures were prepared, although this only took place after the second call for proposals, and did not actually resolve all the problems.

The AfDB's systems of fiduciary control and grant management procedures were not well suited to the CBFF portfolio of relatively small field projects.

As a result, an alternative approach was sought but was ultimately unsuccessful. A third-party FMA, proposed by the donors, was employed in 2011 for a three-year period but the contract was not renewed in 2014. The FMA's function was in response to the challenge that the Bank does not normally manage projects with a budgetary value below €2.5 million. However, there was some disagreement about the necessity for this additional layer in the management structure since the fiduciary standards of the Bank still had to be applied. In addition, it took nearly two years to get the FMA in place, and once done, the role of the FMA was imperfectly defined, and compromised by a contract with an overly complex set of deliverables. **All parties share responsibility for this lack of success:** the donors and Governing Council for pressing for the FMA to be a part of the management structure; the Bank, for not finding a modus operandi for working constructively with the FMA; and the FMA itself for not finding ways around these obstacles.

The Secretariat team recruited by the Bank gradually strengthened over time but also suffered from unclear or multiple reporting lines.

AfDB recruited staff specifically to manage the Fund, predominantly based at its bank headquarters, with offices in DRC and Cameroon, all reporting to the department for Agriculture at the time. Many of the staff were appointed before the coordinator, meaning she was not engaged in team selection. Each task manager managed a significantly higher number of projects, more than the average for the AfDB as a whole, so the team was stretched. In addition, since the team were new recruits, the CBFF suffered in the early years in terms of capacity and a lack of familiarity with Bank procedures. Support departments such as finance management, played a crucial role in helping the team apply Bank procedures. In time the Secretariat overcame the bulk of its internal problems and was more effective in its latter years.

The Secretariat's performance was very mixed in terms of communication with donors, project executants and the outside world:

- The Secretariat met its formal obligations in terms of reporting (annual reports and independent audits were undertaken on an annual basis, although reports were often delayed). However, it was slow to respond to queries by donors (sometimes several months before adequate responses could be provided), greatly frustrating all parties. This is partly attributable to a lack of empowerment of the CBFF Secretariat to communicate directly with donors without going through Bank channels.

Poor communications with donors are stated as one reason for Norway and the UK's decision to withdraw funding.

- The Secretariat struggled in the early years to satisfy the expectations of grantees, with questions and correspondence unanswered and reports not commented on. The slow disbursement rate also caused considerable difficulties for many projects. However, such a slow start was not atypical for international funds of this type.²³ In addition, communications with project executants, were reported to have improved over time.
- The CBFF was appropriately represented in relevant international fora, enabling it to be quite visible within the international environmental community.
- The website was well populated with documents but not frequently updated.

The Governing council

The Governing Council was conceived to play a strategic and oversight role. It consisted of nine members at its outset and met 15 times over the 8-year period reviewed, though the majority of these meetings took place in the first three years. It had two principal functions: (i) strategic guidance about defining and meeting objectives, and (ii) decision making on which projects to fund, in order to meet those objectives. It was not expected to be engaged in management and implementation. In reality:

Box 6: AfDB reflection on trust fund management

The CBFF experience has fed into a broader discussion in the AfDB about trust fund management. Although seen as a "special fund" rather than a trust fund, the CBFF's issues in terms of procurement and disbursement for relatively small projects are not uncommon amongst some other trust funds. It is fair to say that since CBFF was established, and since trust fund management was evaluated in 2013, the Bank has gained much more experience in trust fund management and also sought to reflect on how to reorganize trust fund management to be more efficient. Discussion is ongoing on how best to ensure trust funds procedures are efficient.

- I The Governing Council was highly engaged in resolving an array of operational matters in the early years, performing an additional executive board role.
- I The predominance of operational fire-fighting diminished the role of the Governing Council as a champion and guardian of the CBFF's strategy. As noted above, clarity of objectives was not achieved until years into the Fund's operation when a results framework was agreed.
- I With regard to project selection, the evaluation found this was done reasonably well and on the basis of broad parameters allowing for innovation and diversity of projects.

The Governing Council's close involvement in operational matters contributed to confused reporting lines for the Secretariat. There was an uncomfortable period during which it was not clear whether the Coordinator of the CBFF was answerable to the Chairs of the Governing Council or the Director of AfDB's Agriculture and Agro-Industries Department and its Vice President.

Close involvement of the Governing Council in operational matters was necessitated by the hasty Fund start-up, in particular, the launch of the first call for proposals before the AfDB had a Secretariat in place to manage it, and before the Governing Council itself had endorsed a strategy with clear objectives and performance measures. This was then compounded by the slowness of the Bank to get a Secretariat in place and then the need for the appointed Secretariat to find solutions to the mismatch between the CBFF model and the Bank's standard rules and procedures. At the same time, there was strong political pressure to make much faster progress, resulting in the Co-Chairs taking a very 'hands-on' role in the first four years one of project.

Stakeholder engagement and influence

The Fund both benefitted from and suffered from a high level of expectation and therefore engagement from the principal donors. The donors pushed for the premature first call for proposals, before the relevant capacity and strategy was in place. In addressing the challenge of the AfDB in managing multiple small projects, donors pushed for the recruitment of an FMA, which was not effective. Also, the donors' withdrawal of support for the third call for proposals was not consistent with the project's long-term approach in providing solutions to the complex problems the CBFF was addressing. On the other hand, the donors did commission an Operational Effectiveness Review in 2011-12, which identified major weaknesses in how the CBFF was being managed, across a range of dimensions and recommendations to address these weaknesses – some of which were implemented and are likely to have contributed to the improvements seen in the post-2012 period.

Despite nascent improvements, the UK and Norway pulled support for a third call for proposals in 2014. The evaluation finds that by 2014 the AfDB systems and processes for the CBFF were improving and projects were running more smoothly. Indeed, donors noted the improvement in fund operations but expressed concern that remaining procedural issues (including ineffective monitoring and reporting) were likely to lead to low VfM. Unfortunately, because the decision to withdraw was based on a large number of inter-related factors, the CBFF Secretariat felt unclear on the specific reasons for the withdrawal²⁴. In their withdrawal letter, the donors also noted the Bank's lack of experience working with NGOs. This has led to the perception within the Bank that working with small NGOs caused the CBFF to 'fail'. However, this perception is not supported by the evaluation's findings.

Despite representation of the Governing Council through the COMIFAC Secretariat, there was insufficient Congo Basin stakeholder participation (by governments or civil societies) in defining the strategic direction of the Fund, or in the processes of reviewing projects. At the same time, the Central African states, through COMIFAC, expressed their early disquiet at the manner of choosing the initial round of projects. Specifically, because of their readiness and ability to respond quickly, most of the projects that emerged from the first call for proposals were from bids from international NGOs, rather than Congo Basin governments and local organizations. These views were taken into account during the second call for projects. In the end, some of the most interesting projects are those that have tested models of REDD-readiness in DRC, where state and non-state actors have worked productively together.

Monitoring and learning

The results framework was developed relatively late in the life of the Fund, which has made understanding progress challenging. It also suffered from design and implementation weaknesses. A logframe had existed since 2008 but was of poor quality and prepared without adequate process. A revised version was produced by a working group of the Governing Council and approved in 2013. This delay clearly had an impact on the Secretariat's ability to focus its monitoring in line with strategic objectives. Fortunately, the 2013 results framework clearly took the objectives of the projects in the existing portfolio into account.

The quality of monitoring improved over time. Most notably in the cases of the larger REDD+

projects in DRC. Some grantees commented that they felt that monitoring missions were held with the objective of holding the implementing agency responsible for difficulties encountered, rather than helping them to find solutions to those problems, indicating missed opportunities to use monitoring information proactively, rather than simply for accountability purposes.

Despite a diverse portfolio, including some innovative projects, the CBFF has not leveraged its own experiences to be a successful learning organization. Although in the late 2014, the donors requested the CBFF to focus its final years on lessons learned and communicating insights about what works and what does not, no effective mechanisms were put in place to translate these requests into practice. Although the CBFF made use of annual partnership meetings of the Congo Basin Forest Partnership, both for exchanges and to showcase its projects, it did not use the opportunity that these gatherings provided for a formal process towards collective learning. The CBFF Secretariat did not create a strong learning dynamic based on its portfolio of projects, which it could have done, for example, through a structured series of annual meetings or through the production of a series of technical 'lessons learned' papers. On the other hand, eight project completion reports – following AfDB standards - have been completed and made publicly available. Until this evaluation, the only formal evaluation of CBFF was the Operational Effectiveness Review. This exercise provided an important reality-check and baseline assessment of the CBFF's management, however, not all of its recommendations were acted on. The commissioning of this evaluation was also conceived with a focus on learning from the CBFF's experiences. ■



Lessons, Conclusions and Recommendations

Lessons

In a fund such as the CBFF, there are lessons that can be learned by all the parties involved. These parties include: Fund donors, Fund governance structures, Fund managers, recipients of Fund grants, and their partners in project implementation. The following section outlines the most important lessons learned and, in particular, those important for the AfDB and donors.

- Having an open-format fund, not too tightly bound to a results framework, whose purpose is wed to the fertilisation of new ideas and the stimulation of innovation in forest management and human development in the Congo Basin Forest, is of itself a good idea. As such, the cessation of the CBFF in 2018 will leave a void.
- Better ideas could have been presented for funding had the CBFF been more optimally marketed at the outset, over a longer lead-in period, allowing the development of better prepared projects. The setting aside of a small portion of the resources for an easy-access project-preparation grant facility would have improved the quality-at-entry of many of the project proposals.
- The pressure exerted at the very outset, to get the funding process moving, was resisted neither by the AfDB nor the Governing Council, with the consequence that there was a mismatch between capacity, procedures, the readiness of projects to get started and a general lack of a shared sense of purpose.
- It is urgent for the global community to work together for the conservation and management

of the Congo Basin Forest and improve the quality of life for the people who depend on it. It is urgent now, just as it was in 2008. But at no stage was it so urgent that it was worth risking the success of the enterprise as a whole, by rushing into it under-prepared and burdening it with inappropriate operational management tools, including inappropriate procurement, disbursement, financial management and audit procedures and underdeveloped planning and monitoring frameworks.

- As is already well known from other experiences, transforming relationships between rural communities and their natural resource base, in this case in the Congo Basin Forest, is the work of decades, not of projects compressed into a three-year project cycle.
- For the CBFF to fulfil its promise, of innovation and transformation in the Congo Basin Forest, ways must be found to give life to the better of the projects. Doing any less risks rendering the investment, as a whole, substantially less useful.

Conclusions and recommendations

At the start of the CBFF, the AfDB was not sufficiently equipped to host the fund and it has been a long learning curve. In addition, donors and some of the grantees expected too much too fast. The efforts of all parties involved (the AfDB, the Governing Council, donors and grantees) led to a common and improved understanding of the operational procedures and how to apply them. The CBFF Secretariat suffered in the early years from staffing problems and lack of familiarity with Bank procedures. But it overcame

the bulk of its problems and in recent years its operations improved. Yet, operational management remains cumbersome for efficient and effective project implementation.

Although the AfDB has learned much and the operational management of the CBFF has considerably improved, it is the evaluators' assessment that more work is needed if AfDB intends to effectively manage such trust funds in the future. It would need to develop separate operational procedures that fit the type of projects supported by trust funds and explain these procedures to its various staff. It is also important for the trust funds to be given more autonomy. For a trust fund to be effective and efficient, it needs to be managed with more flexibility and responsiveness to stakeholders.

The Governing Council's resources were diverted away from its strategic role and it therefore did not provide sufficient strategic oversight to accompany the Bank's management responsibilities.

The CBFF Secretariat performed poorly in terms of communication both with donors and project executants. This is partly due to a lack of empowerment of the CBFF Secretariat, which prevented CBFF staff from responding autonomously. Although communication with project executants improved over time, communication with donors was seen as poor. Communication with the "outside world" was largely through a website, which is generally informative but was not always easy to find, nor was it kept up-to-date. Not all the relevant information was therefore made available.

This evaluation shows that there is an interest for the AfDB to work with non-state actors; this is possible and adds value to AfDB's traditional funding mechanisms. The evaluators find that the CBFF model as a funding mechanism and tool holds a lot of promise for the Bank, who could consider replacing some of its existing tools, such as the Forest Investment Programme mechanism, with a CBFF type of model – the evaluators believe it to be more efficient and more effective.

The AfDB should draw its own lessons from working with international advocacy organisations, and more generally, international NGOs. Either to radically transform the administrative procedures required for this type of grantee, or to recognise that such organisations may be unable to comply with the Bank's procedures.

Given the innovative nature of the fund and the complexity of the problems the fund was seeking to address, a long-term approach would have been needed to influence change. The decision by two major donors not to continue funding the CBFF resulted in a short-term approach to fund implementation, which has been particularly damaging to stakeholders and project beneficiaries in the field.

The CBFF has promoted innovation within the Congo Basin region and its portfolio of projects has produced useful and interesting results. The CBFF has helped to develop a number of building blocks toward its objective of "alleviating poverty [and] mitigating climate change by reducing the rate of deforestation in the Congo Basin through sustainable forest management...".

Not enough has been done to bring together the collective learning, experiences and innovative models and tools developed by the different projects in CBFF's portfolio. The CBFF Secretariat is already winding down and contracts for the majority of Task Managers based in Yaoundé and Kinshasa were not renewed in December 2016. There is no plan for proper completion of the Fund which risks undermining achievement and learning.

Recommendations

The recommendations comprise two categories. The first category, for immediate action, relates to the final period of CBFF's existence. The remaining recommendations relate to actions that would be needed to ensure the success of any similar future trust fund housed at the AfDB.

First, the evaluation recommends that the AfDB ensures:

Recommendation 1: The CBFF and its Governing Council take appropriate decision/actions for a full and considered completion phase of the Fund.

The CBFF, AfDB and its donors should communicate to all the CBFF stakeholders about the positive outputs of the Fund's projects, mitigating the negative perceptions of the CBFF. More can be done by the CBFF to ensure the documentation, communication, replication and uptake of innovative tools and models that have been created with its support, including looking into projects that were not covered as case studies in this evaluation.

Recommendation 2: The CBFF Secretariat should invest in capturing and capitalising on lessons learned.

The Governing Council should consider whether the funds still available can be used to facilitate a completion phase. There needs to be a commitment to make the necessary funds available to implement this phase. A completion phase could include:

- Some funding for temporary, additional capacity within the CBFF Secretariat
 - Capitalisation of the experience phase for existing CBFF projects
 - Specific small investments to improve sustainability of a number of CBFF projects
 - A selection of projects could be invited to produce one/some technical project briefs/reports capturing the essence of what they have done. Project stories could be published on the CBFF website and promoted by the Congo Basin Forest Partnership
 - A collective exercise of bringing project executives together in a well moderated environment to develop common lessons for the future
- In a separate exercise, the AfDB itself should draw its own lessons from working with international and national CSOs and decide either to transform the administrative procedures required for grantees, or to recognise the limitations of AfDB procedures for working with these types of organisations

Recommendation 3: Second, the AfDB should consider continuing to use a trust fund, such as the CBFF, as one of its tools and funding mechanisms in the forest and climate sector. By its very nature, such a fund would seek to support innovation for transformational change and would therefore recognise the possibility of "failure". It would recognise that success may come from failure if failures are understood and learnt from.

To fully capture the lessons learned from CBFF, the AfDB, in managing any future Forest and Climate Trust Fund, should:

- a. **Analyse how the political and international environment has changed from 2008 to 2018.** If the AfDB were to support a future forest and climate sector through a trust fund, it should first undertake a thorough analysis of recent changes in the political and international environment (such as the new Sustainable Development Goals, the 2015 Paris Agreement, individual country Nationally Determined Contributions toward climate change mitigation, and the AfDB's High 5 Priorities, among others). These would need to be considered in the design of a future forest and climate sector trust fund. It would also be worthwhile for the AfDB to review its own funding tools in the forest and climate sector, and to consider whether a CBFF-type tool would be a more effective funding mechanism (for instance for its present Forest Investment Programme mechanism).
- b. **Increase Bank ownership and governance of such a trust fund.** If the AfDB were to support a future Forest and Climate Sector Trust Fund, the AfDB should take full ownership of it,

including providing the necessary seed money. The purpose of this would be to mobilise the interest of potential donors, whilst also ensuring the Bank is involved in decisions about such a fund. Such a trust fund should seek to support innovations and impacts at the local level or for a specific topic or research. It should not be an investment fund and therefore should not require a large amount of investment. It would, however, require a broad constituency and should fit the regional forest and climate agenda including sustainable forest and landscape management, economic development and improved livelihoods for those that live in the Congo Basin's forests.

- c. Coordinate with national agenda's in REDD+, climate resilience and sustainable forest and landscape management.** If the AfDB were to support a future forest and climate sector through a trust fund, all funded projects should explicitly contribute to the development and implementation of national strategies. Within AfDB's new governance structure – in consultation with national governments, civil society and the private sector – the Forest and Climate Sector Trust Fund should seek to identify the theme(s) and areas of intervention relevant for each country. Following this, it would launch coordinated calls for proposals at both national and regional levels.
- d. Tailor operations and procedures.** Project grantees should not be allowed to refuse operational procedures; however, it is necessary that the procedures are tailored to fit the type of projects and grantee types being supported. The AfDB should develop separate sets of procedures for different grantee types.

- e. Improve communications.** A multi-donor and multi-actor fund such as a forest and climate trust fund needs an open approach to communication. This requires a flexible secretariat which, supported by its partner institution, has an open non-bureaucratic way of functioning. The secretariat should have the capacity to follow-up both on issues raised by its donors, as well as those raised by its partners and grantees. It requires a minimum of autonomy of functioning. A forest and climate trust fund would need a diversity of tools for communication. It would also need an up-to-date website and needs to ensure that successes, failures and lessons are documented in such a way that they can be shared and communicated. In addition, lesson learning and sharing platforms between groups of project executants should be promoted to ensure innovations are shared and improved upon.
- f. Improve performance measurement and reporting.** A Forest and Climate Sector Trust Fund should recognise the importance of incorporating measurement protocols into project implementation. This would ensure: (i) transparent and convincing reporting that builds trust; (ii) learning is supported and does not avoid reporting and learning from 'failures'; (iii) performance-based project implementation; and (iv) early successes are capitalised on and scaled-up (including setting aside funds at the outset for scaling-up of particularly promising innovations). Such a sector trust fund should have the capacity to support project grantees and provide advice on the design of measurement protocols. ■



Photo: Flickr, Olivier Grand/OFOR





Annexes

Annex 1: The CBFF Portfolio

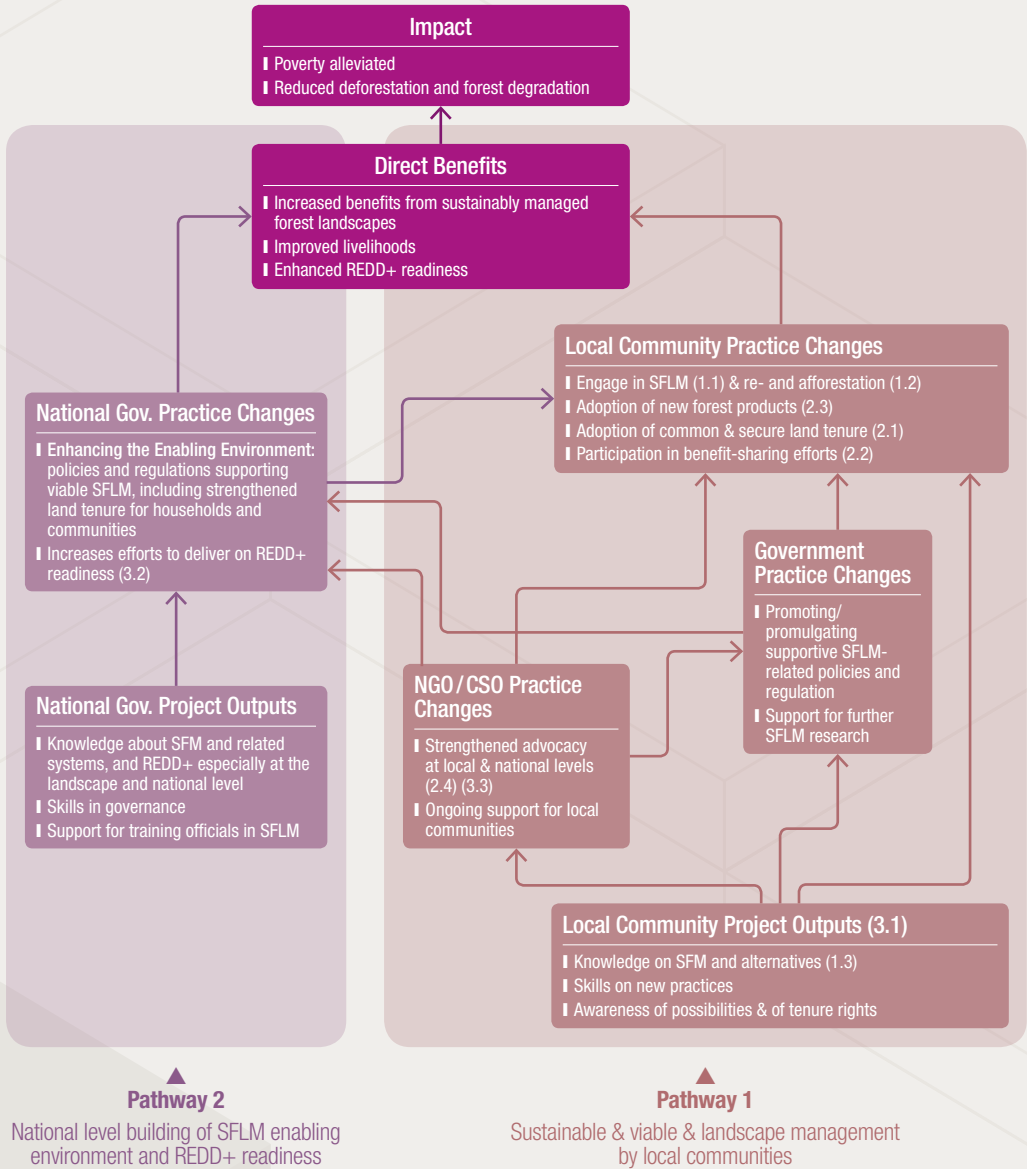
| N° | Country | Project |
|----|-------------|--------------------------------------------------------------------------------------------------------------------------------------|
| 1 | Burundi | Integrated exploitation of the Jatropha plant in Burundi |
| 2 | Cameroon | Area rehabilitation project for the area of biological interest of Tchebona |
| 3 | Cameroon | Involvement of the Bagyéli indigenous people in the management of Campo-Ma'an National Park |
| 4 | Cameroon | Achieving conservation and improving livelihoods through the sustainable management of community-based forest operations in Cameroon |
| 5 | Cameroon | Enhancement of forest waste and reforestation of degraded areas in Central Africa |
| 6 | Cameroon | Reforestation and rehabilitation of forest ecosystems around the village groves Borough Matomb |
| 7 | Cameroon | Partnerships for the Development of Community Forests (PDFC) |
| 8 | Cameroon | Reforestation of degraded areas and recovery of non-timber forest products in the Sanaga Maritime |
| 9 | Cameroon | Alternatives to mangrove destruction for women's livelihoods in Central Africa |
| 10 | Cameroon | Eliminating firewood consumption in the cocoa sector: passive solar and biogas combination ovens |
| 11 | CAR | Improved apiculture and reforestation around the woods of Bagandou |
| 12 | CAR | Participatory management and restoration of degraded forest landscapes of the biosphere reserve-Basse Lobaye |
| 13 | Congo (RoC) | Forest inventory multi-resources for the development of the land use plan |
| 14 | DRC | Reduce deforestation and alleviate poverty in Virunga Hoyo |
| 15 | DRC | Development project for African medicinal plants for the promotion of entrepreneurship and protection of the environment |
| 16 | DRC | The Sankuru community 'fair trade' carbon initiative: Innovative management of community controlled protected area |
| 17 | DRC | Civil society and government capacity building with the REDD+ process |
| 18 | DRC | REDD+ pilot project geographically integrated around the Luki Biosphere Reserve |
| 19 | DRC | REDD+ pilot project geographically integrated EcoMakala |
| 20 | DRC | REDD+ pilot project of South agroforestry Kwamouth |
| 21 | DRC | Integrated REDD+ pilot project geographically Mambasa |
| 22 | DRC | REDD+ pilot project geographically integrated Isangi |
| 23 | DRC | Support for the development of community agroforestry in the Democratic Republic of Congo |
| 24 | DRC | Bonobo conservation concession in Equateur Province in Democratic Republic of Congo |
| 25 | DRC | Innovative, sustainable management and operation of forest resources |

| Executant | Type | Status | Year | Size of grant ²⁵ |
|-----------------------------------------------------------------------|----------------------------------------|--------------|------|-----------------------------|
| Association Tubane de Gikuzi ASBL | National NGO/CSO | Completed | 2015 | S |
| Garoua Wildlife School | National NGO/CSO | On-going | 2016 | S |
| Réseau des ONGs de Campo Ma'an et Environs | National NGO/CSO | Cancelled | 2013 | S |
| Rainforest Alliance | International NGO | Completed | 2015 | M |
| GWP-CMR | National NGO/CSO | Cancelled | 2015 | M |
| CODEMA II | National NGO/CSO | Cancelled | 2015 | S |
| Nature+ | National NGO/CSO | Completed | 2013 | M |
| Cameroon Ecology | National NGO/CSO | Completed | 2013 | S |
| OPED | National NGO/CSO | Completed | 2013 | S |
| Cocoa Masters CIG | National NGO/CSO | Cancelled | 2013 | S |
| CODICOM | National NGO/CSO | Cancelled | 2013 | S |
| OCDN | National NGO/CSO | Cancelled | 2013 | S |
| Centre National d'Inventaire d'Aménagement des Ressources Forestières | National Government | On-going | 2017 | M |
| WCS | International NGO | On-going | 2018 | M |
| Fondation BDA | National NGO/CSO | On-going | 2016 | M |
| Bonobo Conservation Initiative (BCI) | National NGO/CSO | On-going | 2016 | M |
| Woods Hole Research Center (WHRC) | Govt grantee/ NGO executant | On-going | 2016 | M |
| World Wildlife Fund Belgique | Govt grantee/ NGO executant | On-going | 2016 | M |
| World Wildlife Fund Belgique | Govt grantee/ NGO executant | On-going | 2016 | M |
| NOVACEL SPRL | Govt grantee/ private sector executant | On-going | 2016 | M |
| WCS | Govt grantee/ NGO executant | Completed | 2016 | M |
| OCEAN et UNIKIS sous MECNT | Govt grantee/ NGO executant | Completed | 2016 | M |
| MECNT | National Government | Discontinued | 2015 | L |
| CI | International NGO | Cancelled | 2015 | M |
| AWF | International NGO | Completed | 2013 | M |

| N° | Country | Project | |
|----|-----------------------------------|--------------------------------------------------------------------------------------------------------------------------------------|--|
| 26 | DRC | Curbing slash-and-burn agriculture through use of biochar | |
| 27 | Equatorial Guinea | Project for sustainable management of high socioeconomic values ecosystems in the Nature Reserve of Rio | |
| 28 | Gabon | Sustainable management of forest resources of Gabon | |
| 29 | Rwanda | Rwanda sustainable woodland management and natural forest restoration | |
| 30 | Multi (CMR, RoC, RCA) | Stabilisation of carbon in the forest complex of the Tri-National Sangha through sustainable funding and improving livelihoods | |
| 31 | Multi (Bur., G.Eq., Rwan, Tchad) | Enhancing the contribution of non-timber forest products to Food Security in Central Africa | |
| 32 | Multi (CMR, RoC) | Quantifying carbon stocks and emissions in the forests of the Congo Basin | |
| 33 | Multi (CMR, RoC, Gabon, RCA) | Supporting multi-stakeholder participation in REDD+ and processes in Cameroon, Congo, Gabon, and CAR | |
| 34 | Multi (CMR, RoC, RCA, RDC, Gabon) | Building the foundations for success: Ensuring community participation is at the heart of REDD+ | |
| 35 | Multi (CMR, RoC, RDC, RCA, Gab.) | Promotion of land rights of forest communities in the Congo Basin | |
| 36 | Multi (CMR, DRC, Gab.) | Beyond timber: Reconciling the needs of logging industry with those of forest dependant people | |
| 37 | Multi (COMIFAC 10) | Monitoring and measurement systems, national reporting and verification with a regional approach to the countries of the Congo Basin | |
| 38 | Multi (COMIFAC 9) | Project to support the expanded natural resource management training program in the Congo Basin | |

| Executant | Type | Status | Year | Size of grant ²⁵ |
|------------------------------------------------------------|-------------------------|-----------|------|-----------------------------|
| ADAPEL | National NGO/CSO | Completed | 2013 | S |
| Amis de la Nature et du Developp de la Guinee Eq. (ANDEGE) | National NGO/CSO | Completed | 2016 | S |
| MINISTERE DES EAUX ET FORETS | National Government | On-going | 2016 | L |
| RNRA/PGRéF | National Government | On-going | 2016 | L |
| Fondation TNS | International NGO | Completed | 2015 | S |
| COMIFAC / FAO | Inter- Governmental Org | On-going | 2016 | M |
| WRI | International NGO | Completed | 2014 | M |
| IUCN Cameroon | National NGO/CSO | On-going | 2016 | M |
| FERN | International NGO | Withdrew | 2014 | M |
| RFUK | International NGO | Withdrew | 2013 | S |
| Biodiversity International (Italy) | International NGO | Completed | 2015 | M |
| FAO | Inter- Governmental Org | Completed | 2015 | L |
| COMIFAC/RIFFEAC | Inter-Governmental Org | Completed | 2014 | L |

Annex 2: Overview of Theory of Change for CBFF



Underlying Rationale Assumptions:

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

Legend:

- ▮ Bracketed numbers are from the CBFF RB model Framework

Annex 3: The Evaluation Matrix

| Evaluation Question (EQ)* | Indicators | Methodology |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Relevance of CBFF programme and project objectives and designs towards realizing the intended CBFF strategic objectives: how well the CBFF results framework and projects are designed and coherent? | | |
| <p>EQ1. To what extent are the CBFF projects' objectives relevant to the: (i) Human-natural systems nexus of the Congo Basin (CB)? (ii) Forest development and management agendas of the CB countries? (iii) Development needs/priorities of the CBFF intended primary impactees/beneficiaries (including CB dwelling communities in particular women, children and ethnic minorities)? (iv) Strategies and approaches of other CB initiatives (including private sector and other development partners)? (v) Bank's strategic programme priorities for the CB countries? (vi) CBFF strategic objectives and themes?</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>Evaluation Phase: PPR</p> <p>Data sources: Country Strategy Paper Project documents COMIFAC Convergence Plan Online survey Key informant interviews</p> <p>Methods: Literature/document review Portfolio analysis ToC analysis Gender and vulnerability assessment</p> |
| <p>EQ2. How coherent are the projects that make up the CBFF portfolio?</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 and overlaps in programmatic coverage between projects within the portfolio | <p>Evaluation Phase: PPR</p> <p>Data source: Project documents</p> <p>Method: Assessment of overall balance of projects</p> |
| <p>EQ3. 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?</p> | 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 | <p>Evaluation Phase: Portfolio Performance Review</p> <p>Data sources: Project and programme documents</p> <p>Method: Document comparison</p> |
| <p>EQ4. How well were the CBFF projects' monitoring and evaluation designed?</p> | 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 | <p>Evaluation Phase: PPR and Case Studies</p> <p>Data sources: Project documents Key informant interviews Online survey</p> <p>Method: Literature/document review</p> |
| <p>EQ5. How well focused on gender equity is the CBFF and were the CBFF project designs gender and equity focused?</p> | 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? | <p>Evaluation Phase: PPR</p> <p>Data sources: Project documents Key informant interviews Online survey</p> <p>Method: Gender and vulnerability assessment</p> |
| <p>New EQ6. How coherent is the CBFF results framework?</p> | 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. | <p>Evaluation Phase: OMPR</p> <p>Data sources: Programme documents</p> <p>Method: Literature/document review</p> |

| Evaluation Question (EQ)* | Indicators | Methodology |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| New EQ7. To what extent do the projects' design incorporate innovative approaches and/or means to stimulate transformation? | Innovative approaches 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. | Evaluation Phase: PPR and Case Studies Data sources: Project documents Key informant interviews Online survey Method: Literature/document review |
| Efficiency 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? | | |
| EQ8. To what extent are the CBFF governance and management arrangements, consistent with achieving the CBFF strategic objectives? | 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. | Evaluation Phase: OMPR Data sources: CBFF programme documents Key informant interviews Methods: Rubrics Institutional Systems Review Literature/document review |
| EQ9. 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? | 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. | Evaluation Phase: OMPR Data sources: CBFF programme documents Key informant interviews Methods: Institutional Systems Review Rubrics Literature/document review |
| EQ10. 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? | 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 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. | Evaluation Phase: OMPR Data sources: CBFF programme documents Key informant interviews Methods: VFM analysis (cost effectiveness/benchmarking) |
| EQ11. How efficient were the CBFF partnerships/collaboration with NGOs, CSOs, regional institutions and CB governments? | 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. | Evaluation Phase: OMPR Data sources: E-questionnaire Key informant interviews Methods: Cross-case analysis and pattern matching VFM analysis Key informant interviews Portfolio analysis |
| EQ12. To what extent have the CBFF approaches and strategies remained coherent with those of other interventions in the Congo Basin? | 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. | Evaluation Phase: OMPR Data sources: Programme document review Review of Congo Basin government and programme policy/strategy documents Key informant interviews Methods: Rubrics |
| EQ13. Which CBFF projects/interventions were cost-effective or not, and why? | 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, built institutional capacity of grant recipients and lessons learned); good VFM practices applied during project implementation. | Evaluation Phase: PPR Data sources: Project documents Online survey Methods: VFM analysis |

| Evaluation Question (EQ)* | Indicators | Methodology |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>EQ14. What factors have influenced (both positive and negative) CBFF and projects' delivery?</p> | <p>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.</p> | <p>Evaluation Phase: PPR and Case Studies; E- questionnaire</p> <p>Data sources: Fund and project documents Key informant interviews</p> <p>Methods: Rubrics Portfolio analysis Literature/document review</p> |
| <p>EQ15. How well were the CBFF and project monitoring, evaluation and learning systems operationalised and used? Why or why not?</p> | <p>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)</p> | <p>Evaluation Phase: OMPR</p> <p>Data sources: Document review Key informant interviews E-survey</p> <p>Methods: Portfolio analysis Literature/document review</p> |
| <p>Effectiveness of CBFF projects in achieving intended results and their drivers</p> | | |
| <p>EQ16. To what extent did women and ethnic minorities participate in delivering the CBFF projects, and why?</p> | <p>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. 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. 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.</p> | <p>Evaluation Phase: PPR and Case Studies</p> <p>Data sources: Document review E-survey Interviews In country visits / Key informant interviews Focus group discussions</p> <p>Methods: Gender and vulnerability assessment Portfolio analysis</p> |
| <p>EQ17. 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 Assessed evidence provided to support the projects' reported results</p> | <p>Evaluation Phase: PPR and Case Studies</p> <p>Data sources: Project documents Online survey Key informant interviews</p> <p>Methods: Cross-case analysis and pattern matching</p> |
| <p>EQ18. To what extent have the CBFF projects benefitted primary intended impacttees 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>Evaluation Phase: PPR and Case Studies</p> <p>Data sources: Project documents Key informant interviews Beneficiary interviews Focus group discussions</p> <p>Methods: Gender and vulnerability assessment Most significant change stories</p> |
| <p>EQ19. 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>Evaluation Phase: PPR and Case Studies</p> <p>Data sources: In country visits Key informant interviews Beneficiary interviews/focus group discussions</p> <p>Methods: ToC analysis</p> |

| Evaluation Question (EQ)* | Indicators | Methodology |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 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. | | |
| EQ20. To what extent have the CBFF and its projects generated unintended results? | Assessed evidence of unintended results (positive or negative) recorded in project documents/evaluations and/or communicated by project participants/ stakeholders. | Evaluation Phase: PPR, OMPR and Case Studies Data sources: Document review Key informant interviews Methods: Case study analysis |
| EQ21. To what extent were the CBFF projects designed and implemented to ensure the sustainability of their results? | 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. | Evaluation Phase: PPR and Case Studies Data sources: Document review Key informant interviews Focus group discussions Methods: Portfolio analysis Case study analysis |
| EQ22. 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? | 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. | Evaluation Phase: Case Studies Data sources: Document review Online survey Key informant interviews Methods: Sustainability analysis |
| EQ23. 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)? | 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. | Evaluation Phase: Evaluation Report Data sources: Programme documents (in particular RBM) ToC analysis from other similar programs Project documents Methods: ToC analysis Contribution analysis |
| Performance 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 | | |
| EQ24. 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? | 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. | Evaluation Phase: OMPR Data sources: Literature/document review Key informant interviews E-survey Methods: Institutional Systems Review Rubrics |
| EQ25. To what extent was the quality of services of the GC efficient and effective? | 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. | Evaluation Phase: OMPR Data sources: GC minutes and reports Key informant interviews Methods: Survey and scorecard (semi-structured) Portfolio analysis |

| Evaluation Question (EQ)* | Indicators | Methodology |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| EQ26. To what extent was the quality of the Bank services for quality-at-entry and of supervision of the CBFF projects satisfactory? | 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. | Evaluation Phase: OMPR Data sources: GC minutes and reports Key informant interviews Methods: Survey and scorecard (semi-structured) Portfolio analysis |
| EQ27. 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? | 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. | Evaluation Phase: PPR Data sources: Review of CBFF programme documents Key informant interviews Methods: Survey and scorecard (semi-structured) |
| EQ28. How well the project grantees ensured effective participation of key impactees including forest-dependent communities, ethnic minorities, women and COMIFAC? | Mechanism(s) included in the project's design to ensure participation of the target impactees; assessed evidence of how and to what extent impactees participated in project implementation. | Evaluation Phase: PPR and Case Study Data sources: Review of CBFF programme documents Key informant interviews and in-country visits; beneficiary interviews/Focus group discussions/Community timelines Methods: Case study Gender and vulnerability assessment Portfolio analysis |
| EQ29. How well the CB Governments and Regional Institutions/bodies participated in the design and implementation of the CBFF projects? | 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? | Evaluation Phase: OMPR Data sources: CBFF programme documents Project documents (annual reports and 6-monthly reports) Key informant interviews Methods: Portfolio analysis |
| Forward Looking Aspects | | |
| EQ30. What are the emerging strengths, weaknesses, constraints and opportunities in managing and implementing the CBFF and its projects? | | Evaluation Phase: Evaluation Report Data sources: Outputs from earlier evaluation phases Reflection and lesson learning workshop |
| EQ31. What are the key risks, constraints and opportunities that the CBFF will have to continue to deal with? | | AfDB Methods: Synthesis of analysis |
| EQ32. What are the key options for improving the implementation performance of the CBFF and its projects? | | |
| Conclusions, lessons learned and recommendations | | |
| EQ33. On the basis of the evaluation findings, what are the key conclusions, lessons and recommendations to be drawn? | | Evaluation Phase: Evaluation Report Data sources: Outputs from earlier evaluation phases Reflection and lesson learning workshop with AfDB Methods: Synthesis of analysis |

Annex 4: Performance Rubrics

Scoring Rubrics

Scores to be allocated for overall performance of the portfolio against the key performance areas that we are examining, ie:

1. Relevance and coherence of the portfolio
2. Efficiency
3. Effectiveness
4. Sustainability of results

Based on the AfDB/CBFF satisfaction scorecard for completion reports, the proposed assessment framework for the portfolio's performance uses the following grades:

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

To which we have added a fifth category: D/I, for 'insufficient data to assign a score'.

It is important to note that this scale is in line with the one currently in use by IDEV. A slightly different scale was used by the consultants which has been converted here in order to ensure consistency within the AfDB evaluation suite.

| 1. Extent to which the programme has met, or is likely to meet its own targets | | |
|--------------------------------------------------------------------------------|------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Score | | Description |
| 4 | Highly satisfactory | 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. |
| 3 | Satisfactory | 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. |
| 2 | Unsatisfactory | 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. |
| 1 | Highly unsatisfactory | 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. |
| D/I | | The criterion was considered but data were insufficient to assign a rating or score: Provide explanation |

Weighting

Where a performance area includes more than one category, each part should be scored separately and an average calculated to provide the overall score. – eg for Efficiency, allot scores separately to VfM and Performance, then add together and divide by two give the Efficiency score.

Some aspects of performance may warrant a greater weight than others. In this regard, Innovation and Transformation, though normally a part of Effectiveness, is considered to carry significant weight and so has been treated as a separate evaluation category in its own right.

Definition of Terms

In the scoring rubrics, the following definition of terms has been used:

- “Most” and “high” are defined as over 90%.
- “Majority” is defined as at least 50%.
- “Minority” and “some” is defined as fewer than 50% but more than 20%.
- “Few” and “little” are defined as less than 20%.
- “Good VFM practices” are defined as approaches designed to minimise costs and maximise impact and sustainability.
- “Cost-effective” is defined as ‘at a ratio of cost-to-result that aligns with appropriate benchmarks’ (or – if no such benchmarks exist – that is reasonable given the accepted level of challenges and risks).
- “Significant/significantly” are defined as having resulted in measurable impacts.

Relevance

| 1a. Relevance and coherence: Geographic reach | |
|-------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Score | Description |
| 4 Highly satisfactory | The projects in the portfolio operate across all relevant countries of the sub-region; the division of projects between countries appropriately reflects the size and importance of their respective forest areas. |
| 3 Satisfactory | The projects in the portfolio operate across most relevant countries of the sub-region; the division of projects between countries largely reflects the size and importance of their respective forest areas. |
| 2 Unsatisfactory | The projects in the portfolio operate across some of relevant countries of the sub-region but there are important gaps; the division of projects between countries partially reflects the size and importance of their respective forest areas. Alignment with CBFF priorities: The objectives of a majority of projects in the portfolio align at least partially with the priority themes and purpose of the CBFF. |
| 1 Highly unsatisfactory | The projects in the portfolio operate across few of the relevant countries of the sub-region; the division of projects between countries does not reflect the size and importance of their respective forest areas. |
| D/I | The criterion was considered but data were insufficient to assign a rating or score: Provide explanation |
| 1b. Relevance and coherence: Alignment with regional and national policy frameworks | |
| Score | Description |
| 4 Highly satisfactory | The objectives of over 90% projects in the portfolio align closely with the COMIFAC convergence plan and the national policy frameworks relevant for forests and livelihoods. |
| 3 Satisfactory | The objectives of a majority of projects in the portfolio align closely with the priority themes and purpose of the CBFF. Alignment with regional and national policy frameworks: The objectives of a majority of projects in the portfolio align closely with the COMIFAC convergence plan and the national policy frameworks relevant for forests and livelihoods. |
| 2 Unsatisfactory | The objectives of a minority of projects in the portfolio align at least partially with the COMIFAC convergence plan and the national policy frameworks relevant for forests and livelihoods. |
| 1 Highly unsatisfactory | The objectives of few projects in the portfolio align with the priority themes and purpose of the CBFF. Alignment with regional and national policy frameworks: The objectives of few projects in the portfolio align with the COMIFAC convergence plan and the national policy frameworks relevant for forests and livelihoods. |
| D/I | The criterion was considered but data were insufficient to assign a rating or score: Provide explanation |

Efficiency

| 2a. Efficiency: VFM | | |
|-----------------------------|------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Score | | Description |
| 4 | Highly satisfactory | Most of the portfolio projects displayed a clear understanding of value for money principle and practices. Good VFM practices were in place and implemented across the portfolio. The CBFF's results were achieved in a cost-effective way. |
| 3 | Satisfactory | A majority of the portfolio projects displayed a clear understanding of value for money principle and practices. Good VFM practices were in place and implemented across a majority of the portfolio projects. The CBFF's results were achieved in a cost-effective way. |
| 2 | Unsatisfactory | Some of the portfolio projects displayed a clear understanding of value for money principle and practices. Some good VFM practices were in place and implemented in the portfolio. The CBFF's results were achieved in a moderately cost-effective way. |
| 1 | Highly unsatisfactory | The portfolio projects displayed no clear understanding of value for money principle and practices. Few or no good VFM practices were in place and implemented. The CBFF's results were not achieved in a cost-effective way. |
| D/I | | The criterion was considered but data were insufficient to assign a rating or score: Provide explanation. |
| 2b. Efficiency: Performance | | |
| Score | | Description |
| 4 | Highly satisfactory | Few significant challenges affected the performance of projects; efficient solutions were applied for all challenges that were encountered. |
| 3 | Satisfactory | Significant challenges affected the performance of a minority of the projects, and/or efficient solutions were found for a majority of those challenges that were encountered |
| 2 | Unsatisfactory | Significant challenges affected project performance in a majority of projects, and/or efficient solutions were found for only a minority of challenges that were encountered. |
| 1 | Highly unsatisfactory | Significant challenges affected project performance in most or all projects, and/or efficient solutions were found for few of the challenges that were encountered. |
| D/I | | The criterion was considered but data were insufficient to assign a rating or score: Provide explanation. |

Effectiveness

| 3a. Effectiveness: Per thematic areas | | |
|---------------------------------------|------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Score | | Description |
| 4 | Highly satisfactory | Most of 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. Any unintended outcomes have made a significant positive contribution in the relevant thematic areas. The programme has contributed significantly to the development of policy/policy & strategy frameworks across a majority of the countries of the sub-region. |
| 3 | Satisfactory | A majority of the programme's stated outcomes and results have been achieved; there is evidence that results can be at least partly attributed to the project's interventions. Any unintended outcomes have made a positive contribution in the relevant thematic areas. The programme has contributed significantly to the development of policy/policy frameworks in at least one of the countries of the sub-region, or moderately to the development of policy in a majority of countries. |
| 2 | Unsatisfactory | A minority of the programme's stated outcomes and results have been achieved; there is some evidence that results can be partly attributed to the project's interventions. Any unintended outcomes have not adversely impacted the relevant thematic areas. The programme has contributed somewhat to the development of policy/policy frameworks in at least one of the countries of the sub-region. |
| 1 | Highly unsatisfactory | Few of the programme's stated outcomes and results have been achieved; and/or there is little evidence that results can be even partly attributed to the project's interventions. Unintended outcomes may have adversely impacted the relevant thematic area. The programme has not contributed to the development of policy/policy frameworks in any of the countries of the sub-region. |
| D/I | | The criterion was considered but data were insufficient to assign a rating or score: Provide explanation |

| 3b. Capacity development (cross-cutting) | |
|-------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Score | Description |
| 4 Highly satisfactory | As a result of CBFF portfolio projects' interventions, national governments and civil society in a majority of Congo Basin countries have acquired significantly increased capacity for forest conservation, REDD+ and/or sustainable forest management. |
| 3 Satisfactory | As a result of CBFF portfolio projects' interventions, national governments and/or civil society in two or more Congo Basin countries have acquired significantly increased capacity for forest conservation, REDD+ and/or sustainable forest management. |
| 2 Unsatisfactory | As a result of CBFF portfolio projects' interventions, national governments and/or civil society in two or more Congo Basin countries have acquired some increased capacity for forest conservation, REDD+ and/or sustainable forest management. |
| 1 Highly unsatisfactory | As a result of CBFF portfolio projects' interventions, national governments and/or civil society in Congo Basin countries have acquired no discernibly increased capacity for forest conservation, REDD+ and/or sustainable forest management. |
| D/I | The criterion was considered but data were insufficient to assign a rating or score: Provide explanation |
| 3c. Gender and vulnerability | |
| Score | Description |
| 4 Highly satisfactory | Most of the portfolio projects addressed issues of gender and vulnerability in their implementation strategies. The approaches used to gender and vulnerability have been effective and are replicable. The programme has had a transformative impact on the lives and/or livelihoods of women and/or marginalised groups among target beneficiary populations. |
| 3 Satisfactory | The majority of portfolio projects addressed issues of gender and vulnerability in their implementation strategies. The majority of approaches used to address gender and vulnerability have been effective and are replicable. The majority of portfolio projects have had a somewhat positive impact on the lives and/or livelihoods of women and/or marginalised groups among target beneficiary populations. |
| 2 Unsatisfactory | Some of the portfolio projects addressed issues of gender and vulnerability in their implementation strategies. Some approaches used to address gender and vulnerability have been effective and are replicable. Some of the portfolio projects have had a somewhat positive impact on the lives of women and/or marginalised groups among target beneficiary populations. |
| 1 Highly unsatisfactory | Few of the portfolio projects addressed issues of gender and vulnerability in their implementation strategies. Approaches used to address gender and vulnerability have not been effective and are not replicable. The portfolio projects have had no discernible positive impact on the lives of women and/or marginalised groups among target beneficiary populations. |
| D/I | The criterion was considered but data were insufficient to assign a rating or score: Provide explanation |

Innovation and Transformation

| 4. Innovation and transformation | |
|-----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Score | Description |
| 4 Highly satisfactory | Most of portfolio projects have produced tools and innovative models that are effective and replicable. Tools and innovations have had a significant transformative impact on forest conservation in project areas. |
| 3 Satisfactory | A majority of the portfolio projects have produced tools and innovative models that are effective and potentially replicable. Tools and innovations have had a somewhat transformative impact on forest conservation in project areas. |
| 2 Unsatisfactory | Some portfolio projects have produced tools and innovative models that are effective and potentially replicable. Tools and innovations have had a somewhat transformative impact on forest conservation in project areas. |
| 1 Highly unsatisfactory | Portfolio projects have produced no identifiable tools or innovative models that are effective and replicable. |
| D/I | The criterion was considered but data were insufficient to assign a rating or score: Provide explanation |

Sustainability

| 6. Sustainability of results | | |
|------------------------------|------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Score | | Description |
| 4 | Highly satisfactory | Most of the portfolio projects have put in place sustainability strategies. Sustainability strategies address both institutional and financing aspects and are likely to be effective in the long term. CBFF has ensured that project achievements and capitalised and sustained. |
| 3 | Satisfactory | A majority of the portfolio projects have put in place sustainability strategies. Sustainability strategies address both institutional and financing aspects and are likely to be effective in the long term. |
| 2 | Unsatisfactory | A minority of the portfolio projects have put in place sustainability strategies. Sustainability strategies address both institutional and financing aspects and are likely to be effective in the long term. |
| 1 | Highly unsatisfactory | Few or none of the portfolio projects have put in place sustainability strategies that address both institutional and financing aspect. Sustainability strategies implemented are unlikely to be effective in the long term. |
| D/I | | The criterion was considered but data were insufficient to assign a rating or score: Provide explanation |

Institutional Systems Review Scoring Rubric

(Strategic approach, governance and institutional arrangements, roles of AfDB, partnerships and collaboration)

| Score | | Description |
|-------|------------------------------|------------------------------------------------------------------------------------------------------------------------|
| 4 | Highly satisfactory | Very good or excellent performance on virtually all aspects; strong overall with no weaknesses of any real consequence |
| 3 | Satisfactory | Reasonably good practice overall that might have a few slight weaknesses but nothing serious. |
| 2 | Unsatisfactory | Fair practice, some serious, but non-fatal weaknesses on a few aspects. |
| 1 | Highly unsatisfactory | Clear evidence of unsatisfactory functioning with some serious and/or systemic weaknesses. |
| D/I | | The criterion was considered but data were insufficient to assign a rating or score: Provide explanation |

Annex 5: Disbursement Data

Table A5.1: CBFF Projects' disbursement (million Euros)

| Year | 2008 | 2009 | 2010 | 2011 | 2012 | 2013 | 2014 | 2015 | 2016 | 2017 | Total |
|--------------------------------------------------------------|------|-------|-------|-------|--------|--------|--------|--------|-------|-------|-------|
| Amount pledged | 119 | | | | | 14.2 | | | | | 133.2 |
| Amount received | 98.9 | | | | | 14.2 | | | | | 113.1 |
| Cancellations | | | | | | 0.03 | 0.27 | 1.79 | 0 | 3.94 | 6.02 |
| Interest earned | | | | | | | | | | 0.57 | 0.57 |
| Total Amount net of cancellations | 98.9 | | | | | 14.2 | -0.3 | -1.8 | 0 | -3.4 | 107.1 |
| Total commitment for the 38 CBFF projects | | | | | | | | | | | 74 |
| Disbursement | 0 | 0.89 | 1.41 | 4.24 | 13 | 9.6 | 15.88 | 10.42 | 4 | 3 | 62.44 |
| Disbursement Ratio (compared to open undisbursed balance) | | 0.90% | 1.44% | 4.39% | 14.07% | 12.05% | 22.46% | 18.31% | 8.28% | 7.12% | |
| Undisbursed | 98.9 | 98.01 | 96.64 | 92.41 | 79.66 | 70.71 | 56.9 | 48.29 | 42.13 | 36.88 | |
| Cumulative Disbursement | | 0.89 | 2.3 | 6.5 | 19.5 | 29.1 | 44.98 | 55.4 | 59.4 | 62.4 | |
| Cumulative Disbursement Ratio (compared to total commitment) | | 1.2% | 3.1% | 8.8% | 26.4% | 39.3% | 60.8% | 74.9% | 80.3% | 84.3% | |

Source: SAP Data as at December 2017

Table A5.2: CBFF Projects' disbursement by country (million Euros) – Cancelled projects excluded (N= 38 projects)

| Country | Amount Ap-proved | Amount net of cancellations | Disbursement (in million Euros) | | | | | | | | | | Total | Percent |
|------------------------------|------------------|-----------------------------|---------------------------------|-------------|-------------|--------------|-------------|--------------|-------------|-------------|-------------|--|--------------|--------------|
| | | | 2009 | 2010 | 2011 | 2012 | 2013 | 2014 | 2015 | 2016 | 2017 | | | |
| Burundi (1) | 0.13 | 0.12 | 0.00 | 0.00 | 0.00 | 0.03 | 0.06 | 0.03 | | | | | 0.12 | 0.2 |
| Cameroon (8) | 5.24 | 4.22 | 0.13 | 0.73 | 0.39 | 1.55 | 0.44 | 0.77 | 0.17 | | | | 4.18 | 6.7 |
| Central African Republic (2) | 0.42 | 0.21 | | | | 0.21 | | | | | | | 0.21 | 0.3 |
| Congo (1) | 2.42 | 1.92 | 0.00 | 0.00 | 0.00 | 0.62 | 0.00 | 0.09 | 0.00 | 1.21 | | | 1.92 | 3.1 |
| DRC (13) | 29.95 | 26.20 | 0.63 | 0.04 | 2.47 | 2.92 | 3.61 | 3.43 | 5.75 | 3.53 | 0.42 | | 22.79 | 36.8 |
| Equatorial Guinea (1) | 0.53 | 0.51 | 0.00 | 0.00 | 0.00 | 0.09 | 0.05 | 0.16 | 0.08 | 0.12 | | | 0.51 | 0.8 |
| Gabon (1) | 5.99 | 5.99 | 0.00 | 0.00 | 0.16 | 0.99 | 0.28 | 2.22 | 0.46 | | | | 4.11 | 6.6 |
| Multinational (10) | 24.80 | 23.83 | 0.13 | 0.60 | 1.22 | 6.33 | 4.50 | 7.11 | 2.07 | 1.31 | 0.56 | | 23.83 | 38.4 |
| Rwanda (1) | 4.59 | 4.67 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.08 | 0.00 | 4.27 | | 4.35 | 7.0 |
| Total | 74.06 | 67.66 | 0.89 | 1.37 | 4.24 | 12.75 | 8.94 | 13.81 | 8.61 | 6.16 | 5.25 | | 62.02 | 100.0 |

Annex 6: CBFF Thematic Areas by Project

| Title | Forest Management & Sustainable Practices | Livelihoods & Economic Development | MRV/ Ecological and Socio Economic Monitoring & Baselines | Benefits from an international regime for REDD+ & PES | Capacity Building in REDD, MRV & SFM |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------|------------------------------------|-----------------------------------------------------------|-------------------------------------------------------|--------------------------------------|
| Integrated exploitation of the Jatropha plant in Burundi | ● | ● | | | |
| Area Rehabilitation Project for the area of biological interest of Tchebona | ● | ● | | ● | |
| Involvement of the Bagyéli indigenous people in the management of Campo-Ma'an National Park | ● | ● | ● | | ● |
| Achieving Conservation and Improving Livelihoods through the Sustainable management of Community-Based Forest Operations in Cameroon | ● | ● | | | ● |
| Enhancement of forest waste and reforestation of degraded areas in Central Africa | ● | ● | ● | | |
| Reforestation and rehabilitation of forest ecosystems around the village groves Borough Matomb | ● | ● | ● | | ● |
| Partnerships for the Development of Community Forests (PDFC) | ● | ● | ● | | ● |
| Reforestation of degraded areas and recovery of non-timber forest products in the Sanaga Maritime | ● | ● | | | ● |
| Alternatives to Mangrove Destruction for Woman's Livelihoods in Central Africa | ● | ● | ● | | ● |
| Eliminating firewood consumption in the Cocoa sector: Passive solar + Biogas Combo ovens | ● | ● | ● | ● | |
| Improved apiculture and reforestation around the woods of Bagandou | ● | ● | | | ● |
| Participatory management and restoration of degraded forest landscapes of the biosphere reserve-Basse Lobaye | ● | ● | ● | ● | ● |
| Forest Inventory Multi resources for the development of the land use plan | ● | | | ● | |
| Reduce Deforestation and Alleviate Poverty in Virunga Hoyo | ● | ● | | ● | |
| Development project for African medicinal plants for the promotion of entrepreneurship and protection of the environment | | ● | | | |
| The Sankuru community 'Fair Trade' Carbon Initiative: Innovative Management of Community Controlled Protected Area | ● | ● | | ● | |
| Civil Society & Government Capacity Building with the REDD+ Process | ● | ● | ● | ● | |
| REDD+ Pilot Project geographically integrated around the biosphere reserve Luki | ● | ● | | ● | |
| REDD+ Pilot Project geographically integrated EcoMakala | ● | | | ● | |
| REDD+ Pilot Project of South agroforestry Kwamouth | ● | ● | ● | | |
| Integrated REDD+ Pilot Project geographically Mambasa | ● | ● | ● | | |

| Title | Forest Management & Sustainable Practices | Livelihoods & Economic Development | MRV/ Ecological and Socio Economic Monitoring & Baselines | Benefits from an international regime for REDD+ & PES | Capacity Building in REDD, MRV & SFM |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------|------------------------------------|-----------------------------------------------------------|-------------------------------------------------------|--------------------------------------|
| REDD+ Pilot Project geographically integrated Isangi | | ● | ● | | ● |
| Support for the development of Community Agroforestry in the Democratic Republic of Congo | ● | ● | | | |
| Bonobo Conservation Concession in Equateur Province in Democratic Republic of Congo | ● | ● | | ● | |
| Innovative, Sustainable Management and Operation of Forest Resources | ● | ● | | | |
| Curbing Slash-and-Burn Agriculture through use of Biochar | ● | ● | | ● | |
| Project for sustainable management of high socioeconomic values ecosystems in the Nature Reserve of Rio | ● | ● | ● | | ● |
| Sustainable management of forest resources of Gabon | ● | ● | ● | | |
| Rwanda Sustainable Woodland management and Natural Forest Restoration | ● | ● | | | ● |
| Stabilization of carbon in the forest complex of the Tri-National Sangha through sustainable funding and improving livelihoods | ● | ● | | ● | |
| Enhancing the contribution of non-timber forest products to Food Security in Central Africa | | | | | ● |
| Quantifying Carbon Stocks and Emissions in the Forests of the Congo Basin | | | ● | | |
| Supporting multi-stakeholder participation in the REDD+ process in Cameroon, Congo, Gabon, and CAR | ● | ● | ● | ● | |
| Building the foundations for success: Ensuring community participation is at the heart of REDD+ | ● | ● | | ● | |
| Promotion of land rights of forest communities in the Congo Basin | ● | ● | | | |
| Beyond Timber Reconciling the needs of logging industry with those of forest dependant people | ● | ● | | | |
| Monitoring and measurement systems, national reporting and verification with a regional approach to the countries of the Congo Basin | | | ● | ● | ● |
| Project to support the Expanded Natural Resource management training program in the Congo Basin | ● | | | | ● |
| | 33 | 32 | 16 | 15 | 14 |

Annex 7: Results Against Logframe

Indicators with Evaluation Team Assessment

| Logframe Indicator | | 2015 Cum. Target | 2018 Target | Jun-16 Cum. total |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------|---------------------|---------------------|----------------------|
| Immediate Outcome 1: The technical capacity of Congo Basin stakeholders for implementation of sustainable management of multiple forest landscape resources and REDD+ is increased | | | | |
| Indicator 9 | Area with the protection of soil and water; conservation of biodiversity; or social services as primary designated function (hectares) | 39.3 million | 40 million | 15.6 million |
| Indicator 10 | Number of COMIFAC countries with MRV systems in place | 3 | 10 | |
| Indicator 11 | Forest area with a management plan (ha) | 31.13 million | 31.2 million | 5.7 million |
| Indicator 12 | Forest area with designated use (ha) | 156.0 million | 160 million | 34.7 million* |
| Output 1.1: Local communities, including women and ethnic minorities, participate in sustainable management of forests resources | | | | |
| Indicator 13 | Number of people directly involved in production, processing and/or sales organisations originating from CBFF projects | 100,000 individuals | 150,000 individuals | 181,837 |
| Output 1.2: Local communities participate actively in re- and afforestation | | | | |
| Indicator 14 | Forest planted by communities (ha) | 40,000 | 100,000 | 27,112 |
| Indicator 15 | Saplings produced in community nursery production | 50 million | 200 million | 11.6 million |
| Output 1.3: Knowledge of the forest resource is improved and employed in forest management and policy design and/or disseminated | | | | |
| Indicator 16 | Forest area (ha) mapped and designated with a primary use via CBFF projects | 22 million | 35 million | 34.7 million |
| Indicator 17 | Number of graduates in forestry-related education (BSc, MSc, PhD), who have directly benefitted from CBFF Intervention | 520 | 1,000 | 90 (only 5 reported) |
| Indicator 18 | Studies of the forest resource conducted and disseminated | 100 | 200 | 147 |

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| | These stated areas represent the total landscape area of a number of projects, not what they actually protected with CBFF funding. As such, the achievement of this results is potentially weaker than stated. This indicator receives a red rating, given that achievement of less than 50% of 2015 cumulative target. However, the baseline is 37.3 million based on FRA/CFRO, the reported results therefore do not align to general measurement. The rating remains red, unless advised otherwise. |
| | No results reported against this indicator. |
| | Indicator should read: 'area of land with land-use plan (ha)'. This indicator receives a red rating, given that achievement of less than 50% of 2015 cumulative target. However, the baseline is 31.1 million based on FRA/CFRO, as such the reported results do not align to general measurement. The rating remains red, unless advised otherwise. |
| | Indicator should read: 'designated conservation area to whose management projects contribute'. This indicator receives a red rating, given that achievement of less than 50% of 2015 cumulative target. However, the baseline is 134.4 million based on FRA/CFRO, as such the reported results do not align to general measurement. The rating remains red, unless advised otherwise. |
| | Cumulative total for 80% from one project and probably a mistaken figure. Examining data and removing all potential duplicates (i.e. beneficiaries for same project and country across different activities/years, unless distinctly different due to additional demographic information) gives 134,213. This indicator receives a dark green rating as it is within 20% of the 2018 target. Even with adjusted results, 89% of 2018 target achieved, so the ranking remains dark green. |
| | This indicator receives an orange rating because it is within 50% of its 2015 target. The cum. total might be higher as one project alone claims to have planted 25,000 ha agroforestry area. As such, despite the results reported not achieving 2015 interim target, potential that this indicator will be achieved (although, 2018 target is 100,000, which is a considerable increase given most projects are now closed). Update assessment based on 2016 reported results. |
| | This indicator receives a red rating, given that achievement of less than 50% of 2015 cumulative target. However, the cum. total might be far higher. The assessment will be updated based on December 2016 reported results. |
| | Indicator should read 'area mapped and designated for reforestation and REDD+ finance'. This indicator receives a dark green rating as it is within 20% of the 2018 target. |
| | Only five graduates reported, however, through the project P-Z1-C00-038 (RIFFEAC) many more students at both technical and academic level have benefitted from improved curricula and improved school infrastructure and teaching equipment. The FAO project on NTFP (P-Z1-C00-047) also supported a research scholarship in Burundi. The result have been adjusted accordingly. Nevertheless, this indicator receives a red rating, given that achievement is less than 50% of 2015 cumulative target. |
| | This indicator receives a light green rating as it has achieved or almost achieved (within 20% or two units) its 2015 target. A vast array of knowledge products were developed (summarised). Potentially higher as a number of CBFF projects provided reports and other documents directly to the evaluation team that the CBFF did not provide and may therefore not have. Target of 200 is expected to be reached. |

| Logframe Indicator | | 2015 Cum. Target | 2018 Target | Jun-16 Cum. total |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------|-------------------|
| Immediate Outcome 2: Improved forest governance in the Congo Basin promotes more equitable benefit sharing among forest stakeholders, including women and ethnic minorities | | | | |
| Indicator 19 | Number of forest-dependent people with livelihood benefits directly protected or improved via CBFF projects (disaggregated by sex and ethnicity) | 200,000 | 500,000 | 821,510 |
| Indicator 20 | Number of COMIFAC countries with social safeguards in place | 2 | 5 | 5 |
| Indicator 21 | Number of additional sources of livelihood/income developed and implemented | 15 | 25 | 22 |
| Output 2.1: An increased number of local communities enjoy common and secure forest tenure | | | | |
| Indicator 22 | The number of men and women with improved access rights to land and property | 100,000 | 200,000 | 32,694 |
| Indicator 23 | Area under community management rights (ha) | 40,000 | 75,000 | 101,650 |
| Output 2.2: Local communities participate actively in development and implementation of benefit-sharing from forest-related activities | | | | |
| Indicator 24 | Number of benefit-sharing mechanisms developed and implemented | 5 | 10 | 4 |
| Indicator 25 | Number of persons in CBOs involved in processing or selling forest-products (disaggregated by sex) | 30,000 | 50,000 | 13,523 |
| Indicator 26 | Average increase in income per participating household (euros per year) | €300 | €300 | |
| Output 2.3: 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 | | | | |
| Indicator 27 | Number of alternatives to firewood consumption developed and tested | 3 | 8 | 5 |
| Indicator 28 | Number of additional income sources (products or services) developed | 15 | 25 | 22 |
| Output 2.4: NGO capacity to advocate for equitable sharing of benefits increased | | | | |
| Indicator 29 | Number of COMIFAC countries with national stakeholder platform for participation in forest policy development | 7 | 10 | 5 |
| Indicator 30 | NGOs satisfaction with influence on benefit-sharing policy | 30% satisfactory | 50% satisfactory | |
| Indicator 31 | Involvement of stakeholders in planning, operations and operations review phase of forest management | Minimum 2 phases in minimum 5 countries | Minimum 2 phases in all countries | |
| Immediate outcome 3: Congo Basin institutions have increased capacity for implementing landscape level sustainable management of forests and REDD+ | | | | |
| Indicator 32 | Number of COMIFAC countries with REDD+ readiness plans | 9 | 9 | 9 |

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| | This indicator receives a dark green rating as it is within 20% of the 2018 target. However, the cumulative total may be inflated due to interpretation of data from one or two projects. But overall many people did directly participate and benefit from the 38 projects. |
| | This indicator receives a dark green rating as it is within 20% of its 2018 target, although the results are not attributable to the CBFF. This is a misinterpretation as the project this is attributed to (P-Z1-C00-052) didn't specifically address safeguards. |
| | This indicator receives a dark green rating as it is within 20% of the 2018 target. This is a very important achievement if these newly developed value-chains can be sustained. |
| | This indicator receives a red rating, given that achievement of less than 50% of 2015 cumulative target. This indicator refers to two projects working on community forestry, mostly to improve implementation of existing CFs and value-chain development of timber and non-timber forest products. |
| | This indicator receives a dark green rating as it achieved or almost achieved (within 20%) its 2018 target, although the results are not attributable to the CBFF. The three projects reported under this target mostly supported communities with existing community forests; the indicator should read: 'management of area under community rights improved'. |
| | Based on the reported results, this indicator would receive a light green rating as it has achieved or almost achieved (within 20% or two units) its 2015 target. However, this target is attributed to project P-CM-C00-035 of Garoua Wildlife School which did not work on BSM. As such, the results should be reconsidered. |
| | This indicator receives a red rating, given that achievement of less than 50% of 2015 cumulative target. |
| | Increase in household income is not something that could be measured in the CBFF projects. The evaluator does not have confidence that an appropriate method has been used in calculating results for this indicator. |
| | This indicator receives a light green rating as it has achieved or almost achieved (within 20% or two units) its 2015 target. A number of projects successfully tested improved wood stoves and smoking kilns. |
| | This indicator receives a light green rating as it has achieved or almost achieved (within 20% or two units) its 2015 target. Very similar indicator to 21, but attributed to different projects. Notable that approaches are similar across the two indicators. |
| | This indicator receives an orange rating because it is within 50% of its 2015 target. |
| | Not results reported against this indicator. |
| | Not results reported against this indicator. |
| | This indicator receives a dark green rating as it is within 20% of the 2018 target, however, the results are not attributable to the CBFF. Four countries already had validated R-PP and five countries developed their R-PP with support of CBFF; these R-PPs were have not yet been validated by FCPF or UN-REDD+ platforms. As such, the indicator is likely to be achieved, although results are not fully attributable to the CBFF. |

| Logframe Indicator | | 2015 Cum. Target | 2018 Target | Jun-16 Cum. total |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------|------------------|-------------|-------------------|
| Indicator 33 | Number of COMIFAC countries with access to carbon market | 1 | 2 | 1 |
| Indicator 34 | Number of projects selling credits (tCO ₂) | 0 | 5 | 1 |
| Output 3.1: REDD+ projects have been implemented at the community level | | | | |
| Indicator 35 | Number of VCS, Plan Vivo and CBB PINs and PDDs submitted | 3 | 15 | 2 |
| Indicator 36 | Number of pilot REDD+ projects | 8 | 15 | 6 |
| Output 3.2: CB countries make progress on their national REDD+ Readiness Plans | | | | |
| Indicator 37 | Number of COMIFAC countries with environmental and social safeguards in place | 2 | 5 | 5 |
| Indicator 38 | Number of COMIFAC countries with MRV systems in place | 4 | 10 | |
| Output 3.3: 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 | | | | |
| Indicator 39 | Number of information sharing platforms | 10 | 30 | 39 |
| Indicator 40 | Number of regional non-governmental CBFF projects | 15 | 25 | 7 |

Source: Analysis based on CBFF Results Matrix as at 30 June 2016, CBFF 2014 Results Based Model and understanding of projects based on document review and interviews.

Colour coding: ■ within 15% of 2018 target ■ met or exceeded 2015 target ■ did not meet 2015 target due to lack of third round of funding
 ■ 51–99% of 2015 target ■ 50% or less of 2015 target

The CBFF Secretariat notes that it provided general advice to avoid double counting (the use of rosters and signing sheets); however it is hard to tell how much the guidance was put in practice. Especially in the case of labour-intensive planting activities, requiring thousands of men and women. The evaluation team therefore assumes that beneficiary numbers represent unique individuals, although there is likely to be some double counting, as such these numbers are likely to be somewhat over-stated.

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| | This indicator receives a dark green rating as it is within 20% of the 2018 target, however, the results are not attributable to the CBFF. One CBFF project has access to the carbon markets, but not because of CBFF. However, 3 REDD+ Pilot projects achieved Gold Standard in preparation of applying to voluntary carbon markets. |
| | This indicator receives a light green rating as it has achieved or almost achieved (within 20% or two units) its 2015 target, however, the results are not attributable to the CBFF. The project reported already had CDM funding, and CBFF further built on that. |
| | This indicator receives a light green rating as it has achieved or almost achieved (within 20% or two units) its 2015 target. This was achieved by a CBFF project, indicators 33, 34 and 35 are all related. |
| | This indicator receives a light green rating as it has achieved or almost achieved (within 20% or two units) its 2015 target. There were six formally recognised REDD+ Pilot Projects (DRC), and there were another 5 projects that had the expressed objective of preparing communities and land use for REDD+ recognition. |
| | This indicator receives a dark green rating as it is within 20% of the 2018 target, however, the results are not attributable to the CBFF. Also see Indicator 20: CBFF projects did not directly address safeguards. The only project that planned to do (P-Z1-C00-012) withdrew from CBFF. |
| | Not results reported against this indicator. |
| | This indicator receives a dark green rating as it is within 20% of the 2018 target. |
| | Cannot assess progress against results. Although only approximately 50% of its 2015 target achieved, the targets were based on the assumption of a third round of funding. |

Annex 8: Tools and Models Developed – By Project

| Project number | Knowledge product/research reports | Training/education material | Participatory approaches/social mobilisation models | Resource management structure/model | Improved production/processing techniques/strengthened value chains | Financial mechanisms/models | Land use or Management plans | Organisational procedures manuals | Monitoring system/tools | REDD+ implementation models |
|----------------|------------------------------------|-----------------------------|-----------------------------------------------------|-------------------------------------|---------------------------------------------------------------------|-----------------------------|------------------------------|-----------------------------------|-------------------------|-----------------------------|
| P-CG-C00-035 | ● | | | | | | | | | |
| P-Z1-C00-003 | | ● | | | | | | | | |
| P-Z1-C00-006 | | | | | ● | | | | | |
| P-Z1-C00-007 | | | | | ● | | | | | |
| P-Z1-C00-008 | | | | | | ● | ● | ● | | |
| P-Z1-C00-009 | | ● | ● | | | | | | | |
| P-Z1-C00-012 | | | ● | | | | | | | |
| P-Z1-C00-013 | ● | | | | | | | | | |
| P-Z1-C00-015 | | | | ● | | | | | | |
| P-Z1-C00-016 | | | | | ● | | | | | |
| P-Z1-C00-021 | | | | | | ● | | | | |
| P-Z1-C00-022 | | | | ● | | | | | | |
| P-Z1-C00-024 | ● | | | | | | | | | |
| P-Z1-C00-025 | | | | ● | | | | | | |
| P-Z1-C00-026 | | | | | | | | | ● | |
| P-Z1-C00-027 | | | | ● | | | | | | |
| P-Z1-C00-028 | | | | | | | ● | | | ● |
| P-Z1-C00-029 | | | ● | | ● | | | | | |
| P-Z1-C00-031 | | | | | ● | ● | | | | |
| P-Z1-C00-037 | ● | | | | | | ● | | | |
| P-Z1-C00-038 | | ● | | | | | | | | |
| P-Z1-C00-039 | | | | | ● | | | | | |
| P-Z1-C00-044 | | | | | | | | | | ● |
| P-Z1-C00-047 | | | | ● | | | | | | |
| P-Z1-C00-052 | | | | | | | | | ● | |

Source: document review, e-survey and interviews, synthesis of narrative responses.

Annex 9: Examples of Innovations from the Case Studies

Measuring and Reporting Results

The ability to measure and report results is important for performance based REDD+ and one of the case study projects developed a replicable methodology for performance based support to woodlot establishment. The REDD Pilot Project geographically integrated Eco-Makala project²⁶ developed and implemented a number of innovations that can be replicated elsewhere. The project developed a functional tool for field based measurement of progress in establishing woodlots by working with participating farmers through a smartphone application, feeding directly into a central database (refer to Box A9.1 below). This facilitated pre-defined performance based payments to individual farmers as per their contracts. The ability to measure helps establish baselines, measure and report on growth, which can be verified independently (the monitoring, reporting and verification (MRV) principles of REDD+). This *ability built much confidence with all stakeholders*²⁷.

In contrast, a number of CBFF projects on tree planting (including the Gabon and Rwanda projects) experienced implementation problems partly because their designs failed to include adequate MRV tool; necessary for measuring and reporting with confidence on performance^{28,29}.

Box A9.1: The Eco-Makala model

The monitoring system monitored plot and tree nursery establishment and production, planting and maintenance data sheets and a protocol for data transfer to the database. A smartphone app was developed for project extension staff to fill in data digitally that would update directly to the central database managed in Goma, at the projects' headquarters.

Another innovation was the performance contracts for acacia woodlots, which were developed and implemented with individual farmers through existing farmers' associations. The contracts detail the sharing of responsibilities and benefits between the farmers' association and the individual farmers for a period of 20 years, including how the acacia woodlots will be tended and harvested.

Social innovations in land tenure and benefit sharing contracts in REDD+ tree planting projects

In DRC, **the six REDD+ pilot projects**, working in very different contexts across this huge country, were successful in developing and establishing social innovation related to securing land-tenure for the tracts of land for the establishment of acacia agroforestry woodlots, including long-term benefit-sharing contracts. These social innovations are central in these projects' success, but it is also a start of a long term (10 to 20 years) engagement of the project holders with the farmers' associations, cooperatives and individual farmers. However, additional effort is required in securing the financing for these long-term relationships.

In the **North-Kivu Eco-Makala**³⁰ project, contracts were developed and implemented with individual farmers through existing farmers' associations. The contracts detail the sharing of responsibilities and benefits between the farmers' associations and the individual farmers for a period of 20 years, including how the acacia woodlots will be tended and harvested.

The REDD+ pilot agroforestry of South Kwamouth project³¹ developed a social innovation where (i) local customary chiefs bring land and security for large scale agroforestry development for the production of both charcoal and food, (ii) local communities bring labour and (iii) the project brings capital and social infrastructure (such as health clinics and schools). A long term benefit sharing scheme between the different stakeholders was also developed based on revenue from the sale of carbon credits. This project is also committed to the creation of a village agricultural cooperative to meet the many potential challenges related to the sustainability of the project's achievements³². The Groupement d'intérêt coopérative et économique du terroir Téké constitutes a pioneering experience of community entrepreneurship in the Maï Ndombe REDD+ programme area. It contributes to the emergence of a land management model, combining sustained agricultural and wood energy production with improved agricultural income, maintenance of soil fertility and forest preservation, in line with the objectives of DRC's National REDD+ Investment Plan.

Innovations in community forest enterprises

The CBFF funded three community forestry projects in Cameroon (one small and two medium sized projects) implemented by NGOs. Two of these projects worked successfully on establishing associations of community forestry enterprises.

In the case of the Partnerships for the development of community forests project³³, the project executant conducted a fully participatory inventory of the status of the 11 community forests that it worked with (most the community forests had a history being created more than 10 years earlier).

The inventory informed the further implementation of the project. It helped build ownership of the project with the community forest enterprises, and also communicate community forestry management and governance issues with the Forestry Administration. As a result, the community forests were revitalized, local and national stakeholders were informed about the issues community forests face, and the ground was prepared for working on innovative community forest enterprises.

Two of the community forestry³⁴ projects in Cameroon introduced a new way of organising community forest enterprises, namely the grouping of community forest management entities and the organisation of group management of the community forests. Most community forests are very small and both implementing organisations found that individually, such small areas do not create sufficient scale to generate the investments needed for sustainable and viable community management. The consolidation of a number of community forests into a single association or Community Forest Enterprise is thus innovative, as it made it possible to pool efforts and costs, and attract buyers for a more viable timber value chain. **This innovative approach of pooling community forest resources is promising for replication.**

These enterprises require long-term partnerships (beyond the CBFF three-year project cycle) between these new enterprises and locally rooted NGOs. In this respect, two of these three projects are now supported through a separate DFID programme within the context of DfID's long term engagement with community forestry in Cameroon.

The third project, Restoration of degraded forest areas and recovery of non-timber forest products³⁵ was not innovative. It introduced a mechanical press for producing oil from the Djansan, a natural nut from the forest, but did little to improve the organisation of the value chain. It did well to produce forestry seedlings in

Box A9.2: The benefits of the new way of organising community forestry in Cameroon

Partnerships for the development of community forests

The project has brought a new approach to organising community forest management, namely the pooling of community forest management entities into cooperative enterprises. In particular, Nature+ has made considerable efforts to facilitating three associations, each comprising three to four community forests.

Support for obtaining 21 Annual Exploitation permits also significantly boosted the economic and financial sustainability of the community forests. The community forests have been producing timber for the first time since signing their agreement.

The project allowed for an increase in the average annual revenue from the sale of timber from each community forests. This increase is the result of the support provided to the three Community Forest Associations accompanying contract negotiations and facilitating networking between timber buyers and community forest managers. However, the need to develop skills for negotiating contracts and ensuring consistency in standards for quality wood production remains. By way of illustration, the project supported the negotiation of six contracts in 2010 and ten contracts in 2011.

The valuation of non-timber forest products has also enhanced the community forests' potential to generate income outside timber. It is in this activity that the role of women is highly visible. Support for the organisation of non-timber forest products exploitation, the facilitation of producer / trader exchanges in Ngambé Tikar and the granting of four njansang crushers and 140 mango splitting machines, which were made available to the producers, has promoted beneficiary enthusiasm.

The project laid the groundwork for promoting a community forest traceability system which is an essential tool for integrating this timber into the Forest Law Enforcement, Governance and Trade Voluntary Partnership Agreements signed between Cameroon and the European Union.

nurseries, but it failed to find the right incentives for communities to truly engage in the restoration of their community forests.

Innovations in fish smoking practices and fish-selling enterprise to reduce deforestation and improve rural women's livelihoods

The Alternatives to mangrove destruction for women's livelihoods in Central Africa project³⁶, and The Alternatives to mangrove destruction for women's livelihoods in Central Africa project implemented by OPED successfully introduced the improved fish smoke house innovation in the central zone. Box A9.3 describes the innovation. This low-cost and efficient stove proved so successful to the extent that it was replicated, and women continued to construct the stoves beyond the project life.

Box A9.3: Improve fish smoke houses – feedback from women involved (second phase)

'In fact, we spend less time and energy, we get more smoked fish with less wood, so more money earned. We learnt how to flavour the fish, with fish scales and traditional spices, which give the same results as mangrove wood ...'

'Additional time is spent on agriculture and small business ...'

'With the old smokehouses, we were in direct contact with the heat and the smoke ... that caused us anaemia, eye ailments, cough ... But today you drop the fish and, as you yourself have found, I left the fish in the fire to attend the meeting; Before it was not possible ...'

The OPED project integrated techniques, skills and knowledge, through a set of activities aimed at reducing deforestation and improving the livelihoods of rural women. The project addressed issues expressed by vulnerable women themselves, based on an understanding of the local context and building on the scientific, managerial and field expertise of partner institutions. A community approach for the development of women's fishing enterprises for the Cameroon's southern market was an innovative approach. Its wide scale adoption by women, including those not supported by the project, suggests that this project could potentially lead to transformational change within the fish smoking sector in the targeted region. Mangrove wood consumption in the fish smoking process is reduced. By using improved smokehouses built from baked bricks which prevent energy loss by concentrating heat on the smoking rack, the project aims to achieve a 70% to 80% reduction in mangrove wood consumption. The first phase resulted in a 50% to 60% reduction in the rate from 2.5kg of wood per kilo of smoked fish to 1-1.25kg of wood per kilo of smoked fish. The project claims it can further reduce the amount of wood required to 0.75kg per kilo of smoked fish, and achieve its 70%- 80% target. Women adopt and ensure the promotion of the improved smokehouses. In the project pilot phase, over 97% of women adopted the improved smoking technology. The project will include specific information and sensitization activities that will enable women to have a deeper understanding of the social and environmental benefits of improved smokehouses.

Innovations in slash-and-char agriculture to reduce deforestation

This is an example of an initiative that set out to test and demonstrate an innovation which failed due to poor project design and inability to deal with stringent CBFF operational procedures. Biochar itself could be relevant, if properly tested, in addressing the vicious cycle of deforestation by slash-and-burn agriculture. Doing action-research in agricultural innovation and demonstrating new soil management techniques requires efficient project implementation, without interruptions. It needs effective field presence and good communication. As the example of the *Curbing slash-and-burn agriculture through use of biochar* project³⁷ in DRC shows, this does not work if a project is implemented in a far-off isolated and difficult to get to location, and with disbursement delays in tranches of project funding.

This project tried to test and demonstrate the viability of replacing slash-and-burn with slash-and-char in the agricultural shifting cultivation food production systems (refer to Box A9.4). During the three year project, biochar was shown to maintain soil fertility and increase crop yields compared to untreated plots. However, it was found that the cost of introducing biochar outweighed the extra benefits on the relatively low priced food crops. Biochar is therefore only likely to be viable for high value crops. The project did not establish a baseline

Box A9.4: The Biochar concept

The concept of biochar comes from Brazil. According to the project documents, biochar is an integrated soil fertility management technique that aims to reduce the cycle of slash-and-burn cultivation, improving acidic soil, enhancing long term organic matter, soil structure and fertility properties. Biochar is a carbonaceous product, which oxidises only slowly and is obtained by the slow pyrolysis of biomass, which by its microporous and physicochemical nature improves all the crucial functions of problematic tropical soils: physical, chemical and biological properties. The production of biochar from agricultural residues also generates renewable and competitive energy, which benefits rural communities by limiting their dependence on fuelwood. It maintains carbon in the production cycle. The (voluntary) markets of carbon can thus be drawn with a competitive advantage. It is said that biochar is therefore carbon dioxide converted to carbon by biomass and sequestered in soils where it remains unaltered for centuries or even millennia and at the same time improves the properties of poor soils to make them more productive.

of forest cover and soil carbon and therefore missed the opportunity for developing a case for carbon credits from biochar. The project was only able to test biochar for one season during the three year project cycle (see earlier mentioned problems of efficiency). The short duration of the project – limited to a single demonstration phase – also made it difficult to achieve convincing results.

Innovations in piloting REDD+ at local levels for national REDD+ strategy and implementation

The cluster of REDD+ pilot projects in DRC were successful in generating innovation for REDD+ implementation under a wide variety of conditions across this vast country. By design, they were developed to inform the further development of the National REDD+ Strategy. Also, successful innovative approaches and tools will be integrated into the implementation of broader REDD+ investment programmes, some of which are already in place through the National REDD+ Fund with funding from CAFI. The projects were coordinated by the National REDD+ Coordination, who ensured that lessons of these projects will be captured,

From the discussions with representatives of the National REDD+ Coordination, the innovations below from these projects were identified. Some of these innovations were well documented, others were not.

- Models for Payments for Environment Services (PES) were developed and tested for reforestation and the management and conservation of areas to allow natural generation (by Eco-Makala, Luki, Novacel Sud-Kwamouth);
- Methodology was developed for the planning of simple management plans for village territories, (WCS-Mambasa and OCEAN-Isangi);
- Models to secure land tenure for agroforestry plantations were tested (Eco-Makala with UN habitat, GICET/Novacel Sud Kwamouth);
- An agroforestry value chain for cocoa under shadow trees was developed and tested (WCS-Mambasa);
- Awaiting the new application texts for establishing forest concessions for local communities, community forestry was tested (Eco-Makala with Réseau CREF North Kivu and OCEAN-Isangi);
- Development of a full monitoring system of non-carbon indicators of the National REDD+ Strategy including an information system³⁸, following an auto-evaluation of these six pilot projects led by the National REDD+ Coordination with and other actors.

Annex 10: Assessment of Individual CBFF Projects

Summary of key characteristics of CBFF projects, assessment of success and innovation and action to be taken for completion of Fund.

| N° | Country | Project code | Project |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|--------------|--------------------------------------------------------------------------------------------------------------------------------------|
| 1 | Burundi | P-Z1-C00-039 | Integrated exploitation of the Jatropha plant in Burundi |
| <p>Assessment: Project won 2014 Energy Globe – Burundi. Outcome satisfactory and met expectations (CBFF Secr.). At end of project results judged not to be sustainable and 2nd phase proposed.</p> <p>Proposal evaluator: 2 years after project close down – assess status of activity with ATG and its associations working on Jatropha and prepare a small publication.</p> | | | |
| 2 | Cameroon | P-CM-C00-035 | Area rehabilitation project for the area of biological interest of Tchebona |
| <p>Assessment: this project ran into problems using the funds of the co-funder of the Prince Albert II Foundation and there are no longer any activities on-going.</p> <p>Proposal evaluator: Project should be closed down.</p> | | | |
| 3 | Cameroon | P-Z1-C00-022 | Involvement of the Bagyéli indigenous people in the management of Campo-Ma'an National Park |
| <p>Assessment: Project has been cancelled and this evaluation did a short Case Study on it. The evaluator found that, notwithstanding its cancellation, the CBFF support to ROCAME has been effective in strengthening the organisation.</p> <p>Proposal evaluator: No further action required.</p> | | | |
| 4 | Cameroon | P-Z1-C00-015 | Achieving conservation and improving livelihoods through the sustainable management of community-based forest operations in Cameroon |
| <p>Assessment: Project part of Case Study sample. Satisfactory and interesting results. Needs a 2nd phase to support the new cooperative community forestry enterprises to be sustainable. Rainforest Alliance did get some support from DFID/ICRAF DRYAD project in Cameroon, however not sufficient to maintain sufficient level of activity.</p> <p>Proposal evaluator: Assess present status of the four cooperative community forest enterprises, prepare a small publication on it and assess if Rainforest Alliance could be supported with a short term consultancy to set-up a measurement tool for continuous assessment of impact of these community forests, including training and the elaboration of business plans.</p> | | | |
| 5 | Cameroon | P-Z1-C00-041 | Enhancement of forest waste and reforestation of degraded areas in Central Africa |
| <p>Cancelled, no further action required.</p> | | | |
| 6 | Cameroon | P-Z1-C00-048 | Reforestation and rehabilitation of forest ecosystems around the village groves Borough Matomb |
| <p>Cancelled, no further action required.</p> | | | |
| 7 | Cameroon | P-Z1-C00-016 | Partnerships for the Development of Community Forests (PDFC) |
| <p>Assessment: Project part of Case Study sample. This project prepared a 2nd phase proposal, which was not funded. Nature+ has not been able to maintain its presence in Cameroon. But the local organisations it supported are still there.</p> <p>Proposal evaluator: As for project P-Z1-C00-015 of Rainforest Alliance.</p> | | | |
| 8 | Cameroon | P-Z1-C00-003 | Reforestation of degraded areas and recovery of non-timber forest products in the Sanaga Maritime |
| <p>Assessment: Project part of Case Study sample. It was only moderately successful (cf. CBFF Secr, and evaluators).</p> <p>Proposal evaluator: No further action required.</p> | | | |

| Executant | Type | Status | Year of completion | Size of grant ³⁹ |
|--------------------------------------------|-------------------|-----------|--------------------|-----------------------------|
| Association Tubane de Gikuzi ASBL | National NGO/CSO | Completed | 2015 | S |
| Garoua Wildlife School | National NGO/CSO | On-going | 2016 | S |
| Réseau des ONGs de Campo Ma'an et Environs | National NGO/CSO | Cancelled | 2013 | S |
| Rainforest Alliance | International NGO | Completed | 2015 | M |
| GWP-CMR | National NGO/CSO | Cancelled | 2015 | M |
| CODEMA II | National NGO/CSO | Cancelled | 2015 | S |
| Nature+ | National NGO/CSO | Completed | 2013 | M |
| Cameroon Ecology | National NGO/CSO | Completed | 2013 | S |

| N° | Country | Project code | Project |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------|--------------|--------------------------------------------------------------------------------------------------------------------------|
| 9 | Cameroon | P-Z1-C00-007 | Alternatives to mangrove destruction for women's livelihoods in Central Africa |
| <p>Assessment: Project part of Case Study sample. Was rated very successful (cf. CBFF Secr, and evaluators) and won 2014 Equator Prize. This project prepared a 2nd phase proposal, which was not funded.</p> <p>Proposal evaluator: Assess present status of women entrepreneurship, improved smoke houses, improved shrimp production and prepare a small publication on this. Assess what other short term consultancy would support sustainability/replication of activities.</p> | | | |
| 10 | Cameroon | P-Z1-C00-045 | Eliminating firewood consumption in the cocoa sector: passive solar and biogas combination ovens |
| Cancelled, no further action required. | | | |
| 11 | CAR | P-Z1-C00-042 | Improved apiculture and reforestation around the woods of Bagandou |
| Cancelled, no further action required. AfDB should assess how it can support non-state actors in the Central Africa Republic in the forestry sector and in REDD+ pilots. | | | |
| 12 | CAR | P-Z1-C00-050 | Participatory management and restoration of degraded forest landscapes of the biosphere reserve-Basse Lobaye |
| Cancelled, no further action required. AfDB should assess how it can support non-state actors in the Central Africa Republic in the forestry sector and in REDD+ pilots. | | | |
| 13 | Congo (RoC) | P-CG-C00-035 | Forest inventory multi-resources for the development of the land use plan |
| <p>Assessment: Present status not known by the evaluators. However, much of the project resources remain unused.</p> <p>Proposal evaluator: For the CBFF Secretariat to carry out a mid-term evaluation of the project to assess whether to close the project or if during a last project extension meaningful result can still be achieved before end of 2018.</p> | | | |
| 14 | DRC | P-CD-C00-037 | Reduce deforestation and alleviate poverty in Virunga Hoyo |
| <p>Assessment: Project has only recently started activities. As the only first round project valued over €2 million, approval required additional Bank assessment resulting in very long delays in signing of a grant agreement. In 2012, WCS replaced the Zoological Society as project executant as it is a larger organisation, better able to manage the risks of managing a CBFF project.</p> <p>Proposal evaluator: None.</p> | | | |
| 15 | DRC | P-Z1-C00-043 | Development project for African medicinal plants for the promotion of entrepreneurship and protection of the environment |
| <p>Assessment: Promising project but very slow project implementation.</p> <p>Proposal evaluator: For the CBFF Secretariat to assess together with the Foundation BDA, through a short term consultancy support mission to the project, the state of the project and if a project extension would yield meaningful result or if it is better to prepare the close down of this project.</p> | | | |
| 16 | DRC | P-Z1-C00-021 | The Sankuru community 'fair trade' carbon initiative: Innovative management of community controlled protected area |
| <p>Assessment: Present status not known by the evaluators, but project implementation has been very slow, and it has not been a high performer.</p> <p>Proposal evaluator: Prepare project close down and provide a short term consultancy to prepare a small lessons-learned publication.</p> | | | |
| 17 | DRC | P-Z1-C00-029 | Civil society and government capacity building with the REDD+ process |
| <p>Assessment: Slow project implementation with a lot of administrative hurdles. But WHCR has created a positive dynamic with both state and non-state actors in the new Equator Province (personal communication with WHCR staff and with National REDD+ Coordination).</p> <p>Proposal evaluator: For the CBFF Secretariat to ensure support in finalisation of the project and assess (through a short term consultancy) how it can ensure that project's on-the-ground results are integrated into the new PIREDD for Equateur Province that will be financed by CAFI through the DRC FONAREDD.</p> | | | |

| Executant | Type | Status | Year of completion | Size of grant ³⁹ |
|-----------------------------------------------------------------------|-----------------------------|-----------|--------------------|-----------------------------|
| OPED | National NGO/CSO | Completed | 2013 | S |
| Cocoa Masters CIG | National NGO/CSO | Cancelled | 2013 | S |
| CODICOM | National NGO/CSO | Cancelled | 2013 | S |
| OCDN | National NGO/CSO | Cancelled | 2013 | S |
| Centre National d'Inventaire d'Aménagement des Ressources Forestières | National Government | On-going | 2017 | M |
| WCS | International NGO | On-going | 2018 | M |
| Fondation BDA | National NGO/CSO | On-going | 2016 | M |
| Bonobo Conservation Initiative (BCI) | National NGO/CSO | On-going | 2016 | M |
| Woods Hole Research Center (WHRC) | Govt grantee/ NGO executant | On-going | 2016 | M |

| N° | Country | Project code | Project |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------|--------------|-------------------------------------------------------------------------------------------|
| 18 | DRC | P-Z1-C00-031 | REDD+ pilot project geographically integrated around the Luki Biosphere Reserve |
| <p>Assessment: Project assessed highly satisfactory (by both CBFF Sec, and by the National REDD+ Coordination). As the project lies outside the geographical scope of FONAREDD and CAFI, the project results will therefore not be capitalised through these new initiatives.</p> <p>Proposal evaluator: For the CBFF Secretariat to assess together with WWF what short term consultancy support could strengthen the capitalisation of the projects results (for instance through voluntary carbon markets). Plus prepare a short publication on the project, including lessons learnt.</p> | | | |
| 19 | DRC | P-Z1-C00-026 | REDD+ pilot project geographically integrated EcoMakala |
| <p>Assessment: Project part of Case Study sample. as for project P-Z1-C00-031 Luki above.</p> <p>Proposal evaluator: as for project Luki above.</p> | | | |
| 20 | DRC | P-Z1-C00-027 | REDD+ pilot project of South agroforestry Kwamouth |
| <p>Assessment: Project part of Case Study sample. Good project results both in terms of land and tree tenure arrangements, local institutions and afforestation for charcoal and food security.</p> <p>Proposal evaluator: Assess, through a short consultancy, present status of activities and prepare a short publication on the project including lessons learnt. Assess, as for WHVR project above, how it can be ensured that project results are capitalised in the new PIREDD for Kwamouth (World Bank FIP).</p> | | | |
| 21 | DRC | P-Z1-C00-032 | Integrated REDD+ pilot project geographically Mambasa |
| <p>Assessment: Good project results which should be integrated into the new PIREDD for Ituri Province that will be financed by CAFI through FONAREDD.</p> <p>Proposal evaluator: For the CBFF Secretariat to organise a short consultancy to prepare a publication on the project including lessons-learnt.</p> | | | |
| 22 | DRC | P-Z1-C00-028 | REDD+ pilot project geographically integrated Isangi |
| <p>Assessment: Good project results which should be integrated into the new PIREDD for Tshopo Province that will be finance by CAFI through FONAREDD.</p> <p>Proposal evaluator: For the CBFF Sec. to organise a short consultancy to prepare a publication on the project including lessons-learnt.</p> | | | |
| 23 | DRC | P-CD-C00-035 | Support for the development of community agroforestry in the Democratic Republic of Congo |
| <p>Assessment: The poor planning and fraud issues that have surrounded this project have created a lot of problems for the CBFF Secretariat and Norway. This resulted in the project being a complete failure.</p> <p>Proposal evaluator: No further action required, accept for the CBFF Secretariat and the AfDB to draw its own internal conclusions.</p> | | | |
| 24 | DRC | P-Z1-C00-025 | Bonobo conservation concession in Equateur Province in Democratic Republic of Congo |
| Cancelled, no further action required. | | | |
| 25 | DRC | P-Z1-C00-009 | Innovative, sustainable management and operation of forest resources |
| <p>Assessment: Project results moderately satisfactory. The project area is situated in the Mongala Province, where a PIREDD financed by CAFI through FONAREDD is planned.</p> <p>Proposal evaluator: Assess the status of project results and whether the project should be recommended for inclusion in the future PIREDD for Mongala Province.</p> | | | |

| Executant | Type | Status | Year of completion | Size of grant ³⁹ |
|------------------------------|----------------------------------------|--------------|--------------------|-----------------------------|
| World Wildlife Fund Belgique | Govt grantee/ NGO executant | On-going | 2016 | M |
| World Wildlife Fund Belgique | Govt grantee/ NGO executant | On-going | 2016 | M |
| NOVACEL SPRL | Govt grantee/ private sector executant | On-going | 2016 | M |
| WCS | Govt grantee/ NGO executant | Completed | 2016 | M |
| OCEAN et UNIKIS sous MECNT | Govt grantee/ NGO executant | Completed | 2016 | M |
| MECNT | National Government | Discontinued | 2015 | L |
| CI | International NGO | Cancelled | 2015 | M |
| AWF | International NGO | Completed | 2013 | M |

| N° | Country | Project code | Project |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------|--------------|--------------------------------------------------------------------------------------------------------------------------------|
| 26 | DRC | P-Z1-C00-006 | Curbing slash-and-burn agriculture through use of biochar |
| <p>Assessment: Project part of Case Study sample. Project not very successful;</p> <p>Proposal evaluator: Nevertheless, it would still be interesting to organise a short consultancy to prepare a publication on the project's experience with biochar and lessons learnt.</p> | | | |
| 27 | Equatorial Guinea | P-GQ-C00-035 | Project for sustainable management of high socioeconomic values ecosystems in the Nature Reserve of Rio |
| Cancelled, no further action required. | | | |
| 28 | Gabon | P-Z1-C00-037 | Sustainable management of forest resources of Gabon |
| <p>Assessment: Project part of Case Study sample. Due to poor project planning and poor monitoring, measurement and reporting protocols the Ministry implementing the project has not been able to justify its claim of some 1,350 ha of agroforestry and reforestation plots installed and yet it has introduced 100 contracts for maintenance work done on the established plots. This is running into a conflict between Gabon and the CBFF. (See also Case Study report).</p> <p>Proposal evaluator: For the CBFF Secretariat to contract a consultant that will assess and set-up and implement a measurement tool that will be able to capture, measure and report the results of plots established. Based on this work the CBFF Secretariat should assess, based on performance, which contract should be paid.</p> | | | |
| 29 | Rwanda | P-Z1-C00-034 | Rwanda sustainable woodland management and natural forest restoration |
| <p>Assessment: Project part of Case Study sample. Project has good results but lacks sustainability. A number of public woodlots have been established late and need maintenance for at least another year. Also there is need for more training, better measurement protocols could still be developed and a more participatory public woodlot management regime should be designed note that the new Forestry Law has been voted. (See Case Study report). There is still project budget remaining.</p> <p>Proposal evaluator: Allow the project to have an extension and complete before the sunset date of the CBFF of December 2018. The RNRA made a proposal with respect to this, included in the Case Study report.</p> | | | |
| 30 | Multi (CMR, RoC, RCA) | P-Z1-C00-008 | Stabilisation of carbon in the forest complex of the Tri-National Sangha through sustainable funding and improving livelihoods |
| Assessment: Project with moderate results. No further action to be taken. | | | |
| 31 | Multi (Bur., G.Eq., Rwan, Tchad) | P-Z1-C00-047 | Enhancing the contribution of non-timber forest products to Food Security in Central Africa |
| <p>Assessment: Project with good results (cf. CBFF Secr. and Executive Secretariat COMIFAC) leading to NTFPs getting a more prominent place in national forestry policies. COMIFAC is seeking funds for a new COMIFAC-wide initiative on NTFPs.</p> <p>Proposal evaluator: For the CBFF Secretariat to assess with COMIFAC Executive Secretariat and the CBFF the status of initiatives and see if it could support COMIFAC through a short term consultancy to formulate a framework for a regional NTFP strategy.</p> | | | |
| 32 | Multi (CMR, RoC) | P-Z1-C00-013 | Quantifying carbon stocks and emissions in the forests of the Congo Basin |
| <p>Assessment: Successful project with satisfactory result. WRI continuous to work on carbon stocks of Congo Basin forests.</p> <p>Proposal evaluator: No further action required.</p> | | | |
| 33 | Multi (CMR, RoC, Gabon, RCA) | P-Z1-C00-044 | Supporting multi-stakeholder participation in REDD+ and processes in Cameroon, Congo, Gabon, and CAR |
| <p>Assessment: Project with satisfactory results. IUCN continues to support the same countries for multi-stakeholder REDD+ participation in national processes.</p> <p>Proposal evaluator: No further action required.</p> | | | |
| 34 | Multi (CMR, RoC, RCA, RDC, Gabon) | P-Z1-C00-012 | Building the foundations for success: Ensuring community participation is at the heart of REDD+ |
| <p>Withdrew, no further action required. Accept that it is important for the AfDB to draw lessons from working with FERN. The FERN partnership did draw a lot of negative energy and publicity to the CBFF. The CBFF Secretariat could advise the AfDB if and how AfDB could work with these type of actors in the future.</p> | | | |

| Executant | Type | Status | Year of completion | Size of grant ³⁹ |
|------------------------------------------------------------|-------------------------|-----------|--------------------|-----------------------------|
| ADAPEL | National NGO/CSO | Completed | 2013 | S |
| Amis de la Nature et du Developp de la Guinee Eq. (ANDEGE) | National NGO/CSO | Completed | 2016 | S |
| MINISTERE DES EAUX ET FORETS | National Government | On-going | 2016 | L |
| RNRA/PGRéF | National Government | On-going | 2016 | L |
| Fondation TNS | International NGO | Completed | 2015 | S |
| COMIFAC / FAO | Inter- Governmental Org | On-going | 2016 | M |
| WRI | International NGO | Completed | 2014 | M |
| IUCN Cameroon | National NGO/CSO | On-going | 2016 | M |
| FERN | International NGO | Withdrew | 2014 | M |

| N° | Country | Project code | Project |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------|--------------|--------------------------------------------------------------------------------------------------------------------------------------|
| 35 | Multi (CMR, RoC, RDC, RCA, Gab.) | P-Z1-C00-014 | Promotion of land rights of forest communities in the Congo Basin |
| <p>Withdrew, no further action required. Accept that it is important for the AfDB to draw lessons from working with RFUK. The RFUK partnership did draw a lot of negative energy and publicity to the CBFF. The CBFF Secretariat could advise the AfDB if and how it could work with these type of actors in the future.</p> | | | |
| 36 | Multi (CMR, DRC, Gab.) | P-Z1-C00-024 | Beyond timber: Reconciling the needs of logging industry with those of forest dependant people |
| <p>No further action required.</p> | | | |
| 37 | Multi (COMIFAC 10) | P-Z1-C00-052 | Monitoring and measurement systems, national reporting and verification with a regional approach to the countries of the Congo Basin |
| <p>Assessment: A lot of energy went into the elaboration of a 2nd phase for this regional programme. This second phase is no longer possible now, but it is still valid. Some of the NFMS Action Plans may be financed through CAFI. The COMIFAC Executive Secretariat is seeking ways to gather support for a regional component to REDD+ and to supporting forest monitoring systems from a regional perspective.</p> <p>Proposal evaluator: For the CBFF Secretariat to assess with COMIFAC Executive Secretariat and the National REDD+ and Climate Focal Points the status of initiatives and see if it could support COMIFAC through a short term consultancy to formulate a framework for a regional a regional forest monitoring strategy.</p> | | | |
| 38 | Multi (COMIFAC 9) | P-Z1-C00-038 | Project to support the expanded natural resource management training program in the Congo Basin |
| <p>Assessment: Important project. A 2nd phase should have started in January 2017 (with finance from the Canadian contribution to the CBFF), but there are still issues with the operational management of the partnership between GIZ and RIFFEAC that will implement the 2nd phase. The CBFF Secretariat has had to strengthen its reduced team and recruited a consultant Task Manager, who has just started work (from 1 May 2017). It will be a challenge to finish the implementation of the 2nd phase before the sunset date of CBFF in December 2018.</p> | | | |

| Executant | Type | Status | Year of completion | Size of grant ³⁹ |
|------------------------------------|-------------------------|-----------|--------------------|-----------------------------|
| RFUK | International NGO | Withdrew | 2013 | S |
| Biodiversity International (Italy) | International NGO | Completed | 2015 | M |
| FAO | Inter- Governmental Org | Completed | 2015 | L |
| COMIFAC/RIFFEAC | Inter-Governmental Org | Completed | 2014 | L |

Endnotes

1. 'Congo Basin Forest Fund – A presentation of the CBFF's Results-Based Model', August 2013
2. The United Kingdom withheld €19.4 million of its commitment.
3. 'Congo Basin Forest Fund – A presentation of the CBFF's Results-Based Model', August 2013
4. Article 2.3.4 of the Framework Document for the establishment of the CBFF, 2008.
5. CBFF Operational Procedures, October 2009, Article 6.1 'Recipient eligibility'.
6. The third call for proposals was not issued, as the two principal funders; the UK and Norway, advised in 2014 that they would not support it.
7. These countries include Burundi, Cameroon, CAR, Chad, DRC, Equatorial Guinea, Gabon, Republic of Congo, Rwanda and Sao Tome & Principe.
8. See Annex 3 for details.
9. Mayaux et al, 2013, 'State and evolution of the African rainforests between 1990 and 2010.' Philosophical Transactions of the Royal Society B.
10. The plan includes forest and tax policy harmonization, forest management, conservation and development, climate change, alternative livelihood development, poverty reduction, capacity development and stakeholder participation.
11. The RISP 2011-2016 had two strategic priorities: i) financing regional infrastructure operations, and ii) supporting capacity building measures for the Regional Economic Communities to manage regional infrastructure programmes.
12. Measurement of performance against the intended results gives only a partial view of the extent of the projects' achievements. The CBFF results framework failed to capture capacity improvements in (i) Congo Basin institutions' implementation and management, and (ii) undertaking professional and academic research and training at the regional level.
13. P-Z1-C00-038 Project to support the expanded natural resource management training program in the Congo Basin; COMIFAC/RIFFEAC
14. FAO is the Food and Agriculture Organization of the United Nations
15. Integrated exploitation of the Jatropha plant in Burundi; Association Tubane De Gikuzi ASBL
16. Interview notes – CBFF secretariat.
17. Alternatives to Mangrove Destruction for Woman's Livelihoods in Central Africa; OPED
18. Involvement of the Bagyéli Indigenous People in the Management of Campo-Ma'an National Park
19. P-Z1-C00-007 Alternatives to Mangrove Destruction for Woman's Livelihoods in Central Africa; OPED
20. Communication Paul Martins
21. Response from donors: The donors have all along been extremely interested in ensuring good results, quality, lessons learned and sustainability of the portfolio. This is why we, in 2013, asked for this evaluation, and why UK and Norway are still following up on projects we have supported until the sunset date of the fund. It is also why we take an active part in this evaluation, and why we regularly have insisted on having regular GC meetings, despite that there have not been any new calls for proposals.
22. The Fund was conceived from the beginning to close in 2018.
23. For example, the World Bank's Forest Carbon Partnership Facility: refer to OMPR Section 2.4.4
24. However, the donors note that: "UK and Norway did offer to come on a mission to explain the withdrawal in more detail, and did also go on a mission to Abidjan in 2015 to work on the practical issues related to the withdrawal. Donors also suggested to elaborate a common communication strategy on this issue with the AfDB and the CBFF Secretariat. There was never any feedback on this." (13 June 2017, Norad, pers. com.)
25. S=< €1million; M=€1-3.5million; L=>€3.5million
26. P-Z1-C00-026 REDD Pilot Project geographically integrated Eco-Makala; WWF-DRC
27. For more reading see Chapter 2.4.2 of Case Study Report and also see individual case-study report
28. P-Z1-C00-034 Rwanda Sustainable Woodland management and Natural Forest Restoration; Government RNRA/PGRéF
29. P-Z1-C00-037 Sustainable management of forest resources of Gabon; Ministère des Eaux et Forêts
30. P-Z1-C00-026 REDD Pilot Project geographically integrated Eco-Makala; WWF-DRC
31. P-Z1-C00-027 REDD+ Pilot agroforestry Project of South Kwamouth; Novacel ASBL
32. <http://www.euredd.edf.int/documents/15552/211071/Le+d%C3%A9fi+de+la+p%C3%A9rennisation+des+investissements+REDD%2B/eac83586-6b59-49d3-b34c-51eb96b84f62>
33. P-Z1-C00-016 Partnerships for the Development of Community Forests (PDFC); Nature+
34. P-Z1-C00-015 Achieving Conservation and Improving Livelihoods through the Sustainable management of Community-Based Forest Operations in Cameroon; Rainforest Alliance and P-Z1-C00-016 Partnerships for the Development of Community Forests (PDFC); Nature+
35. P-Z1-C00-003 Reforestation of degraded areas and recovery of non-timber forest products in the Sanaga Maritime; Cameroon Ecology
36. P-Z1-C00-007 Alternatives to Mangrove Destruction for Woman's Livelihoods in Central Africa; OPED
37. P-Z1-C00-006 Curbing Slash-and-Burn Agriculture through use of Biochar; ADAPEL

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38. Note Technique 21: Forum national de capitalisation des expériences des projets pilotes et initiatives REDD+ en RDC. Thème : processus de mise en place d'une matrice de suivi des indicateurs stratégiques nationaux non-carbones de la stratégie nationale REDD+.
 39. S=< €1million; M=€1-3.5million; L=>€3.5million



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About this Evaluation

This report summarizes the findings of the evaluation of the Congo Basin Forest Fund (CBFF) conducted by the Independent Development Evaluation of the African Development Bank (AfDB). This evaluation aimed to: (i) inform decision making at the Governing Council and AfDB levels; (ii) draw lessons learned for the CBFF stakeholders including the AfDB, donors and implementing partners; and (iii) ensure accountability for the CBFF investments towards the Governing Council, donors, AfDB Board, and the Central Africa Forest Commission. The evaluation was based on: (i) the OECD/DAC criteria (relevance, effectiveness, efficiency and sustainability), as well as inclusivity, innovation and performance of the AfDB/CBFF secretariat, Governing Council and other stakeholders; and (ii) a four-point rating scale: highly satisfactory, satisfactory, unsatisfactory and highly unsatisfactory. The evaluation drew evidence from literature and document reviews, stakeholder interviews, an online survey, site visits and beneficiary focus group discussions.



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